



Office of the City Clerk City of Chicago

City Hall
121 North LaSalle Street
Room 107
Chicago, IL 60602
www.chicityclerk.com

Legislation Referred to Committees at the Chicago City Council Meeting 6/26/2013

Section 3f - Aldermanic Introductions Containing Economic Disclosure Statements

File #	Title	Sponsor(s)	Committee Referral
Agreement(s) - Intergovernmental			
1	O2013-4974 Public Way easement agreement with MB Financial Bank N.A. for pedestrian overpass	Pawar, Ameya (47)	Transportation <i>Redacted Record</i>
Historical Landmark Fee Waiver(s)			
2	Or2013-377 Landmark fee waiver for 28 E Jackson Blvd	Reilly, Brendan (42)	Zoning
3	Or2013-380 Landmark fee waiver for property at 1732 N Hudson St	Smith, Michele (43)	Zoning
Plat(s) of Resubdivision			
4	O2013-4961 Approval of Bridgeport Collection Resubdivision	Balcer, James (11)	Transportation <i>Redacted Record</i>
5	O2013-4970 Approval of Loyola Resubdivision	Reilly, Brendan (42)	Transportation <i>Redacted Record</i>
Sign(s)/Signboard(s)			
6	O2013-4968 Issuance of permits for sign(s)/signboard(s) at 3038 -- 3046 W 59th St	Burke, Edward M. (14)	Zoning
Vacation(s) of Public Alley(s)			
7	O2013-4983 Vacation of S Prairie Ave south of E 63rd St	Cochran, Willie (20)	Transportation <i>Redacted Record</i>
Vacation(s) of Public Way(s)			
8	O2013-4982 Vacation of portion(s) S Millard Ave and W 100th St	O'Shea, Matthew J. (19)	Transportation <i>Redacted Record</i>



City of Chicago



O2013-4974

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Pawar, Ameya (47)
Type:	Ordinance
Title:	Long Term Easement agreement for a pedestrian overpass
Committee(s) Assignment:	Committee on Transportation and Public Way

ORDINANCE FOR LONG TERM EASEMENT

WHEREAS, The City of Chicago ("City") is a home rule unit of government by virtue of the provisions of the Constitution of the State of Illinois of 1970 and, as such, may exercise any power and perform any function pertaining to its government and affairs; and

WHEREAS, the City Council of the City of Chicago, after due investigation and consideration, has determined that the nature and extent of the public use and the public interest to be subserved is such as to warrant a long term easement for an existing pedestrian overpass over the public alley described in the following ordinance; now therefore,

WHEREAS, MB Financial Bank N.A. ("Grantee") is the owner of the properties commonly identified as 2400-2410 and 2414 W. Lawrence; and

WHEREAS, Grantee owns an existing pedestrian overpass (the "Pedestrian Overpass") to bridge the public right of way between adjacent properties owned by the Grantee; and

WHEREAS, the Pedestrian Overpass was previously permitted under the Use of the Public Way Program by the Department of Business Affairs and Consumer Protection, but is now not being handled by that program; and

WHEREAS, Grantee has expended a substantial sum in constructing the Pedestrian Overpass, and related construction, in order to facilitate the interconnection between its buildings; and

WHEREAS, the Pedestrian Overpass will require the use of the public right-of-way, specifically the limited air rights above the grade of the alley, as more fully described on the Plat of Easement attached hereto and make a part hereof as Exhibit A; and

WHEREAS, the Department of Transportation has determined that the Pedestrian Overpass will not interfere with the City's traffic infrastructure and will benefit the business; and

WHEREAS, the City is willing to grant Grantee an easement on the same terms and conditions set forth in the Public Way Easement Agreement (the "Public Way Easement Agreement") attached hereto and incorporated herein as Exhibit B; now, therefore,

Be it Ordained by the City Council of the City of Chicago;

SECTION 1. The foregoing recitals are hereby incorporated herein and adopted as the findings of the City Council.

SECTION 2. The Commissioner of the Department of Transportation (the "Commissioner") or a designee of the Commissioner is each hereby authorized, along with the approval of the City's Corporation Counsel as to form and legality, to execute and deliver the Public Way Easement Agreement between Grantee and the City, in the form attached thereto as Exhibit B and made a part hereof, and such other supporting documents as may be necessary or appropriate to carry out and comply with the provisions of the Public Way Easement Agreement.

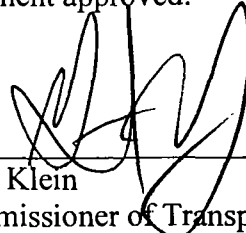
SECTION 3. If any provision of this ordinance shall be held to be invalid or unenforceable for any reason, the invalidity or unenforceability of such provision shall not affect any of the other provisions of this ordinance.

SECTION 4. The vacation herein provided for is made upon the express condition that within 180 days after the passage of this ordinance, Grantee shall pay or cause to be paid to the City of Chicago as compensation for the benefits which will accrue to the owner of the property abutting said part of the public alley hereby bridged the sum of _____ dollars (\$), which sum in the judgment of this body will be equal to such benefits.

SECTION 5. The Public Way Easement Agreement herein provided for is made upon the express condition that within one hundred eighty (180) days after the passage of this ordinance, Northwestern Memorial Hospital shall file or cause to be filed for recording in the Office of the Recorder of Deeds of Cook County, Illinois a copy of the Public Way Easement Agreement, together with its accompanying Plat of Easement as approved by the Department of Transportation's Superintendent of Maps and Plats; as well as a separately recorded oversized and legible copy of the same Plat of Easement for greater clarity.

SECTION 5. This ordinance shall take effect upon its passage and need not be recorded. The Public Way Easement Agreement will take effect upon recording.

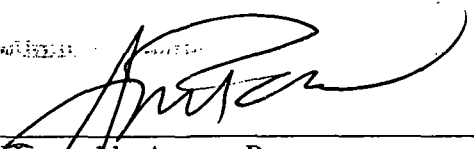
Easement approved:



Gabe Klein
Commissioner of Transportation

Approved as to form and legality:



Richard Wendy
Deputy Corporation Counsel

Honorable Ameya Pawar
Alderman 47th Ward

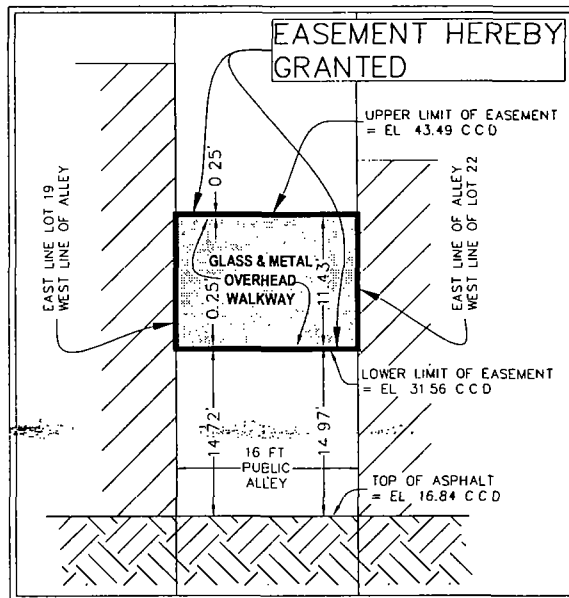
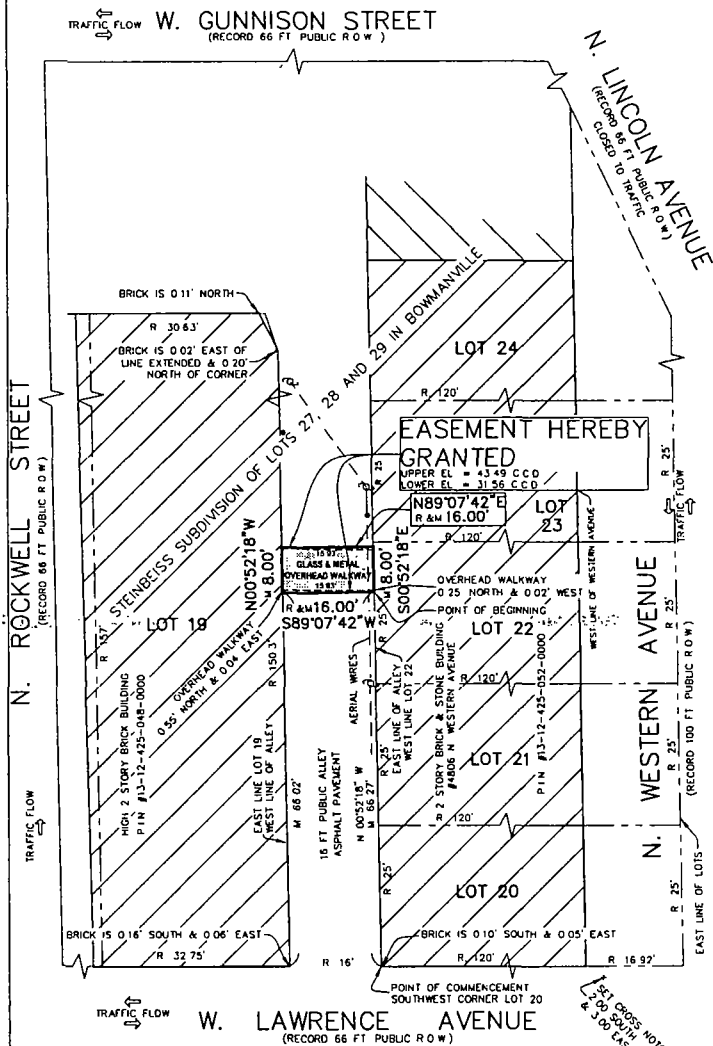
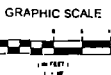
Plat of Easement

That part of the 16-foot Public Alley lying between the east line of lot 19 and the west line of lots 20, 21, 22 and 23 of Steinbeiss' Subdivision of lots 27, 28 and 29 in "Bowmanville", a Subdivision in the Southeast Quarter of Section 12, Township 40 North, Range 13, East of the Third Principal Meridian, described as follows: Commencing at the southwest corner of said lot 20 in Steinbeiss' Subdivision, thence North 00° 52' 18" West along the west line of said lots 20, 21 and 22 of Steinbeiss' Subdivision, being also the east line of said 16-foot Public Alley, 66.27 feet to the Point Of Beginning, thence South 89° 07' 42" West, 16.00 feet to the east line of said lot 19 in Steinbeiss' Subdivision, being also the west line of said 16-foot Public Alley, thence North 00° 52' 18" West, along the last described line, 8.00 feet, thence North 89° 07' 42" East, 16.00 feet to the west line of said lot 22 in Steinbeiss' Subdivision and the east line of said 16-foot Public Alley, thence South 00° 52' 18" East, 8.00 feet along the last described line to the Point of Beginning, lying above a horizontal plane that is 31.56 feet above Chicago City Datum, in Cook County, Illinois

Area of Property = 128 Sq. Ft., MORE OR LESS.

Legend

- UTILITY POLE
- ⊕ ELECTRIC METER
- ⊙ BUMPER POST
- UNDERLYING LOT LINES
- AERIAL WIRES
- BUILDING OVERHEAD
- ▨ BUILDING HATCH
- ▩ BELOW GROUND HATCH
- EASEMENT HEREBY GRANTED



ELEVATION VIEW LOOKING NORTH
NOT TO SCALE

BENCHMARK #319
ELEVATION = 15.629 CITY OF CHICAGO DATUM
LOCATION: LELAND AVENUE & WEST OF WESTERN AVENUE 111 FEET NORTH OF THE SOUTH LINE OF LELAND AVENUE 64.6 FEET EAST OF THE EAST LINE OF THE FIRST ALLEY WEST OF WESTERN AVENUE

SURVEY NOTES

SURVEY PREPARED FOR

MB FINANCIAL
6111 NORTH RIVER ROAD 7TH FLOOR
ROSEMONT, ILLINOIS 60018

PROPERTY APPEARS IN ZONE "X", AREAS DETERMINED TO BE OUTSIDE THE 0.2% ANNUAL CHANCE FLOODPLAIN, AS DELINEATED ON FLOOD INSURANCE RATE MAP COOK COUNTY, ILLINOIS, MAP NO 17031C0402J, EFFECTIVE DATE AUGUST 19, 2008

Note R & M denotes Record and Measured distances respectively.

Distances are marked in feet and decimal parts thereof. Compare all points BEFORE building by same and at once report any differences BEFORE damage is done.

For easements, building lines and other restrictions not shown on survey plat refer to your abstract, deed, contract, title policy and local building line regulations.

NO dimensions shall be assumed by scale measurement upon this plat.

Unless otherwise noted hereon the Bearing Basis, Elevation Datum and Coordinate Datum if used is ASSUMED

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THE ZONING CLASSIFICATION OF THE PROPERTY SHOWN HEREON IS B3-2 AS DELINEATED ON THE CITY OF CHICAGO, DEPARTMENT OF ZONING WEBSITE

THE SURVEYOR HAS NOT RESEARCHED THE APPLICABLE ZONING, BUILDING CODES, SETBACKS OR SPECIFIC USES ALLOWED WITHIN THIS ZONING CLASSIFICATION. CONTACT THE CITY OF CHICAGO

DEPARTMENT OF ZONING, CITY HALL, 121 NORTH LASALLE STREET, ROOM 905 CHICAGO, ILLINOIS (312) 744-6317; FAX: (312) 744-6552 FOR CERTIFICATION VERIFICATION AND SPECIFIC MATTERS PERTAINING TO THE ABOVE NOTED ZONING CLASSIFICATION

CDOT # 12-47-12-3586

REVISED 2-21-2013 LABELS
REVISED 2-15-2013 ALLEY LABEL
REVISED 1-9-2013 PER ORDER #2013-17306 (RJT)

ORDERED BY: MB FINANCIAL BANK	CHECKED: DRAPH
ADDRESS:	
GREMLEY & BIEDERMANN P.L.C.S. CORPORATION LICENSE NO. 161-001227 4505 NORTH ELSTON AVENUE CHICAGO, IL 60630 TELEPHONE (773) 645-5102 FAX (773) 286-4114 EMAIL INFO@PLCS-SURVEY.COM	
ORDER NO: 2012-17131-001	PAGE NO: 1 of 1
DATE: NOVEMBER 12, 2012	SCALE: 1 INCH = 10 FEET

State of Illinois
County of Cook

We, GREMLEY & BIEDERMANN, INC. hereby certify that we have surveyed the above described property and that the plat hereon drawn is a correct representation of said survey corrected to a temperature of 62° Fahrenheit. Field measurements taken on November 12, 2012.

Signed on

By: *[Signature]*
Professional Illinois Land Surveyor No. 2477
My license expires November 30, 2014
This professional service conforms to the current Illinois minimum standards for a boundary survey

filed
March 22, 2013

This Instrument Prepared
By and After Recording
Return to:
Karen Bielarz
Assistant Corporation Counsel
City of Chicago
Department of Law
121 North LaSalle Street
Room 600
Chicago, Illinois 60602

(The Above Space For Recorder's Use Only)

Public Way Easement Agreement
(Pedestrian Bridge)

This Agreement (the "Agreement") is entered into as of this ____ day of ____ 2013, by and between the City of Chicago, an Illinois home rule municipal corporation, by and through its Department of Transportation, (the "City") and MB Financial Bank, N.A. ("Grantee"). City and Grantee together shall be referred to herein from time to time as the "Parties".

Witnesseth:

WHEREAS, Grantee is the owner of real property commonly known as 2400-2410 and 2414 W. Lawrence Avenue, Chicago, Illinois, as legally described on Exhibit A attached hereto and made a part hereof (the "Property"), upon which Property the Grantee currently has a bank complex ("Complex");

WHEREAS, Grantee, an Illinois corporation ("NU"), is the owner of the bank complex buildings bisected by the easternmost, 16' wide public alley in the block bounded by N. Western Avenue, W. Lawrence Avenue, W. Gunnison Street and N. Rockwell Street; and

WHEREAS, the adjacent buildings together shall be referred to herein from time to time as the Overpass Buildings ("Overpass Buildings"); and

WHEREAS, Grantee erected and was previously permitted for a pedestrian overpass ("Overpass") to connect the Overpass Buildings over and above the grade of the City's public right-of-way ("Alley") by approximately one thousand fifteen (128) square feet, more or less ("Easement Area"), as more fully described on the Plat of Easement ("Plat") attached hereto as Exhibit B; and

WHEREAS, the Overpass will continue to require the use of the Alley, specifically use of certain of the air rights above the Alley, as more fully depicted on the Plat; and

WHEREAS, the Grantee requires the use of the Overpass, which lies above the grade of the Alley, and the Easement Area, for safe pedestrian movement within the Overpass Buildings; and

WHEREAS, the Overpass will benefit the business by allowing customers and staff to traverse between the Overpass Buildings and the NW Garage on the Grantee's campus protected from the weather and vehicular traffic; and

NOW, THEREFORE, in consideration of the above preambles, the mutual covenants herein contained, and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

Grant of Easement Area. The City hereby grants to Grantee an easement ("Easement") to use and occupy, in accordance with this Agreement, those certain limited air rights in and above the Street in the Easement Area, as identified and legally described on the Plat, for the installation, operation, maintenance, repair and replacement of the Overpass. The Parties hereto may, upon review and approval of the Commissioner ("Commissioner") of the Department of Transportation, or any successor department ("CDOT"), may substitute a revised Easement legal description for the Easement legal description set forth on **Exhibit C** attached hereto and made a part hereof, subject to review and approval of the City's Corporation Counsel.

1. **Terms.** The following terms and conditions apply to the Easement:

(a) The Easement is an easement appurtenant in favor of MB Financial Bank, N.A.

(b) The Easement is granted for a term of twenty (20) years ("Term") provided that the Grantee pay compensation to the City in the amount described in the Easement Ordinance.

(c) The Easement shall burden the Easement Area as the servient tenement.

(d) Grantee warrants to the City that it is the owner ("Owner") of the adjacent Properties, is owner of the existing Overpass structure, and that the Grantee has sufficient title and fee interest to/in the Property to enter into this Agreement.

(e) The public way Easement granted pursuant to this Agreement constitutes a contemporaneous grant of interest in real property and is not executory in nature.

(f) Grantee shall not transfer any interest in the Easement without prior written consent by the CDOT Commissioner.

2. **Grantee's Obligations.**

(a) The Grantee expressly warrants that the Overpass is designed and constructed in compliance with all federal, state and local laws and regulations. The Grantee expressly warrants that the Overpass is designed and constructed in compliance with accessibility standards, including, but not limited to: (1) the Americans with Disabilities Act of 1990, 42 U.S.C. 12101, et seq., and the regulations promulgated thereunder; (2) the Illinois Environmental Barriers Act (410 ILCS 25/ 1 et seq. (1996)); (3) The

Illinois Accessibility Code, 71 Ill. A. Code 400; (4) all local City ordinances, codes, regulations.

(b) The Grantee shall be responsible for obtaining ongoing approvals of and payment for any and all removals, relocations, alterations, additional maintenance and restorations of or to any utility or public service structures or facilities, or any structures or facilities located in or adjacent to the Easement Area which are owned by the City, including pavements, bridges, poles, and other facilities and utilities, which are or may be necessary or appropriate to facilitate work related to the Overpass. The Grantee shall be responsible for obtaining the consent of and making suitable arrangements with all entities owning and having an interest in such structures and facilities, including any City department.

(d) The Grantee shall secure all necessary permits, including but not limited to, building permits.

3. Uses Within the Easement Areas.

a) The Overpass shall be open for use by the public at such times that the Overpass Buildings are open to the public.

b) The Grantee may not authorize the Overpass for any purpose that will substantially interfere with the use of the Overpass by the public.

c) The Grantee may utilize the Overpass for exhibits, displays and the like that shall not substantially interfere with the public's use described in this Agreement.

d) ~~The Grantee may~~ establish reasonable rules and regulations related to the use by the public of the Overpass. Grantee may at its sole discretion control the use of and access to the Buildings through the Overpass. Notwithstanding the foregoing, the City reserves a right to access the Overpass and Easement Area for City business purposes and services available to all similarly situated improvements.

4. Overpass Alterations.

Grantee may from time to time replace, remodel or demolish all or any portion of the Overpass so long as the Grantee secures the prior written approval of the Commissioner (or any successor department's Commissioner) and City Council for alterations that may affect the Easement Area or other portions of the public right-of-way before making any alterations to the Overpass that would change the description provided on the Plat.

5. Removal and Restoration. Grantee shall have the right to terminate this Easement at any time. Upon termination of the Easement granted by this Agreement the Grantee, without cost or expense to the City, shall promptly remove the Overpass, and all other structures and facilities related to the Overpass as may be located in the Easement Area and other affected public way. Grantee shall restore the public way to the extent altered, disturbed, or damaged by the installation, construction, use, operation, inspection, maintenance, repair, replacement or removal of the Overpass, and all work related thereto, to a proper condition under the supervision and to the satisfaction of the Commissioner and in accordance with the Municipal Code of Chicago.

6. **Indemnity.** Except with respect to the negligent or wrongful intentional acts of City (to the extent the same are the cause of an injury or loss to a third person), Grantee hereby indemnifies and agrees to hold harmless and defend City from and against any and all claims, demands, damages, lawsuits, legal proceedings, losses, liens, liabilities, judgments, orders or decrees, and all reasonable costs and expenses (including, without limitation, reasonable attorneys' fees, court costs, and other reasonable expenses related to litigation), arising from or as a result of the death of, or any accident, injury, loss or damage whatsoever caused to the City, any natural person, or the City's property, including but not limited to the Easement Area and all other impacted City right-of-way, the property of any person, arising out of, or occurring in any manner relating to the Easement Area, or the Overpass. In the event any legal action is taken against City or its agents or any claim is made relating to the Easement Area or the Overpass, the City may elect to tender said defense to Grantee which shall and must defend such action or claim at Grantee's own expense and City shall cooperate with Grantee in the defense thereof. City shall have the right to join Grantee as a party defendant in any such legal action. This indemnity shall not be the exclusive remedy of the City, and City shall maintain whatever other right of indemnity it may have under common law, by statute, or by ordinance.

7. **Grantee's Operation, Maintenance and Security of the Easement Area and Overpass during the Term of this Agreement.**

(a) Grantee shall maintain the Easement Area and Overpass at its sole cost and expense.

(b) Grantee shall maintain the Easement Area and Overpass so that the improvement does not unduly interfere with any use of the public way by the City, the public, or any person or entity authorized to use or occupy the public way.

(c) Grantee shall conduct regular, documented inspections of the Overpass and the Easement Area and maintain the Overpass and Easement Area in a structurally sound, clean, aesthetically attractive, and usable condition consistent with the public use required by this Agreement. All Overpass and Easement Area maintenance records shall be made available to CDOT upon CDOT's written request for such documentation to Grantee.

(d) Grantee shall attach no fixtures, post no verbiage, signage, symbols, art or advertising of any kind on the structure, or on the interior of the structure that may be visible from the exterior. The Grantee shall not lease nor enter into any agreement for the Overpass or Easement Area lying over, under, on or in the public way for advertising space purposes, or for any other promotional use(s) for the Grantee or any third parties.

(e) Grantee shall cooperate with the City concerning the coordination of uses of the public way, including prompt responses to inquiries, attending meetings and site visits, and providing complete disclosure of information concerning the Easement Area and Overpass.

(f) Grantee shall pay for any and all utility expenses incurred with respect to the operation, maintenance, repair, and/or replacement of the Overpass, or any part thereof, within the Easement Area.

(g) Grantee shall provide security over the Easement Area and Overpass at its sole cost and expense.

8. **City Has No Maintenance and Operational Duties.** The Grantee acknowledges that City is not responsible for the operation, maintenance, repair, and/or replacement of or security of the Easement Area and the Overpass, and City has no obligations with respect thereto (other than the provision, through the exercise of the City's right to access the Overpass and Easement Area for City business purposes and services available to all similarly situated improvements).

9. **Insurance.**

(a) The Grantee shall procure and maintain, at all times, or shall cause to be procured and maintained, all of the types and coverages of insurance specified below, with insurance companies authorized to do business in the State of Illinois, covering all operations under this Agreement, whether performed by the Grantee or any of its contractors.

(b) The kinds and amounts of insurance required are as follows:

(i) **Workers' Compensation and Occupational Disease Insurance.**

Workers' Compensation and Occupational Disease Insurance, in statutory amounts, covering all employees who are to provide Work under this Agreement. Employers' liability coverage with limits of not less than One Million Dollars (\$1,000,000) each accident, illness or disease.

(ii) **Commercial Liability Insurance (Primary and Umbrella).**

Commercial General Liability Insurance, or equivalent, with limits of not less than Five Million Dollars (\$5,000,000) per occurrence for bodily injury, personal injury, and property damage liability. All premises and operations, products/completed operations, independent contractors, explosion, collapse, underground, pollution (if commercially available), separation of insureds, defense and contractual liability coverages are to be included. The City is to be named as an additional insured on a primary non-contributory basis for any liability related directly or indirectly to this Agreement.

Contractors performing work for Grantee must maintain limits of not less than \$2,000,000 with the same terms herein.

(iii) **Automobile Liability Insurance. (Primary and Umbrella)**

When any motor vehicles (owned, non-owned and hired) are used in connection with work to be performed, the Grantee provide or cause to be provided, Automobile Liability Insurance with limits of not less than Two Million Dollars (\$2,000,000) per occurrence for bodily injury and property damage. The City is to be named as an additional insured on a primary, non-contributory basis.

Contractor performing work for Grantee must maintain limits of not less than \$1,000,000 with the same terms herein.

(c) **Additional Requirements**

The Grantee must provide and cause any of its contractors to provide the City of Chicago, Department of Transportation, 30 North LaSalle Street, Room 500, Chicago, Illinois 60602-2570, original Certificates of Insurance, to be in force on the date of this Agreement, and Renewal Certificates of Insurance, or such similar evidence, if the coverages have an expiration or renewal date occurring during the term of this Agreement. The receipt of any certificate does not constitute agreement by the City that the insurance requirements in the Agreement have been fully met or that the insurance policies indicated on the certificate are in compliance with all Agreement requirements. The failure of the City to obtain certificates or other insurance evidence from Grantee and contractor is not a waiver by the City of any requirements for the Grantee to obtain and maintain the specified coverages. The Grantee and contractor must advise all insurers of the Agreement provisions regarding insurance. Non-conforming insurance does not relieve Grantee and contractor of the obligation to provide insurance as specified herein. Non-fulfillment of the insurance conditions may constitute a violation of the Agreement, and the City retains the right to stop work until proper evidence of insurance is provided.

Grantee agrees to make commercially reasonable efforts to obtain from its insurers, when and if available in the industry, a certificate providing that such coverage shall not be suspended, voided, canceled, non-renewed, or reduced in scope or limits except after thirty (30) days' prior written notice by certified mail, return receipt requested, has been given to the City.

Any deductibles or self-insured retentions on referenced insurance coverages must be borne by Grantee and contractor.

The Grantee hereby agrees and will cause its contractors to agree that insurers waive their rights of subrogation against the City of Chicago, its employees, elected officials, agents, or representatives.

The coverages and limits furnished by Grantee and contractor in no way limit the Grantee's and contractor's liabilities and responsibilities specified within the Agreement or by law.

Any insurance or self-insurance programs maintained by the City of Chicago do not contribute with insurance provided by the Grantee and contractor under the Agreement.

The required insurance to be carried is not limited by any limitations expressed in the indemnification language in this Agreement or any limitation placed on the indemnity in this Agreement given as a matter of law.

If Grantee or contractor is a joint venture or limited liability company, the insurance policies must name the joint venture or limited liability company as a named insured.

The Grantee must require the contractor to provide the insurance required herein. All contractors are subject to the same insurance requirements of Grantee unless otherwise specified in this Agreement.

The City's Risk Management Department maintains the right to modify, delete, alter or change these requirements.

11. **Default.** The Grantee shall be in default hereunder in the event of a material breach by Grantee of any term or condition of this Agreement including, but not limited to, a representation or warranty, where Grantee has failed to cure such breach within sixty (60) days after written notice of breach is given to Grantee by City setting forth the nature of such breach. Failure of City to give written notice of breach to Grantee shall not be deemed to be a waiver of the City's right to assert such breach at a later time. If the default is not capable of being cured within the sixty (60) day period, then provided Grantee has commenced to cure the default and is diligently proceeding to cure the default within the sixty (60) day period, and thereafter diligently prosecutes such cure through to completion, then the sixty (60) day period shall be extended for the length of time that is reasonably necessary to cure the default. If the default is not cured in the time period provided for herein, the City may institute such proceedings at law or in equity as may be necessary or desirable to cure and remedy the default, including but not limited to, termination of this Agreement and removal of the Overpass at the Grantee's sole expense.

12. **Compliance With Law.** The Grantee agrees that the Easement Area and Overpass shall be used, and any alterations to the Overpass shall be constructed, installed, used, operated, inspected, maintained, repaired and replaced in complete compliance with all applicable laws, statutes and ordinances.

13. **Partial Invalidity.** If any clause, sentence or other portion of this Agreement shall become illegal, null or void for any reason, or shall be held by any court of competent jurisdiction to be so, the remaining portion hereof shall remain in full force and effect.

14. **Notices.** Any and all notices or other communications required or permitted pursuant hereto shall be in writing and shall be deemed to have been given if and when personally delivered or on the next following business day if transmitted by reputable overnight carrier. Notices shall be addressed to Grantee and City at their respective addresses set forth below, or to such substitute address as Grantee or City may have designated by notice in accordance herewith:

If to City:

Commissioner of Transportation
30 North LaSalle Street, Room 500
Chicago, Illinois 60602
Attn: Maps and Plats / Vacations

With a copy to Ms. Karen Bielarz:

Department of Law
121 North LaSalle Street, Room 600
Chicago, Illinois 60602
Attn: Deputy Corporation Counsel
Real Estate and Land Use Division

If to Grantee:

Ms. Tracey Ernst
MB Financial Bank, N.A.
6111 N. River Road
Rosemont IL 60018

With a copy to:

Mr. Jack Parrino, Esq.
Thompson Coburn LLP
55 E. Monroe Street, 37th Floor
Chicago, Illinois 60603

16) **Illinois Law.** This Agreement has been negotiated, executed and delivered at Chicago, Illinois and shall be construed and enforced in accordance with the laws of Illinois, including the law of public trust with respect to the use and occupation of the public way.

17) **Execution And Recordation of Agreement.** The execution and recordation of this Agreement shall be subject to the finalization of all utility negotiations and further provided that the Grantee supplies the City with sufficient proof of ownership of the Property, and any other documents that the City may deem necessary.

18) **No Third-Party Beneficiaries.** This Agreement shall be binding upon and inure to the benefit solely of Grantee and City and their respective successors, assigns, licensees and legal representatives. This document and the terms hereof are intended solely for the benefit of the parties hereto and their successors, licensee and assigns, as expressly referred to herein. No other person shall have any rights, responsibilities or obligations hereunder nor may such person enforce any of the terms or be entitled to any of the benefits hereof.

19) **Authority and Validity.** Each party represents and warrants to the other party that (i) this Agreement has been duly authorized, executed and delivered by it and (ii) this Agreement constitutes the legal, valid and binding obligation of it, enforceable against it in accordance with its terms.

20) **Miscellaneous .**

(a) The terms, benefits, and privileges set forth in this Agreement shall be deemed and taken to be covenants running with the Property and shall be binding upon the Grantee, its successors and assigns having any interest in the Property.

(b) If any provision of this Agreement, or any paragraph, sentence, clause, phrase, or word or the application thereof is held invalid, illegal, null or void for any reason, or shall be held by any court of competent jurisdiction to be so, the remainder of this Agreement shall be construed as if such invalid part were never included and this Agreement shall be and remain valid and enforceable to the fullest extent permitted by law provided that this Agreement, in its entirety as so reconstituted, does not represent a material change to the rights or obligations of either of the Parties.

(c) In the event the time for performance hereunder falls on a Saturday, Sunday, or legal holiday, the actual time for performance shall be the next business day.

(d) This Agreement and the accompanying Plat shall be governed by, and construed in accordance with, the internal laws of the State of Illinois. In the event that an adjudication of any kind shall be required in connection with this Agreement, the Parties agree that the venue therefor shall be the state or federal courts located in Cook County, Illinois, whichever may be applicable.

(e) This Agreement constitutes the entire contract between the Parties with respect to the subject matter of this Agreement, and may not be modified except by an instrument in writing signed by all the Parties and dated a date subsequent to the date of this Agreement.

(f) Each Party agrees that it will execute and deliver such other reasonable documents and take such other reasonable actions as may be reasonably requested by the other party to effectuate the purposes and intention of this Agreement.

21) **Business Relationships.**

The Grantee acknowledges (A) receipt of a copy of Section 2-156-030 (b) of the Municipal Code of Chicago, (B) that it has read such provision and understands that pursuant to such Section 2-156-030 (b) it is illegal for any elected official of the City, or any person acting at the direction of such official, to contact, either orally or in writing, any other City official or employee with respect to any matter involving any person with whom the elected City official or employee has a "Business Relationship" (as defined in Section 2-156-080 of the Municipal Code of Chicago), or to participate in any discussion in any City Council committee hearing or in any City Council meeting or to vote on any matter involving the person with whom an elected official has a Business Relationship, and (c) notwithstanding anything to the contrary contained in this Agreement, that a violation of Section 2-156-030 (b) by an elected official, or any person acting at the direction of such official, with respect to any transaction contemplated by this Agreement shall be grounds for termination of this Agreement and the transactions contemplated hereby. The Grantee hereby represents and warrants that no violation of Section 2-156-030 (b) has occurred with respect to this Agreement or the transactions contemplated hereby.

22) **Patriot Act Certification.**

The Grantee represents and warrants that neither the Grantee nor any Affiliate thereof (as defined in the next paragraph) is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury, the Bureau of Industry and Security of the U.S. Department of Commerce or their successors, or on any other list of persons or entities with which the City may not do business under any applicable law, rule, regulation, order or judgment: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

As used in the above paragraph, an "Affiliate" shall be deemed to be a person or entity related to the Grantee that, directly or indirectly, through one or more intermediaries, controls, is controlled by or is under common control with Grantee, and a person or entity shall be deemed to be controlled by another person or entity, if controlled in any manner whatsoever that results in control in fact by that other person or entity (or that other person or entity and any persons or entities with whom that other person or entity is acting jointly or in concert), whether directly or indirectly and whether through share ownership, a trust, a contract or otherwise.

23) Prohibition on Certain Contributions Mayoral Executive Order 2011-4.

Grantee agrees that Grantee, any person or entity who directly or indirectly has an ownership or beneficial interest in Grantee of more than 7.5 percent ("Owners"), spouses and domestic partners of such Owners, Grantee's contractors (i.e., any person or entity in direct contractual privity with Grantee regarding the subject matter of this Agreement) ("Contractors"), any person or entity who directly or indirectly has an ownership or beneficial interest in any Contractor of more than 7.5 percent ("Sub-owners") and spouses and domestic partners of such Sub-owners (Grantee and all the other preceding classes of persons and entities are together, the "Identified Parties"), shall not make a contribution of any amount to the Mayor of the City of Chicago (the "Mayor") or to his political fundraising committee (i) after execution of this Agreement by Grantee, (ii) while this Agreement or any Other Contract is executory, (iii) during the term of this Agreement or any Other Contract between Grantee and the City, or (iv) during any period while an extension of this Agreement or any Other Contract is being sought or negotiated.

Grantee represents and warrants that from the later to occur of (a) May 16, 2011, and (b) the date the City approached the Grantee or the date the Grantee approached the City, as applicable, regarding the formulation of this Agreement, no Identified Parties have made a contribution of any amount to the Mayor or to his political fundraising committee.

Grantee agrees that it shall not: (a) coerce, compel or intimidate its employees to make a contribution of any amount to the Mayor or to the Mayor's political fundraising committee; (b) reimburse its employees for a contribution of any amount made to the Mayor or to the Mayor's political fundraising committee; or (c) Bundle or solicit others to bundle contributions to the Mayor or to his political fundraising committee.

Grantee agrees that the Identified Parties must not engage in any conduct whatsoever designed to intentionally violate this provision or Mayoral Executive Order No. 2011-4 or to entice, direct or solicit others to intentionally violate this provision or Mayoral Executive Order No. 2011-4.

Grantee agrees that a violation of, non-compliance with, misrepresentation with respect to, or breach of any covenant or warranty under this provision or violation of Mayoral Executive Order No. 2011-4 constitutes a breach and default under this Agreement, and under any Other

Contract for which no opportunity to cure will be granted, unless the City, in its sole discretion, elects to grant such an opportunity to cure. Such breach and default entitles the City to all remedies (including without limitation termination for default) under this Agreement, under any Other Contract, at law and in equity. This provision amends any Other Contract and supersedes any inconsistent provision contained therein.

If Grantee intentionally violates this provision or Mayoral Executive Order No. 2011-4 prior to the closing of this Agreement, the City may elect to decline to close the transaction contemplated by this Agreement.

For purposes of this provision:

"Bundle" means to collect contributions from more than one source, which is then delivered by one person to the Mayor or to his political fundraising committee.

"Other Contract" means any other agreement with the City of Chicago to which Grantee is a party that is (i) formed under the authority of chapter 2-92 of the Municipal Code of Chicago; (ii) entered into for the purchase or lease of real or personal property; or (iii) for materials, supplies, equipment or services which are approved or authorized by the City Council of the City of Chicago.

"Contribution" means a "political contribution" as defined in Chapter 2-156 of the Municipal Code of Chicago, as amended.

Individuals are "Domestic Partners" if they satisfy the following criteria:

- ~~(A)~~ they are each other's sole domestic partner, responsible for each other's common welfare; and
- (B) neither party is married; and
- (C) the partners are not related by blood closer than would bar marriage in the State of Illinois; and
- (D) each partner is at least 18 years of age, and the partners are the same sex, and the partners reside at the same residence; and
- (E) two of the following four conditions exist for the partners:
 - 1. The partners have been residing together for at least 12 months.
 - 2. The partners have common or joint ownership of a residence.
 - 3. The partners have at least two of the following arrangements:
 - a. joint ownership of a motor vehicle;
 - b. a joint credit account;
 - c. a joint checking account;
 - d. a lease for a residence identifying both domestic partners as tenants.
 - 4. Each partner identifies the other partner as a primary beneficiary in a will.

"Political fundraising committee" means a "political fundraising committee" as defined in Chapter 2-156 of the Municipal Code of Chicago, as amended.

24) Failure To Maintain Eligibility To Do Business With The City.

Failure by Grantee or any controlling person (as defined in Section 1-23-010 of the Municipal Code of Chicago) thereof to maintain eligibility to do business with the City of Chicago

as required by Section 1-23-030 of the Municipal Code of Chicago shall be grounds for termination of the Agreement and the transactions contemplated thereby. Grantee shall at all times comply with Section 2-154-020 of the Municipal Code of Chicago.

25) **Inspector General and Legislative Inspector General.**

It is the duty of every officer, employee, department, agency, contractor, subcontractor, Grantee and licensee of the City, and every applicant for certification of eligibility for a City contract or program, to cooperate with the City's Legislative Inspector General and with the City's Inspector General in any investigation or hearing undertaken pursuant to Chapters 2-55 and 2-56, respectively, of the Municipal Code of Chicago. The Grantee understands and will abide by all provisions of Chapters 2-55 and 2-56 of the Municipal Code of Chicago.

26) **Waste Ordinance Provisions.**

In accordance with Section 11-4-1600(e) of the Municipal Code of Chicago, Grantee warrants and represents that it, and to the best of its knowledge, its contractors and subcontractors, have not violated and are not in violation of any provisions of Section 7-28 or Section 11-4 of the Municipal Code (the "Waste Sections"). During the period while this Amendment is executory, Grantee's, any general contractors or any subcontractors violation of the Waste Sections, whether or not relating to the performance of this Agreement, constitutes a breach of and an event of default under this Agreement, for which the opportunity to cure, if curable, will be granted only at the sole designation of the Chief Procurement Officer. Such breach and default entitles the City to all remedies under the Amendment, at law or in equity. This section does not limit Grantee's, general contractor's and its subcontractor's duty to comply with all applicable federal, state, county and municipal laws, statutes, ordinances and executive orders, in effect now or later, and whether or not they appear in this Amendment. Non-compliance with these terms and conditions may be used by the City as grounds for the termination of this Amendment, and may further affect Grantee's eligibility for future contract awards.

27) **Shakman Accord.**

(a) The City is subject to the May 31, 2007 Order entitled "Agreed Settlement Order and Accord" (the "Shakman Accord") and the August 16, 2007 "City of Chicago Hiring Plan" (the "City Hiring Plan") entered in Shakman v. Democratic Organization of Cook County, Case No 69 C 2145 (United States District Court for the Northern District of Illinois). Among other things, the Shakman Accord and the City Hiring Plan prohibit the City from hiring persons as governmental employees in non-exempt positions on the basis of political reasons or factors.

(b) Grantee is aware that City policy prohibits City employees from directing any individual to apply for a position with Grantee, either as an employee or as a subcontractor, and from directing Grantee to hire an individual as an employee or as a subcontractor. Accordingly, Grantee must follow its own hiring and contracting procedures, without being influenced by City employees. Any and all personnel provided by Grantee under this Agreement are employees or subcontractors of Grantee, not employees of the City of Chicago. This Agreement is not intended to and does not constitute, create, give rise to, or otherwise recognize an employer-employee relationship of any kind between the City and any personnel provided by Grantee.

(c) Grantee will not condition, base, or knowingly prejudice or affect any term or aspect to the employment of any personnel provided under this Agreement, or offer employment to any

individual to provide services under this Agreement, based upon or because of any political reason or factor, including, without limitation, any individual's political affiliation, membership in a political organization or party, political support or activity, political financial contributions, promises of such political support, activity or financial contributions, or such individual's political sponsorship or recommendation. For purposes of this Agreement, a political organization or party is an identifiable group or entity that has as its primary purpose the support of or opposition to candidates for elected public office. Individual political activities are the activities of individual persons in support of or in opposition to political organizations or parties or candidates for elected public office.

(d) In the event of any communication to Grantee by a City employee or City official in violation of Section 27 (ii) above, or advocating a violation of Section 27 (ii) above, Grantee will, as soon as is reasonably practicable, report such communication to the Hiring Oversight Section of the City's Office of the Inspector General ("IGO Hiring Oversight"), and also to the head of the relevant City Department utilizing services provided under this Agreement. Grantee will also cooperate with any inquiries by IGO Hiring Oversight or the *Shakman* Monitor's Office related to the contract.

THE BALANCE OF THIS PAGE IS INTENTIONALLY LEFT BLANK

IN WITNESS WHEREOF, Grantee and City have caused this Agreement to be executed by their duly authorized officers, as of the day and year first written above.

MB FINANCIAL BANK, N.A.,
an Illinois corporation

By: _____

Name: _____

Title: _____

CITY OF CHICAGO,
a municipal corporation,
by and through its Department of Transportation

By: _____

Name: Gabe Klein
Title: Commissioner

Approved As To Form And Legality
(excluding the Legal Descriptions):

CITY OF CHICAGO
Department of Law

By: _____

Name: Karen Bielarz
Title: Assistant Corporation Counsel

EXHIBIT A
LEGAL DESCRIPTION OF
MB FINANCIAL BANK N.A. PROPERTY

LOT 19 IN STEINBEISS SUBDIVISION OF LOTS 27, 28 AND 29 IN BOWMANVILLE, BEING A SUBDIVISION IN THE SOUTHEAST ¼ OF SECTION 12, TOWNSHIP 40 NORTH, RANGE 13, EAST OF THE THIRD PRINCIPAL MERIDIAN, IN COOK COUNTY, ILLINOIS

Commonly known as: 2414 W. Lawrence Avenue, Chicago Illinois
Property Index No.: 13-12-425-048

ALSO

LOTS 20, 21, 22, 23, AND 24 IN STEINBEISS SUBDIVISION OF LOTS 27, 27 AND 29 IN BOWMANVILLE, BEING A SUBDIVISION IN THE SOUTHEAST ¼ OF SECTION 12, TOWNSHIP 40 NORTH, RANGE 13, EAST OF THE THIRD PRINCIPAL MERIDIAN, IN COOK COUNTY, ILLINOIS

Commonly known as: 4800-4810 N. Western Avenue, Chicago Illinois
Property Index No.: 13-12-425-052, 13-12-425-053

EXHIBIT B

**PLAT OF EASEMENT
(Attached)**

EXHIBIT B

Plat of Easement

That part of the 16-foot Public Alley lying between the east line of lot 19 and the west line of lots 20, 21, 22 and 23 of Steinbeiss' Subdivision of lots 27, 28 and 29 in "Bowmanville", a Subdivision in the Southeast Quarter of Section 12, Township 40 North, Range 13, East of the Third Principal Meridian, described as follows. Commencing at the southwest corner of said lot 20 in Steinbeiss' Subdivision; thence North 00° 52' 18" West along the west line of said lots 20, 21 and 22 of Steinbeiss' Subdivision, being also the east line of said 16-foot Public Alley, 66.27 feet to the Point Of Beginning, thence South 89° 07' 42" West, 16.00 feet to the east line of said lot 19 in Steinbeiss' Subdivision, being also the west line of said 16-foot Public Alley, thence North 00° 52' 18" West, along the last described line, 8.00 feet, thence North 89° 07' 42" East, 16.00 feet to the west line of said lot 22 in Steinbeiss' Subdivision and the east line of said 16-foot Public alley, thence South 00° 52' 18" East, 8.00 feet along the last described line to the Point of Beginning, lying above a horizontal plane that is 31.56 feet above Chicago City Datum and lying below a horizontal plane that is 43.49 feet above Chicago City Datum, in Cook County, Illinois.

Area of Property = 128 Sq. Ft., MORE OR LESS.

Legend:

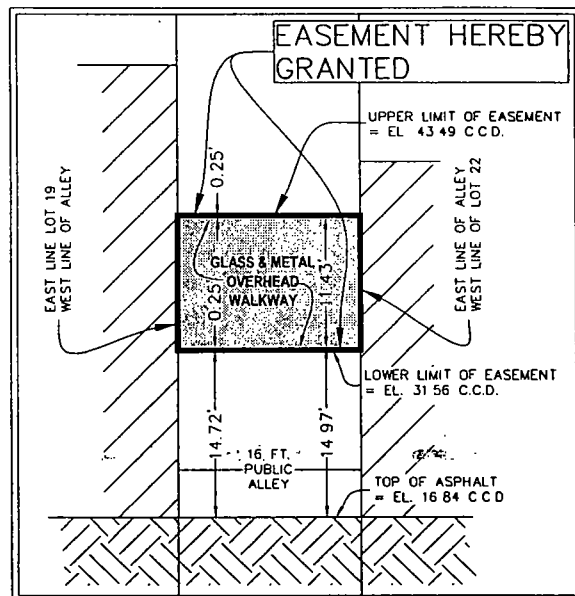
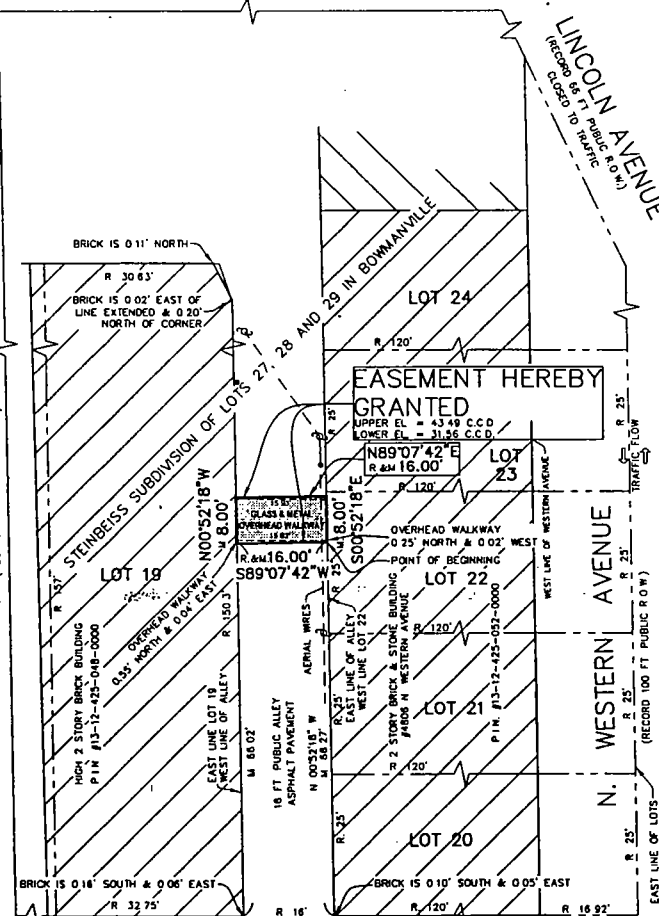
- UTILITY POLE
- ELECTRIC METER
- BUMPER POST
- UNDERLYING LOT LINES
- AERIAL WIRES
- BUILDING OVERHEAD
- BUILDING HATCH
- BELOW GROUND HATCH
- EASEMENT HEREBY GRANTED



TRAFFIC FLOW W. GUNNISON STREET
(RECORD 66 FT PUBLIC R.O.W.)

N. LINCOLN AVENUE
(RECORD 66 FT PUBLIC R.O.W.)
CLOSED TO TRAFFIC

N. ROCKWELL STREET
(RECORD 66 FT PUBLIC R.O.W.)



ELEVATION VIEW LOOKING NORTH
NOT TO SCALE

BENCHMARK #319
ELEVATION = 15 629 CITY OF CHICAGO DATUM
LOCATION: LELAND AVENUE & WEST OF WESTERN AVENUE 11.1 FEET NORTH OF THE SOUTH LINE OF LELAND AVENUE 64.6 FEET EAST OF THE EAST LINE OF THE FIRST ALLEY WEST OF WESTERN AVENUE

SURVEY NOTES:

PROPERTY APPEARS IN ZONE "X", AREAS DETERMINED TO BE OUTSIDE THE 0.2% ANNUAL CHANCE FLOODPLAIN, AS DELINEATED ON FLOOD INSURANCE RATE MAP COOK COUNTY, ILLINOIS, MAP NO. 17031CD402J, EFFECTIVE DATE AUGUST 19, 2008.

Note R. & M. denotes Record and Measured distances respectively.

Distances are marked in feet and decimal parts thereof. Compare all points BEFORE building by same and at once report any differences BEFORE damage is done.

For easements, building lines and other restrictions not shown on survey plat refer to your abstract, deed, contract, title policy and local building line regulations.

No dimensions shall be assumed by scale measurement upon this plat.

Unless otherwise noted hereon the Bearing, Basis, Elevation Datum and Coordinate Datum if used is ASSUMED

COPYRIGHT GREMLEY & BIEDERMANN, INC. 2012 "All Rights Reserved"

THE ZONING CLASSIFICATION OF THE PROPERTY SHOWN HEREON IS B3-2 AS DELINEATED ON THE CITY OF CHICAGO, DEPARTMENT OF ZONING WEBSITE.

THE SURVEYOR HAS NOT RESEARCHED THE APPLICABLE ZONING, BUILDING CODES, SETBACKS OR SPECIFIC USES ALLOWED WITHIN THIS ZONING CLASSIFICATION CONTACT THE CITY OF CHICAGO

DEPARTMENT OF ZONING, CITY HALL, 121 NORTH LASALLE STREET, ROOM 905, CHICAGO, ILLINOIS, (312) 744-6317, FAX: (312) 744-6552 FOR CERTIFICATION, VERIFICATION AND SPECIFIC MATTERS PERTAINING TO THE ABOVE NOTED ZONING CLASSIFICATION.

SURVEY PREPARED FOR:

MB FINANCIAL
6111 NORTH RIVER ROAD 7TH FLOOR
ROSEMONT, ILLINOIS 60018

CDOT # 12-47-12-3586

REVISED: 2-21-2013 LABELS
REVISED: 2-15-2013 ALLEY LABEL
REVISED: 1-9-2013 PER ORDER #2013-17306 [RJ/T]

ORDERED BY	MB FINANCIAL BANK	CHECKED	88
ADDRESS	GREMLEY & BIEDERMANN		
PLCS, CORPORATION			
LICENSE NO. 04-00532			
PROFESSIONAL LAND SURVEYOR			
4545 NORTH ELSTON AVENUE CHICAGO, IL 60630			
TELEPHONE (773) 665-5402 FAX (773) 284-4484 EMAIL INFO@PLCS-SURVEY.COM			
ORDER NO.	2012-17131-001	DATE	NOVEMBER 12, 2012
SCALE	1" = 40' FEET	PAGE NO.	1 OF 1

C:\CAD\2009\2009-13451\dwg\2012-17131-001.dwg

State of Illinois
County of Cook

We, GREMLEY & BIEDERMANN, INC. hereby certify that: we are duly licensed and duly qualified to perform the above described property and the plat hereon drawn is a correct representation of said survey corrected to a temperature of 62° Fahrenheit.

Signed on

By: [Signature]
Professional Illinois Land Surveyor No. 2477
My license expires November 30, 2014
This professional service conforms to the current Illinois minimum standards for a boundary survey

EXHIBIT C
LEGAL DESCRIPTION OF EASEMENT AREA

THAT PART OF THE 16-FOOT PUBLIC ALLEY LYING BETWEEN THE EAST LINE OF LOT 19 AND THE WEST LINE OF LOTS 20, 21, 22 AND 23 OF STEINBEISS' SUBDIVISION OF LOTS 27, 28 AND 29 IN "BOWMANVILLE", A SUBDIVISION IN THE SOUTHEAST QUARTER OF SECTION 12, TOWNSHIP 40 NORTH, RANGE 13, EAST OF THE THIRD PRINCIPAL MERIDIAN, DESCRIBED AS FOLLOWS: COMMENCING AT THE SOUTHWEST CORNER OF SAID LOT 20 IN STEINBEISS' SUBDIVISION; THENCE NORTH $00^{\circ} 52' 18''$ WEST ALONG THE WEST LINE OF SAID LOTS 20, 21 AND 22 OF STEINBEISS' SUBDIVISION, BEING ALSO THE EAST LINE OF SAID 16-FOOT PUBLIC ALLEY, 66.27 FEET TO THE POINT OF BEGINNING; THENCE SOUTH $89^{\circ} 07' 42''$ WEST, 16.00 FEET TO THE EAST LINE OF SAID LOT 19 IN STEINBEISS' SUBDIVISION, BEING ALSO THE WEST LINE OF SAID 16-FOOT PUBLIC ALLEY; THENCE NORTH $00^{\circ} 52' 18''$ WEST, ALONG THE LAST DESCRIBED LINE, 8.00 FEET; THENCE NORTH $89^{\circ} 07' 42''$ EAST, 16.00 FEET TO THE WEST LINE OF SAID LOT 22 IN STEINBEISS' SUBDIVISION AND THE EAST LINE OF SAID 16-FOOT PUBLIC ALLEY; THENCE SOUTH $00^{\circ} 52' 18''$ EAST, 8.00 FEET ALONG THE LAST DESCRIBED LINE TO THE POINT OF BEGINNING, LYING ABOVE A HORIZONTAL PLANE THAT IS 31.56 FEET ABOVE CHICAGO CITY DATUM AND LYING BELOW A HORIZONTAL PLANE THAT IS 43.49 FEET ABOVE CHICAGO CITY DATUM, IN COOK COUNTY, ILLINOIS.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

MB Financial Bank

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 6111 North River Road

Rosemont, IL 60018

C. Telephone: 847-653-2417 Fax: 847-653-0438 Email: ternst@mbfinancial.com

D. Name of contact person: Tracey Ernst

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

long term easement for pedestrian bridge at 4800 North Western
Special use for a bridge at 4800 North Western

G. Which City agency or department is requesting this EDS? City of Chicago ~~com~~ Department of Transportation

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|--|--|
| ☐ Person | ☐ Limited liability company |
| ☒ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
------	-------

See attached

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
None		

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes ☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response. (Estimate)
~~Jack Parino~~ ~~Jessica M. Schramm~~	55 E. Monroe St., 37th Floor, Chicago, IL 60603		Attorney's Fees \$12,000
Bernard Cintron	55 E. Monroe St., 37th Floor, Chicago, IL 60603		
Thompson Coburn LLP			

(Add sheets if necessary)

[] Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[] Yes [] No ☒ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

[] Yes [] No

B. FURTHER CERTIFICATIONS

1 Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred; suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents")

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. To the best of the Disclosing Party's knowledge after reasonable inquiry, no current employee of the Disclosing Party was, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the Disclosing Party has not given or caused to be given a gift, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City

employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$10 per recipient.

9. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☒ is ☐ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same

meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☒ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

 X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

____ 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying

Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any

contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St , Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not

use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

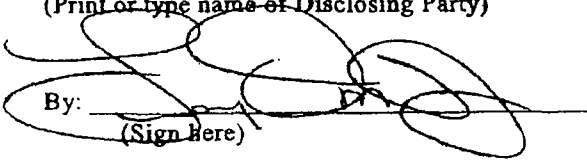
NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

MB Financial Bank

(Print or type name of Disclosing Party)

By: 

(Sign Here)

Tracy Ernst

(Print or type name of person signing)

VP Construction

(Print or type title of person signing)

Signed and sworn to before me on (date) June 3, 2013.
at DuPage County, Illinois (state).

Lisa M. Pizz Notary Public.

Commission expires: 2-11-17.



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

Officers

Mitchell Feiger
President and Chief Executive Officer

Jill E. York
Vice President and Chief Financial Officer

Burton J. Field
Vice President of MB Financial, Inc. and President, Lease Banking of MB Financial Bank

Rosemarie Bouman
Vice President of MB Financial, Inc. and Executive Vice President, Administration of MB Financial Bank

Brian Wildman
Executive Vice President, Wealth Management and Commercial Services of MB Financial Bank

Mark A. Heckler
Executive Vice President, Credit Management of MB Financial Bank

Larry J. Kallembach
Executive Vice President, Operations and Technology of MB Financial Bank

Edward F. Milefchik
Executive Vice President, Commercial Banking of MB Financial Bank

Susan G. Peterson
Executive Vice President and Chief Retail Banking Officer of MB Financial Bank

Directors

Thomas H. Harvey
Chairman of the Board

James N. Hallene
Vice Chairman

David P. Bolger
Director

Robert S. Engelman, Jr.
Director

Mitchell Feiger
Director

Charles J. Gries
Director

Richard J. Holmstrom
Director

Karen J. May
Director

Ronald D. Santo
Director

Renee Togher
Director



City of Chicago



Or2013-377

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Reilly, Brendan (42)
Type:	Order
Title:	Historical landmark fee waiver for 28 E Jackson Blvd
Committee(s) Assignment:	Committee on Zoning, Landmarks and Building Standards

202111

ORDER

WHEREAS, Section 2-120-815 of the Municipal Code provides that the Chicago City Council may by passage of an appropriate order waive any fees charged by the City for any permit for which approval of the Commission on Chicago Landmarks (the "Commission") is required, in accordance with chapter 2-120 of the Municipal Code; and

WHEREAS, the permits identified below require Commission approval, in accordance with Section 2-120-740 of the Municipal Code; now, therefore,

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF CHICAGO:

SECTION 1. The foregoing recitals are hereby adopted as the findings of the City Council.

SECTION 2. The Commissioner of the Department of Buildings, the Commissioners of the Departments of Environment and Fire, the Director of the Department of Revenue, and the Zoning Administrator are hereby directed to issue those permits for which approval of the Commission on Chicago Landmarks is required pursuant to Chapter 2-120 of the Municipal Code free of charge, notwithstanding any other ordinances of the City Council to the contrary, for the property at:

Address: 28 East Jackson Blvd. ("Property")
District/Building: Steger Building

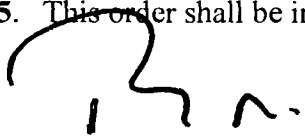
for work generally described as: Renovate an existing office building for residential use.

Owner: DRI/CA Gibbons/Steger, LLC
Owner's Address: 161 North Clark St., Suite 4900
City, State, Zip: Chicago, Illinois 60601

SECTION 3. The fee waiver authorized by this Order shall be effective from April 1, 2013 through August 31, 2014, and shall not apply to **additional developer service fees, stop-work order fees or any fines**.

SECTION 4. That the permit purchaser for the Property shall be entitled to a refund of city fees for which it has paid and which are exempt pursuant to Section 1 hereof.

SECTION 5. This order shall be in force and effect upon its passage.



Brendan Reilly
Alderman, 42nd Ward

NOTE: This is NOT a permit nor does it constitute a Letter of Approval for the above described work. A permit application for the work must be approved by the appropriate City department(s) as well as the Commission on Chicago Landmarks for this permit fee waiver, subject to City Council approval, to be valid.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

DR1/CA Gibbons/Steger, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party:

161 N Clark St. Suite 4900
Chicago, IL 60601

C. Telephone (312) 994-1880 Fax: (312) 546-3815 Email: jjsmith@campusacquisitions.com

D. Name of contact person: JJ Smith

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

PERMIT FEE WAIVER
Redevelopment of historic Steger Building into a mixed-use facility for student housing and retail.

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|---|
| ☐ Person | ☒ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☒ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Delaware

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☒ Yes

☐ No

☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
<u>Thomas M Scott</u>	<u>Chief executive Officer</u>
<u>Rajen Shastri</u>	<u>Chief Investment Officer</u>
<u>JJ SMITH</u>	<u>Executive Vice President</u>
<u>DRI/CA GIBBONS/STEEGER DEVELOPMENT LLC</u>	<u>MANAGING MEMBER</u>

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
<u>DR1/CA Hibbons/Steger Development, LLC 161 N. Clark St. #4900, Chicago, IL 60601 90%.</u>		

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	---

(R: = "RETAINED")

R: Linn Mathes, Inc. 309 S. Green St. Chicago, IL General Contractor \$656,000 (estimate)

R: Polsinelli Shughart 161 N. Clark St. Suite 4200 Attorney \$600,000 (estimate)
Chicago, IL 60601

R: Pappageorge Haymes 640 N. LaSalle Blvd. #400 Architect \$1,200,000 (estimate)
Chicago, IL 60654
(Add sheets if necessary)

[] Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

[] Yes

☒ No

[] No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

[] Yes

[] No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or ~~contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;~~
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's _____ or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

NO / N2

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

None

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is

☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

✓ 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

~~2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:~~

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☒ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☒ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☒ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☒ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

CAMPUS INVESTORS GIBBONS | STEGER, LLC
(Print or type name of Disclosing Party)

By: _____
(Sign here)

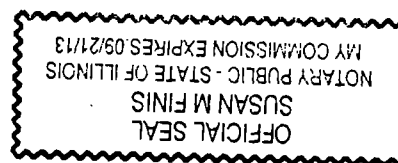
JJ SMITH
(Print or type name of person signing)

EXECUTIVE VICE PRESIDENT
(Print or type title of person signing)

Signed and sworn to before me on (date) 5-24-13,
at Cook County, IL (state).

Susan M. Finis Notary Public.

Commission expires: 9-21-13.



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[] Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

DRI/CA Gibbons/Steiger Development, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1 ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: DRI/CA GIBBONS/STEGER, LLC

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party:

161 N. Clark St. Suite 4900
Chicago, IL 60601

C. Telephone: (312) 994-1880 Fax: (312) 546-3815 Email: jj.smith@campus
acquisitions.com

D. Name of contact person: JJ Smith

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Permit Fee Waiver
Redevelopment of historic Steger Building into a mixed use facility for student housing
and retail.

G. Which City agency or department is requesting this EDS? Department of Housing and
Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|---|
| ☐ Person | ☒ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Delaware

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☒ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
<u>Thomas Scott</u>	<u>Chief Executive Officer</u>
<u>Rajen Shastri</u>	<u>Chief Investment Officer</u>
<u>JJ Smith</u>	<u>Executive Vice President</u>
<u>CAMPUS INVESTORS GIBBONS/STEEGER LLC</u>	<u>MANAGER</u>

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
~~MR~~ CAMPUS Investors Gibbons/Steager, LLC	161 N Clark St. Suite 4000, Chicago, IL 60601	16.63%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.

(Add sheets if necessary)

☒ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

None

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

NONE

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

NONE

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

[] is

☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

✓ 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☒ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available online at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

DRI/CA GIBBONS/STEEGER, LLC
(Print or type name of Disclosing Party)

By: _____
(Sign here)

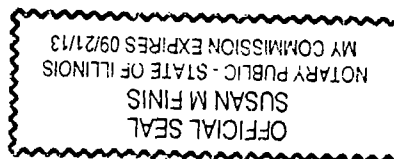
JJ SMITH
(Print or type name of person signing)

EXECUTIVE VICE PRESIDENT
(Print or type title of person signing)

Signed and sworn to before me on (date) 24th of May 2013
at Cook County, IL (state).

Susan M. Finis Notary Public.

Commission expires: 9-21-13



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[] Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

CA Manager, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: DRI/CA - Gibbons/Steiger

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: LLC

B. Business address of the Disclosing Party:

161 N. Clark St. Suite 4900
Chicago, IL 60601

C. Telephone: (312) 994-1880 Fax: (312) 546-3185 Email: jj.smith@campusacquisitions

D. Name of contact person: JJ Smith

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Permit Fee Waiver - Redevelopment of Historic Steiger Building

G. Which City agency or department is requesting this EDS? Department of Housing and Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|---|
| ☐ Person | ☒ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Delaware

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☒ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
<u>Thomas M. Scott</u>	<u>MANAGER</u>
<u>Rajen Shastri</u>	<u>CIO</u>
<u>JJ Smith</u>	<u>EXECUTIVE VP</u>

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
~~REDACTED~~ Thomas Scott	161 N. Clark St. Suite 4900 Chicago, IL 60601	100%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	--

(Add sheets if necessary)

☒ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

NONE

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

NONE

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

✓ 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. **If the Matter is not federally funded**, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes ☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available online at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

DRI / CA GIBBONS / STEGER DEVELOPMENT, LLC
(Print or type name of Disclosing Party)

By: _____
(Sign here)

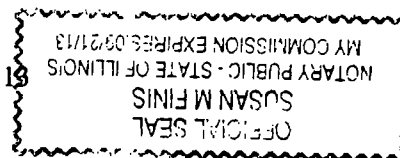
J J SMITH
(Print or type name of person signing)

EXECUTIVE VICE PRESIDENT
(Print or type title of person signing)

Signed and sworn to before me on (date) 24th May 2013
at Cook County, IL (state).

Susan M. Finis Notary Public.

Commission expires: 9-21-13



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☐ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Campus Investors Gibbons/Steger, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: DR/CA Gibbons/Steger LLC

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party:

161 N. Clark St Suite 4900
Chicago, IL 60601

C. Telephone: (312) 994-1880 Fax: (312) 546-3815 Email: jjsmith@campus
acquisitions.com

D. Name of contact person: JJ SMITH

E. Federal Employer Identification No. (if you have one): 38-389 3698

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Permit Fee Waiver - Redevelopment of historic Steger Building

G. Which City agency or department is requesting this EDS? Department of Housing & Economic Development

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # MA and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|---|
| ☐ Person | ☒ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Delaware

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

- ☒ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
<u>Thomas M. Scott</u>	<u>CEO</u>
<u>Rajen S. Nasti</u>	<u>CTO</u>
<u>JJ Smith</u>	<u>EVP</u>
<u>CA MANAGER, LLC</u>	<u>MANAGER</u>

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
CA Manager, LLC	161 N. Clark St. Suite 4900 Chicago, IL 60601	100%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	--

(Add sheets if necessary)

☒ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

NONE

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

NONE

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

NONE

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is

☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

✓ 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

~~2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:~~

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution ~~of any contract or taking other action with respect to the Matter.~~ The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

CA MANAGER, LLC
(Print or type name of Disclosing Party)

By: [Signature]
(Sign here)

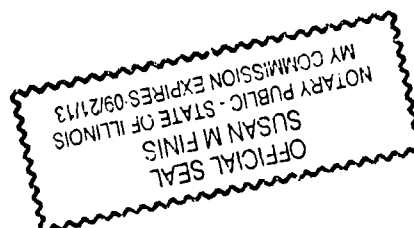
JJ SMITH
(Print or type name of person signing)

EXECUTIVE VICE PRESIDENT
(Print or type title of person signing)

Signed and sworn to before me on (date) 24th of May 2013
at Cook County, IL (state).

[Signature] Notary Public.

Commission expires: 9-21-13



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

~~This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.~~

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☐ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.



City of Chicago



Or2013-380

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Smith, Michele (43)
Type:	Order
Title:	Historical landmark fee waiver for property at 1732 N Hudson St
Committee(s) Assignment:	Committee on Zoning, Landmarks and Building Standards

ORDER

WHEREAS, Section 2-120-815 of the Municipal Code provides that the Chicago City Council may by passage of an appropriate order waive any fees charged by the City for any permit for which approval of the Commission on Chicago Landmarks (the "Commission") is required, in accordance with chapter 2-120 of the Municipal Code; and

WHEREAS, the permits identified below require Commission approval, in accordance with Section 2-120-740 of the Municipal Code; now, therefore,

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF CHICAGO:

SECTION 1. The foregoing recitals are hereby adopted as the findings of the City Council.

SECTION 2. The Commissioner of the Department of Buildings, the Commissioners of the Departments of Environment and Fire, the Director of the Department of Revenue, and the Zoning Administrator are hereby directed to issue those permits for which approval of the Commission on Chicago Landmarks is required pursuant to Chapter 2-120 of the Municipal Code free of charge, notwithstanding any other ordinances of the City Council to the contrary, for the property at:

Address: 1732 North Hudson Street ("Property")
District/Building: Old Town Triangle District

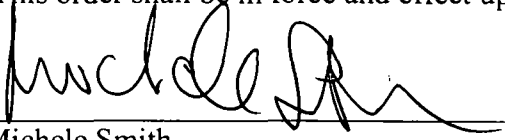
for work generally described as: Conversion of a 3-flat residential building into 2 units, with complete interior and exterior restoration.

Owner: Lance Hornaday and Tenley Ysseldyke
Owner's Address: 1732 North Hudson Street
City, State, Zip: Chicago, Illinois 60614

SECTION 3. The fee waiver authorized by this Order shall be effective from July 1, 2013 through July 1, 2014, and shall not apply to **additional developer service fees, stop-work order fees or any fines**.

SECTION 4. That the permit purchaser for the Property shall be entitled to a refund of city fees for which it has paid and which are exempt pursuant to Section 1 hereof.

SECTION 5. This order shall be in force and effect upon its passage.



Michele Smith
Alderman, 43rd Ward

NOTE: This is NOT a permit nor does it constitute a Letter of Approval for the above described work. A permit application for the work must be approved by the appropriate City department(s) as well as the Commission on Chicago Landmarks for this permit fee waiver, subject to City Council approval, to be valid.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable: _____

Lance R. Hornaday

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: _____

Chicago IL 60614

C. Telephone: _____ Fax: _____ Email: lance.hornaday@gmail.com

D. Name of contact person: Lance Hornaday

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Application for Permit Fee Waiver for Renovation of 1732 N Hudson Chicago 60614
Dept. of Housing and Economic Development

G. Which City agency or department is requesting this EDS? Development - Historic Preservation Division

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☒ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |
-

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
------	------------------	---

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
Heidi Hornaday	PO Box 915 New Buffalo MI 49117	Architect	\$7000 Estimated

The dollar amount noted above is the total estimated dollar amount to be paid to the contractor and such amount will be paid by Lance Hornaday and Tenley Ysseldyke.
(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

None

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

~~Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same~~
meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

 x 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Lance R Hornaday

(Print or type name of Disclosing Party)

By: _____

(Sign here)

Lance R Hornaday

(Print or type name of person signing)

OWNER

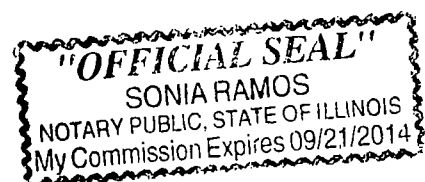
(Print or type title of person signing)

Signed and sworn to before me on (date) 4-2-2013,
at COOK County, ILLINOIS (state).

Sonia Ramos

Notary Public.

Commission expires: 9/21/2014.



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Tenley Ysseldyke

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 1732 N Hudson

Chicago IL 60614

C. Telephone: _____ Fax: _____ mail: lance.hornaday@gmail.com

D. Name of contact person: Lance Hornaday

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Application for Permit Fee Waiver for Renovation of 1732 N Hudson Chicago 60614

G. Which City agency or department is requesting this EDS? Dept. of Housing and Economic Development - Historic Preservation Division

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☒ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |
-

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
------	------------------	---

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
Heidi Hornaday	PO Box 915	Architect	\$7000 Estimated

New Buffalo MI 49117

The dollar amount noted above is the total estimated dollar amount to be paid to the contractor and such amount will be paid by Lance Hornaday and Tenley Ysseldyke

(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

None

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

~~Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same~~
meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

 x 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☒ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2. If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Tenley Ysseldyke

(Print or type name of Disclosing Party)

X By:

(Sign here)

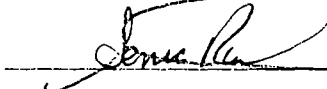
Tenley Ysseldyke

(Print or type name of person signing)

owner

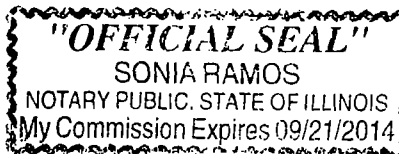
(Print or type title of person signing)

Signed and sworn to before me on (date) 4-2-2013,
at Cook County, Illinois (state).



Notary Public.

Commission expires: 9/21/2014



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT-
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

[] Yes

[x] No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.



City of Chicago



O2013-4961

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Balcer, James (11)
Type:	Ordinance
Title:	Approval of Bridgeport Collection Resubdivision
Committee(s) Assignment:	Committee on Transportation and Public Way

SUBDIVISION ORDINANCE

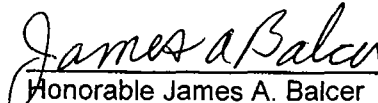
Be it Ordained by the City Council of the City of Chicago:

SECTION 1. Chicago Department of Transportation, the Commissioner or the designee of the Commissioner, are hereby authorized and directed to approve a proposed "BRIDGEPORT COLLECTION RESUBDIVISION" being a resubdivision of lots in the block bounded by W. 38th Street, W. 38th Place, S. Normal Avenue and The Pennsylvania Railroad, and legally described in the attached plat (Exhibit A, File: 33-11-12-3570) which, for greater certainty, is hereby made a part of this ordinance.

SECTION 2. The resubdivision herein provided for is made upon the express condition that within 180 days after the passage of this ordinance, TD Capital Investment LLC, Daniel and Joan Sabbia and Russell and Debra Scalise shall deposit in the City Treasury of the City of Chicago, a sum sufficient to defray the costs of paving and curb returns and constructing sidewalk and curb within and adjacent to the area hereby resubdivided, similar to adjacent sidewalk and curb.

SECTION 3. The subdivision herein provided for is made upon the express condition that within one hundred eighty (180) days after the passage of this ordinance, the TD Capital Investment LLC, Daniel and Joan Sabbia and Russell and Debra Scalise shall file or cause to be filed for recording in the Office of the Recorder of Deeds of Cook County, Illinois a certified copy of this ordinance, together with the attached Exhibit A being the Plat of Subdivision approved by the Department of Transportation / Superintendent of Maps and Plats, as well a separately recorded oversized and legible copy of the same Plat of ReSubdivision for greater clarity.

SECTION 4. This ordinance and exhibit resubdivision plat shall take effect and be in force from and after its recording.


Honorable James A. Balcer
Alderman, 11th Ward

BRIDGEPORT COLLECTION RESUBDIVISION

OF PART OF THE EAST HALF OF THE SOUTHWEST QUARTER OF SECTION 33, TOWNSHIP 39 NORTH, RANGE 14 EAST OF THE THIRD PRINCIPAL MERIDIAN, IN COOK COUNTY, ILLINOIS.

SOUTH LINE OF 38TH STREET

S. NORMAL AVENUE

PUBLIC ALLEY

PUBLIC ALLEY

PUBLIC ALLEY

SEND FUTURE TAX BILLS TO:
LOLL
DANIEL & JOAN SABRIA
1111 WEST PINE STREET
CHICAGO, ILLINOIS 60609

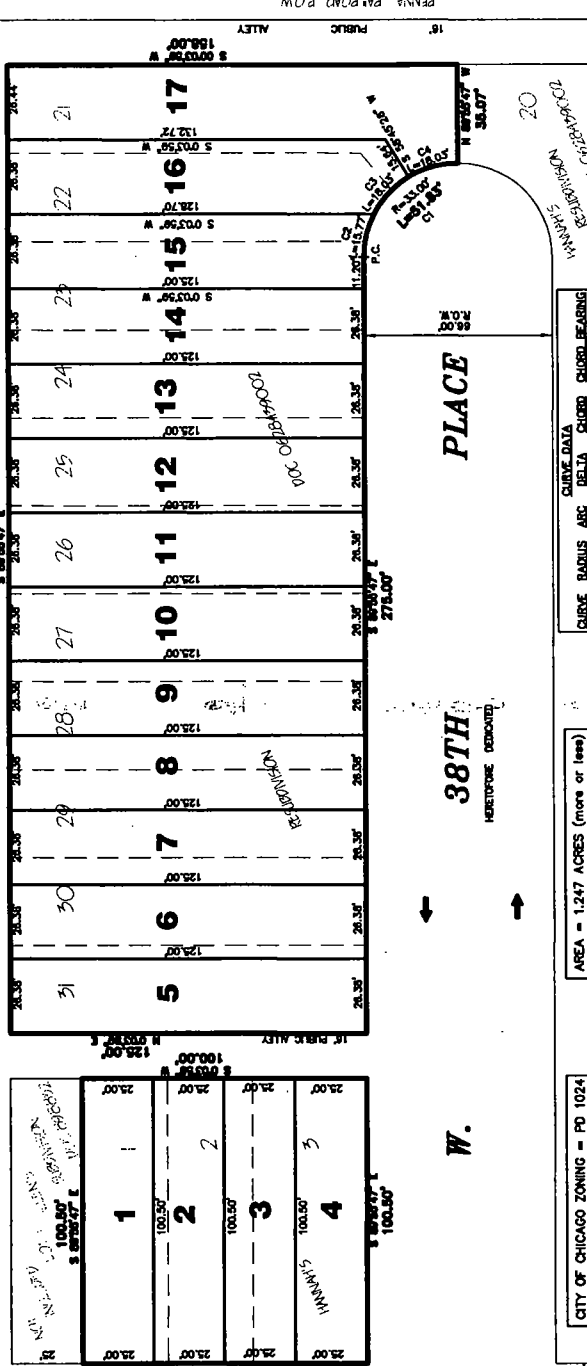
LOTS 2-7 & 11-17
TO CAPITAL INVESTMENT
4480 SOUTH MORGAN STREET
CHICAGO, ILLINOIS 60609

LOTS 8-10
RUSSELL & DEBRA SCALISE
1111 WEST PINE STREET
CHICAGO, ILLINOIS 60609

AFFECTS P.L.N.S.
17-33-327-002
17-33-327-003
17-33-327-004
17-33-327-005
17-33-327-006
17-33-327-007
17-33-327-008
17-33-327-009
17-33-328-000
17-33-328-001
17-33-327-002
17-33-327-003
17-33-328-004
17-33-328-005

ADJACENT LOTS TO THE NORTH & WEST HAVE RESIDENTIAL BUILDINGS. ADJACENT LOT TO THE SOUTH (LOT 20) IS VACANT.

LINE LEGEND
--- R.O.W. LINE
--- UNDERLYING LOT LINE
--- NEW LOT LINE



AREA = 1.247 ACRES (more or less)

CITY OF CHICAGO ZONING = PD 1024

DANIEL & JOAN SABRIA DO HEREBY CERTIFY THAT THEY ARE OWNERS OF PART OF THE PROPERTY DESCRIBED HEREON AND THAT, AS SUCH OWNERS, THEY HAVE CAUSED THE SAID DESCRIBED PROPERTY TO BE SURVEYED AND RESUBDIVIDED AS SHOWN ON THE HEREON DRAIN PLAT, AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED.

DATED THIS ____ DAY OF ____ A.D. 20__

STATE OF ILLINOIS) DANIEL SABRIA
COUNTY OF COOK)

I, THE UNDERSIGNED, A NOTARY PUBLIC IN AND FOR SAID COUNTY AND STATE, DO HEREBY CERTIFY THAT DANIEL SABRIA, JR., OF THE COUNTY AND STATE OF ILLINOIS, PERSONALLY KNOWN TO ME TO BE THE SAME PERSONS WHOSE NAMES ARE SUBSCRIBED TO THE ABOVE CERTIFICATE, APPEARED BEFORE ME BEFORE ME THIS DAY IN PERSON AND ACKNOWLEDGED THAT THEY SIGNED THE ABOVE CERTIFICATE AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED AND THAT THEY HAVE CAUSED THE SAID DESCRIBED PROPERTY TO BE SURVEYED AND RESUBDIVIDED AS SHOWN ON THE HEREON DRAIN PLAT, AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED FOR THE USES AND PURPOSES THEREIN SET FORTH.

GIVEN UNDER MY HAND AND NOTARIAL SEAL THIS ____ DAY OF ____ A.D. 20__

NOTARY PUBLIC

CDOT #33-11-12-3570

TO CAPITAL INVESTMENT DOES HEREBY CERTIFY THAT IT IS THE OWNER OF PART OF THE PROPERTY DESCRIBED HEREON AND THAT, AS SUCH OWNER, IT HAS CAUSED THE SAID DESCRIBED PROPERTY TO BE SURVEYED AND RESUBDIVIDED AS SHOWN ON THE HEREON DRAIN PLAT, AS ITS OWN FREE AND VOLUNTARY ACT AND DEED.

DATED THIS ____ DAY OF ____ A.D. 20__

STATE OF ILLINOIS) MICHAEL TADIN, JR.
COUNTY OF COOK)

I, THE UNDERSIGNED, A NOTARY PUBLIC IN AND FOR SAID COUNTY AND STATE, DO HEREBY CERTIFY THAT MICHAEL TADIN, JR., OF THE COUNTY AND STATE OF ILLINOIS, PERSONALLY KNOWN TO ME TO BE THE SAME PERSONS WHOSE NAMES ARE SUBSCRIBED TO THE ABOVE CERTIFICATE, APPEARED BEFORE ME BEFORE ME THIS DAY IN PERSON AND ACKNOWLEDGED THAT THEY SIGNED THE ABOVE CERTIFICATE AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED AND THAT THEY HAVE CAUSED THE SAID DESCRIBED PROPERTY TO BE SURVEYED AND RESUBDIVIDED AS SHOWN ON THE HEREON DRAIN PLAT, AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED FOR THE USES AND PURPOSES THEREIN SET FORTH.

GIVEN UNDER MY HAND AND NOTARIAL SEAL THIS ____ DAY OF ____ A.D. 20__

NOTARY PUBLIC

RUSSELL & DEBRA SCALISE DO HEREBY CERTIFY THAT THEY ARE THE OWNERS OF PART OF THE PROPERTY DESCRIBED HEREON AND THAT, AS SUCH OWNERS, THEY HAVE CAUSED THE SAID DESCRIBED PROPERTY TO BE SURVEYED AND RESUBDIVIDED AS SHOWN ON THE HEREON DRAIN PLAT, AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED.

DATED THIS ____ DAY OF ____ A.D. 20__

STATE OF ILLINOIS) RUSSELL SCALISE
COUNTY OF COOK) DEBRA SCALISE

I, THE UNDERSIGNED, A NOTARY PUBLIC IN AND FOR SAID COUNTY AND STATE, DO HEREBY CERTIFY THAT RUSSELL SCALISE AND DEBRA SCALISE, OF THE COUNTY AND STATE OF ILLINOIS, PERSONALLY KNOWN TO ME TO BE THE SAME PERSONS WHOSE NAMES ARE SUBSCRIBED TO THE ABOVE CERTIFICATE, APPEARED BEFORE ME BEFORE ME THIS DAY IN PERSON AND ACKNOWLEDGED THAT THEY SIGNED THE ABOVE CERTIFICATE AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED AND THAT THEY HAVE CAUSED THE SAID DESCRIBED PROPERTY TO BE SURVEYED AND RESUBDIVIDED AS SHOWN ON THE HEREON DRAIN PLAT, AS THEIR OWN FREE AND VOLUNTARY ACT AND DEED FOR THE USES AND PURPOSES THEREIN SET FORTH.

GIVEN UNDER MY HAND AND NOTARIAL SEAL THIS ____ DAY OF ____ A.D. 20__

NOTARY PUBLIC



Landmark Engineering LLC
DESIGN FIRM REGISTRATION NO. 184-000877
7808 WEST 103RD STREET
PALOS HILLS, ILLINOIS 60465-1529
Phone (708) 596-3737
SURVEY NO. 12-02-078-SUB-R7

LANDMARK
ENGINEERING LLC

7808 WEST 103RD STREET
PALOS HILLS, ILLINOIS 60465-1529
Phone (708) 596-3737
SURVEY NO. 12-02-078-SUB-R7

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

TD Capital Investments, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 4450 South Morgan Street

Chicago, Illinois 60609

C. Telephone: 773-491-4347 Fax: _____ Email: mtadinjr@marinacartage.com

D. Name of contact person: Michael Tadin

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Real Estate Development West 38th Place East of Normal Avenue

G. Which City agency or department is requesting this EDS? CDOT

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/A and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|---|
| ☐ Person | ☒ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |
-

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
Michael Tadin Jr.	President

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
Michael Tadin Jr.	4450 South Morgan Street	100%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes ☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
Scott R. Borstein, Esq.	203 N. LaSalle St.	Attorney	\$1,000
Neal & Leroy, LLC	Suite 2300		
	Chicago, IL 60601		

(Add sheets if necessary)

☒ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government; No
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property; No
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V; No
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and No
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government. No

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity; No
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or No
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or No
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance). No

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating. No

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List. No

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code. Yes

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

N/A

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☒ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee. Yes, it will not be acquired by City official.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

 x 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes ☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes ☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes ☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes ☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based. Yes

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances. Yes

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages. Yes

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS. Yes

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code. Yes

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

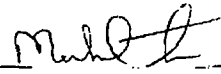
NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

TD Capital Investments, LLC

(Print or type name of Disclosing Party)

By: 

(Sign here)

Michael Tadin Jr.

(Print or type name of person signing)

President

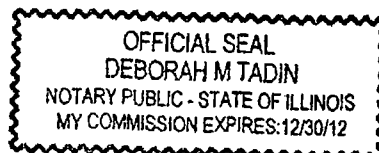
(Print or type title of person signing)

Signed and sworn to before me on (date) 7-11-12,
at COOK County, ILLINOIS (state).

Deborah M Tadin

Notary Public.

Commission expires: 12/30/12



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

(DO NOT SUBMIT THIS PAGE WITH YOUR EDS. The purpose of this page is for you to recertify your EDS prior to submission to City Council or on the date of closing. If unable to recertify truthfully, the Disclosing Party must complete a new EDS with correct or corrected information)

RECERTIFICATION

Generally, for use with City Council matters. Not for City procurements unless requested.

This recertification is being submitted in connection with TD Capital Investment, [identify the Matter]. Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS recertification on behalf of the Disclosing Party, (2) warrants that all certifications and statements contained in the Disclosing Party's original EDS are true, accurate and complete as of the date furnished to the City and continue to be true, accurate and complete as of the date of this recertification, and (3) reaffirms its acknowledgments.

Michael Tadin / TD Capital Investment
(Print or type legal name of Disclosing Party)

Date: 5/15/2012

By:

Michael Tadin
(sign here)

Print or type name of signatory:

Michael Tadin

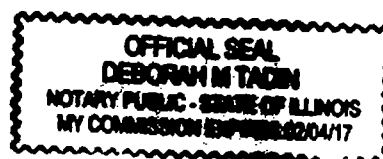
Title of signatory:

President

Signed and sworn to before me on [date] 15th MAY, by Michael Tadin, at Cook County, IL [state].

Deborah M. Tadin Notary Public.

Commission expires: 2-4-17



(DO NOT SUBMIT THIS PAGE WITH YOUR EDS. The purpose of this page is for you to recertify your EDS prior to submission to City Council or on the date of closing. If unable to recertify truthfully, the Disclosing Party must complete a new EDS with correct or corrected information)

RECERTIFICATION

Generally, for use with City Council matters. Not for City procurements unless requested.

This recertification is being submitted in connection with TD Capital Investments, [identify the Matter]. Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS recertification on behalf of the Disclosing Party, (2) warrants that all certifications and statements contained in the Disclosing Party's original EDS are true, accurate and complete as of the date furnished to the City and continue to be true, accurate and complete as of the date of this recertification, and (3) reaffirms its acknowledgments.

Michael Tadin / TD Capital Investments
(Print or type legal name of Disclosing Party)

Date: 5/15/2012

By:

Michael Tadin
(sign here)

Print or type name of signatory:

Michael Tadin

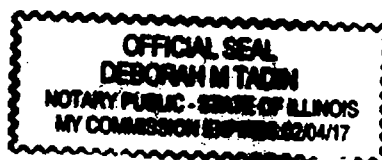
Title of signatory:

President

Signed and sworn to before me on [date] 15th MAY, by Michael Tadin, at Cook County, IL [state].

Deborah M Tadin Notary Public.

Commission expires: 2-4-17



CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a if applicable:

Michael Tadin, Jr.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☒ ~~a legal entity~~ ^{individual} with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party:

4450 S. Morgan St.
Chicago, IL 60609

C. Telephone: _____

Fax: _____

Email: c/o Sbarstein@nealander.com

D. Name of contact person:

c/o Scott R. Sbarstein

E. Federal Employer Identification No. (if you have one):

N/A

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

CDOT re-subdivision of property at 38th / Normal

G. Which City agency or department is requesting this EDS?

CDOT

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following: N/A

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☒ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |
-

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
------	-------

N/A

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
N/A		

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	---

N/A

(Add sheets if necessary)

☒ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

None

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

N/A

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is

☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

N/A

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☒ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

✓ 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. **If the Matter is not federally funded**, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

N/A

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

N/A

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

(Print or type name of Disclosing Party)

By: Mike Tadiu

(Sign here)

Mike Tadiu

(Print or type name of person signing)

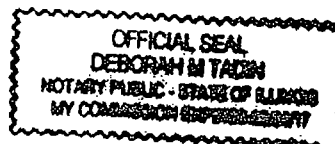
Manager

(Print or type title of person signing)

Signed and sworn to before me on (date) 6-24-13
at COOK County, ILLINOIS (state).

Deborah M. Tadiu Notary Public.

Commission expires: 2-4-17



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Dan + Joan Sabbia

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant
OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest:
OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party:

617 W. 37th ST. 1st Floor
Chicago, IL 60609

C. Telephone: 909

Fax: _____

Email: _____

.com

D. Name of contact person:

Dan Sabbia

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Real Estate Development W. 38th PL. Normal

G. Which City agency or department is requesting this EDS?

CDOT

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification #

N/g

and Contract #

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☒ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

ILLINOIS

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes

☐ No

☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

N/A

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
Dan Sabbia	617 W. 38 th ST.	50%
Joan Sabbia	617 W. 37 th ST.	50%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	--

PAT Falahee	Attorney		
53 W. JACKSON	Suite 842		
Chicago, IL	60604		

(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

N/A

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is

☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☒ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available online at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Dan Sabbia
(Print or type name of Disclosing Party)

By: Dan Sabbia
(Sign here)

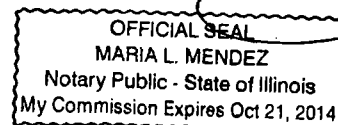
Joan Sabbia
(Print or type name of person signing)

Joan Sabbia
(Print or type title of person signing)

Subscribed and sworn to before me

this 13 day of May 2013
at Chicago, County of Cook, State of Illinois.

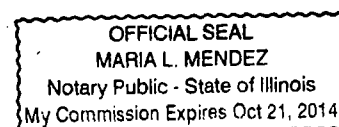
Notary Public



Signed and sworn to before me on (date) 5/13/13,
at CCWC County, Ill (state).

Maria L. Mendez Notary Public.

Commission expires: 10/21/2014.



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Russell + Debra Scalise

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant
OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____
OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of co: _____

B. Business address of the Disclosing Party: _____

C. Telephone: _____

Email: _____

D. Name of contact person: Russell Scalise

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Real Estate Development W 38th PL EAST of
Norma

G. Which City agency or department is requesting this EDS? CDOT

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # N/g and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☒ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

ILLINOIS

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes

☐ No

☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

N/A

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
Russell Scalise	444 W. 38 th ST.	50%
Debra Scalise	444 W. 38 th ST.	50%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	--

PAT Falaher ATTORNEY

53 W. JACKSON Suite 842

Chicago, IL 60604

(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes

☒ No

☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes

☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

N/A

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☒ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

 X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available online at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Russell Scalise
(Print or type name of Disclosing Party)

By: Russell Scalise
(Sign here)

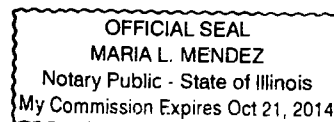
Debra Scalise
(Print or type name of person signing)

Debra Scalise
(Print or type title of person signing)

Signed and sworn to before me on (date) 5/13/2013,
at Will County, Ill (state).

Maria L. Mendez Notary Public.

Commission expires: 10/21/2013



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.



City of Chicago



O2013-4970

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Reilly, Brendan (42)
Type:	Ordinance
Title:	Approval of resubdivision for Loyola Resubdivision
Committee(s) Assignment:	Committee on Transportation and Public Way

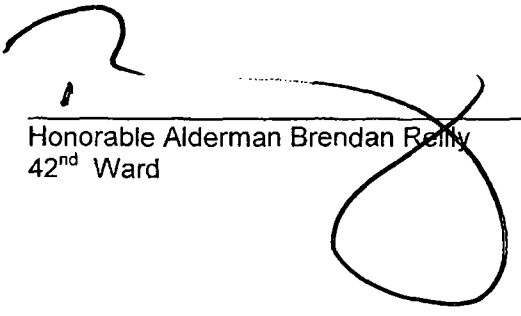
RESUBDIVISION ORDINANCE

Be it Ordained by the City Council of the City of Chicago:

SECTION 1. Chicago Department of Transportation, the Commissioner or the designee of the Commissioner, are hereby authorized and directed to approve a proposed Loyola Resubdivision being a resubdivision in the block bounded by E. Chestnut Street, E. Pearson Street, N. State Street, and N. Wabash Avenue, and legally described in the attached plat (Exhibit A, File:03-42-13-3599) which, for greater certainty, is hereby made a part of this ordinance.

SECTION 2. The resubdivision herein provided for is made upon the express condition that within one hundred eighty (180) days after the passage of this ordinance, the applicant shall file or cause to be filed for record in the Office of the Recorder of Deeds of Cook County, Illinois a certified copy of this ordinance, together with the attached Plat approved by the Department of Transportation / Superintendent of Maps and Plats.

SECTION 4. This ordinance and exhibit resubdivision plat shall take effect and be in force from and after its recording.



Honorable Alderman Brendan Reilly
42nd Ward

LOYOLA RESUBDIVISION

[illegible]

ALL LOT CONVEYANCES (INCLUDING CHARGES) WILL BE THE RESPONSIBILITY OF THE APPLICANT. THE APPLICANT SHALL BE RESPONSIBLE FOR THE PROTECTION OF THE LOT.

FOIA b 7 - Exemption:

LOCATED AT THE INTERSECTION OF W. CHICAGO AVE. & N. CLAREMONT ST.
ABOUT 94.5 FT. WEST OF THE WEST LINE OF S. DEARBORN
ST. AND ABOUT ON THE NORTH LINE OF W. CHICAGO AVE.
MEASURING OUT ON THE NE CORNER OF CONCRETE BLOCK BLDG. AT
THE CORNER OF 2 STORY BLDG. (34-58 W. CHICAGO AVE.)
MARKS AT 3.8 FT. ABOVE GULL.

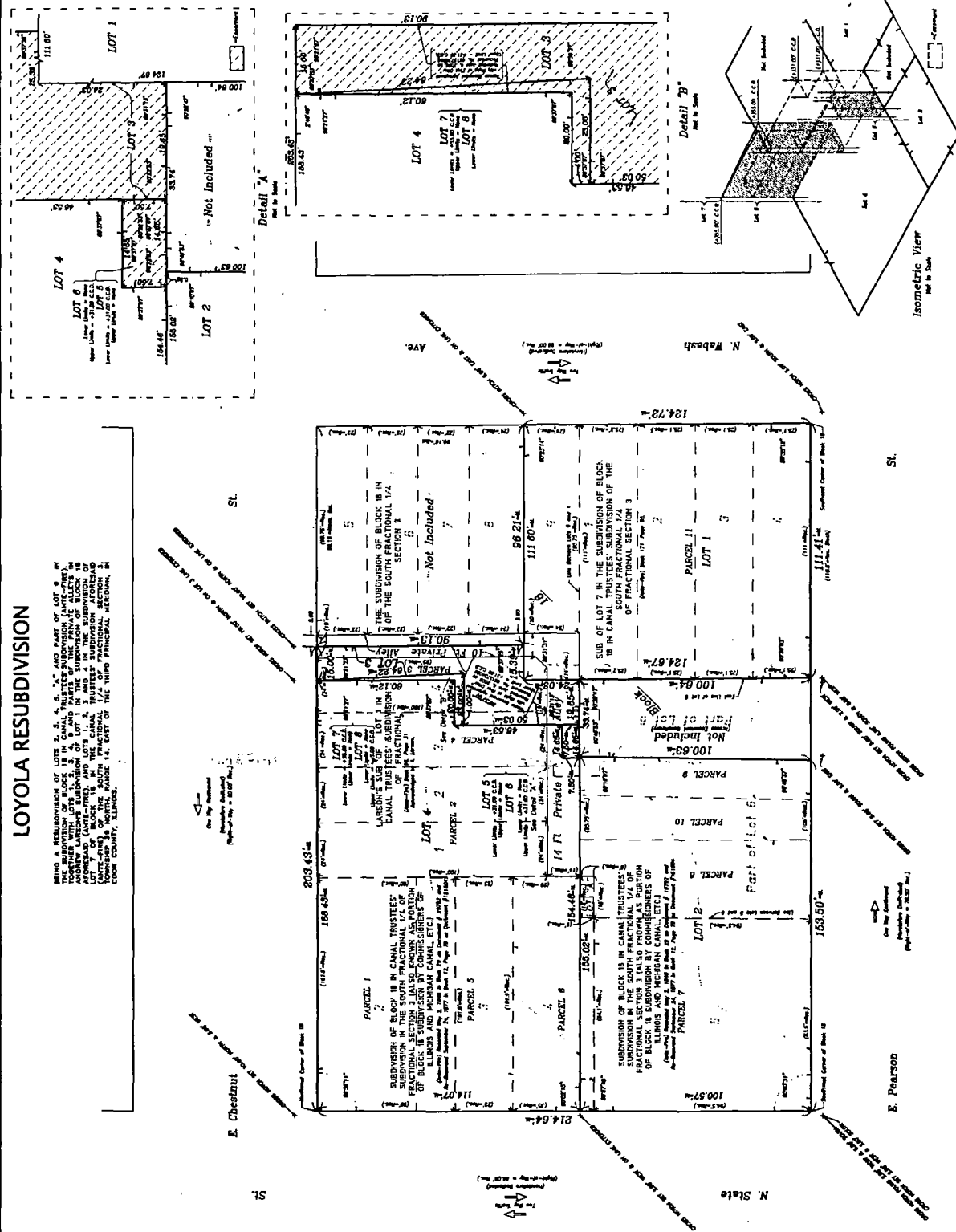
ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED EXCEPT WHERE SHOWN OTHERWISE BY A DATE AND AUTHORITY.

EXAMINER'S CARD NUMBER	PAPER NUMBER
17-05-273-001	1
17-05-273-002	1
17-05-273-003	4
17-05-273-004	5
17-05-273-005	PART OF 7
17-05-273-006	REMEMBER OF 7
17-05-273-007	2
17-05-273-008	4
17-05-273-009	REMEMBER OF 11
17-05-273-010	8
17-05-273-011	9
17-05-273-012	10
17-05-273-013	PART OF 11
17-05-273-014	PART OF 11
17-05-273-015	PART OF 11
17-05-273-016	PART OF 11
17-05-273-017	PART OF 11
17-05-273-018	PART OF 11
17-05-273-019	PART OF 11
17-05-273-020	PART OF 11

AREA TABLE (Name of Area)				
LAT	LON	TIME (L.S.T.)	WIND (K.T.)	WIND DIR
1	1	NONE	NONE	11.504
2	1	NONE	NONE	0.91919
3	2	NONE	NONE	0.20014
4	2	NONE	NONE	0.01108
5	3	NONE	NONE	0.47719
6	3	(4) 31.207	NONE	0.02253
7	4	(4) 04.207	NONE	0.04404
8	4	(4) 15.207	NONE	1.2008
				82.308
				1.2008

CDOT # 03-42-13-3599

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED EXCEPT WHERE SHOWN OTHERWISE. DATE 08-11-2010 BY 60322 UCBAW/STP



UN. ACCT.	NUM. 1	DATE	DATE	DATE
1013	1013	1013	1013	1013

Page 1 of 2

CIVIL 3D PROJECTS/M128945/8946-RESUB--P1 DWG

LOYOLA RESUBDIVISION

10-28

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Loyola University of Chicago

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 820 N. Michigan Avenue, Suite 1500

Chicago, IL 60611

C. Telephone: 312-915-6403 Fax: 312-915-6414 Email: wmagdzi@luc.edu

D. Name of contact person: Wayne Magdziaz

E. Federal Employer Identification No. (if you have one):

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Subdivision Plat Application

G. Which City agency or department is requesting this EDS? Chicago Department of Transportation

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☐ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☒ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Illinois not-for-profit corporation

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

See Exhibit A, attached hereto and made part hereof.

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
Not Applicable		

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	--

See Exhibit B, attached hereto and made part hereof.

(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☐ No ☒ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter;

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33B-3; (2) bid-rotating in violation of 720 ILCS 5/33B-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

Steven Holler (until December 2012)

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

LOYOLA UNIVERSITY OF CHICAGO

(Print or type name of Disclosing Party)

By: _____

(Sign here)

WAYNE MAGDZIARZ

Senior Vice President for

Capital Planning & Campus Management

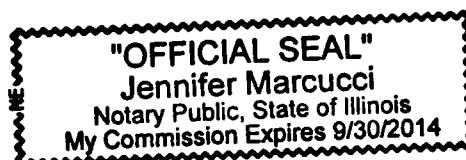
(Print or type name of person signing)

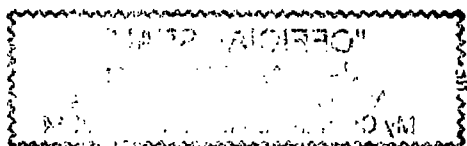
(Print or type title of person signing)

Signed and sworn to before me on (date) June 17, 2013,

at Cook County, Illinois (state).

Jennifer Marcucci Notary Public.
Commission expires: 9/30/14.





**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

EXHIBIT A

OFFICERS
of
LOYOLA UNIVERSITY CHICAGO
*June 7, 2013**



Preparing people to lead extraordinary lives

Elected to a 3 Year Term which Expires in June of 2016

Robert L. Parkinson, Jr.
Chairman of the Board

Sr. Mary Ann Zollmann, B.V.M.
Vice Chairman of the Board

Elected to a 1 Year Term which Expires in June of 2014

Michael J. Garanzini, S.J.
President and CEO

Richard L. Gamelli, M.D.
Senior Vice President and Provost for Health Sciences

John P. Pelissero
Provost

Philip D. Hale
Vice President for Government Affairs

Jonathan R. Heintzelman
Senior Vice President for Advancement

Emilio Iodice
Vice President, Director John Felice Rome Center

Thomas M. Kelly
*Senior Vice President for Administrative Services and
Chief Human Resources Officer*

Robert D. Kelly
Vice President for Student Development

William G. Laird
Senior Vice President for Finance and CFO

Wayne Magdziarz
Senior Vice President for Capital Planning and Campus Management

Susan Malisch
Vice President and Chief Information Officer

Ellen Kane Munro
Senior Vice President and General Counsel and Secretary

Kelly Shannon
Vice President for University Marketing and Communication

Pamela G. Costas
Assistant Secretary

Eric C. Jones
Treasurer

* Officers elected at this meeting shall take office immediately following the meeting

**LOYOLA UNIVERSITY CHICAGO
TRUSTEES AND THEIR AFFILIATIONS**

June 7, 2013

MR. PATRICK ARBOR
Director
Shatkin Arbor, Inc.

MR. ROBERT M. BEAVERS, JR.
Chairman & CEO
Beavers Holdings

MR. JAMES P. BOUCHARD
Chairman & CEO
Esmark, Inc.

MR. WILLIAM A. BRANDT, JR.
President and CEO
Development Specialist, Inc. - DSI

MICHAEL J. CARBON, M.D.
Retired Vice President and CEO
Nephrology Associates

MR. RONALD E. DALY
Retired CEO
Océ

MR. CHARLES W. DENNY
Retired Chairman & CEO
Schneider North America Group

REV. CHRISTOPHER J. DEVRON, S.J.
President
Christ the King Jesuit College Prep

MRS. MARY JUDITH DUCHOSSOIS

REV. PAUL J. FITZGERALD, S.J.
Sr. V.P. for Academic Affairs
Fairfield University

REV. MICHAEL J. GARANZINI, S.J.
President and CEO
Loyola University Chicago

REV. THOMAS P. GREENE, S.J.
Secretary for Social & International
Ministries, Jesuit Conference, USA

MR. JOHN J. HARTMAN
President
Rise Group, LLC

MR. MARVIN HERMAN
Architect
Marvin Herman & Associates

MR. PATRICK J. KELLY
CEO
Resource One

MR. WILLIAM G. KISTNER
Vice President Internal Audit
Northwestern Memorial Hospital

MR. WILLIAM C. KUNKLER, III
Executive Vice President
CC Industries Inc.

MR. PATRICK C. LYNCH
President
Chicago Equity Partners, LLC

MR. BARRY MCCABE
President Emeritus
Hometown America

REV. PATRICK MCGRATH, S.J.
President
Loyola Academy

MR. CARLOS MONTOYA
President & CEO
AztecaAmerica Bank

MR. ALLAN J. NORVILLE
President
Financial Associates, Inc

**MR. ROBERT L. PARKINSON, JR.
(CHAIR)**
Chairman & CEO
Baxter International

REV. SCOTT R. PILARZ, S.J.
President
Marquette University

MR. MICHAEL R. QUINLAN
Chairman Emeritus
McDonald's Corporation

MR. RICHARD L. RODRIGUEZ
Vice President and Business Dev. Director
Lend Lease

DR. JUDITH A. SCULLY
Professor Emeritus
Loyola University Chicago

MR. MICHAEL D. SEARLE
Private Investor

MS. SMITA N. SHAI
President
SPAAN Technologies, Inc.

MS. SUSAN SHER
Exec. VP for Corp. Strategy and Public Affairs
Sr. Advisor to the President of the University
University of Chicago Medical Center

MR. RAYMOND F. SIMON
Chairman
Helen Brach Foundation

MR. GEORGE ANDREWS SMITH
CEO
L&B Realty Advisors, LLP

MR. BRIAN K. SPEERS
Sr. Vice President - Investments
Merrill Lynch, Pierce, Fenner & Smith Inc

MRS. CYNTHIA STARK
Owner, Life Coach
Oak Brook Racquet and Fitness Club

MS. JOAN E. STEEL
Founder and President
Alpha Wealth Advisors, LLC

MRS. JACKIE TAYLOR HOLSTEN
Senior Vice President, General Counsel
Holsten Real Estate Development Corp.

MS. MARY TOLAN
Founder & Chairman
Accretive Health

**SR. MARY ANN ZOLLMANN, B.V.M.
(VICE CHAIR)**
Former President
Sisters of Charity of the Blessed
Virgin Mary

EXHIBIT B

Lobbyists and Consultants

Loyola University of Chicago

	<u>Name</u>	<u>Business Address</u>	<u>Relationship</u>	<u>Fees</u>
1.	SNR Denton US LLP	7800 Sears Tower 233 S. Wacker Drive Chicago, IL 60606	Attorney/Lobbyists	\$10,000



City of Chicago



O2013-4968

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Burke, Edward M. (14)
Type:	Ordinance
Title:	Issuance of permits for sign(s)/signboard(s) at 3038 -- 3046 W 59th St
Committee(s) Assignment:	Committee on Zoning, Landmarks and Building Standards

ORDINANCE

Be it ordained by the City of Chicago:

Section 1. That the Commissioner of Buildings is hereby authorized and directed to issue a sign permit to M-K Signs, Inc., 4900 N. Elston Avenue, Chicago, IL 60630, for the election of a sign/signboard over 24 feet in height and / or 100 square feet (in area of one face) at Young Scholars Development Institute 3038-3046 W. 59 th Street, Chicago, IL 60629, with the dimensions, height and square foot area:

BANNER – WEST ELEVATION #1

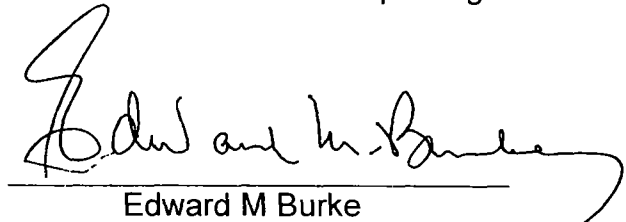
Dimensions: length: 96'0" height: 4'0"

Height above grade to top of sign: 13'0"

Total Square foot area: 384 square feet

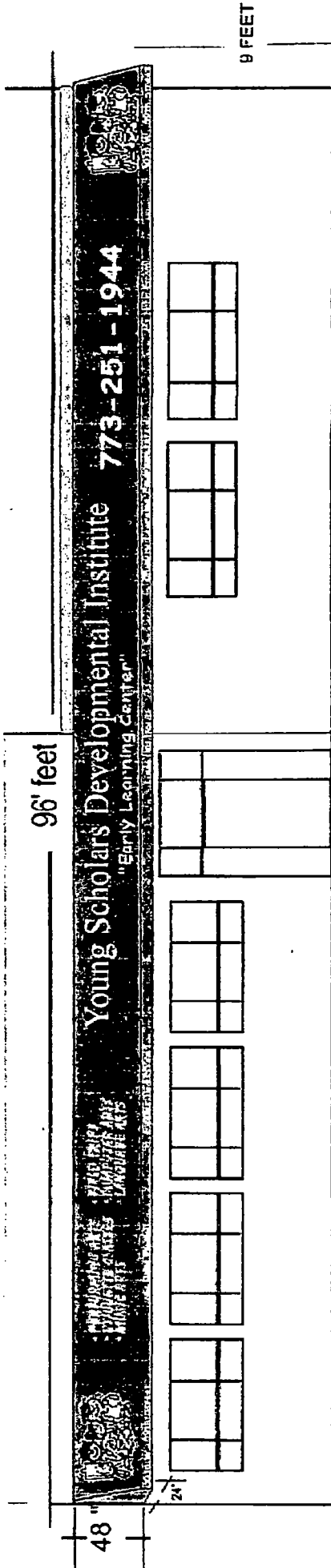
Not with standing any provisions of Title 17 of the Municipal Code, of the City of Chicago (the Chicago Zoning Ordinance) to the contrary, the Commissioner of Buildings is hereby directed and authorized to issue a sign permit to the address referenced within this ordinance.

Section 2. This ordinance shall be in force and effect from and after its passage and due publication.



Edward M Burke
Alderman, 14th Ward

3038 W. 59th Street
Chicagu IL 60629



NEW LAYOUT

APPROVED: _____

DATE: _____

MARK SIGNS
4900 N. ELSTON AVE
CHICAGO, IL 60630

3038 W. 59TH ST
CHICAGO, IL

SCALE
1 1/2" = 1'-0"

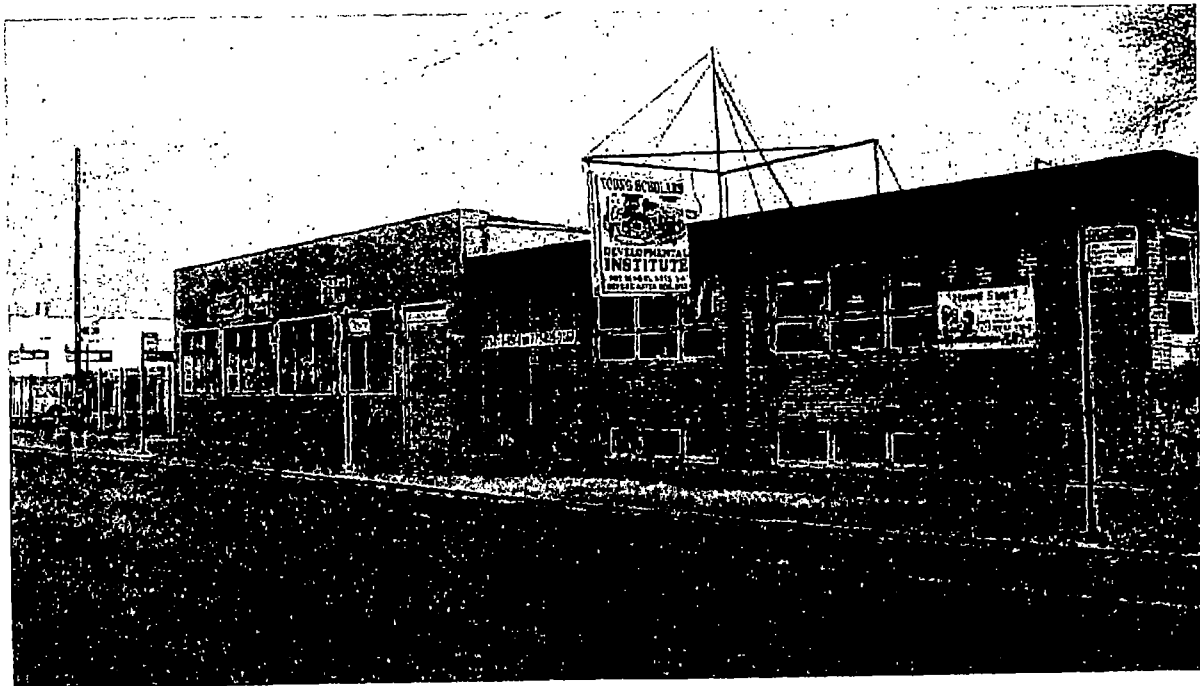
DESIGNER

DATE

SALES

DRAWING NUMBER

Colors represented in this drawing are for presentation purposes only.
They will not be used in the final printed version of the drawing.
All work shall conform to the standards of the International Brotherhood of
Signs, Inc. and shall be subject to the approval of the International Brotherhood of
Signs, Inc. This drawing is the property of the International Brotherhood of
Signs, Inc. and shall not be reproduced without the written consent of the International Brotherhood of Signs, Inc.



EXISTING FRONT

APPROVED: _____

DATE: _____

M-K SIGNS
CHICAGO

4900 N. ELSTON AVE
CHICAGO, IL 60630

3038 W. 59TH ST.
CHICAGO, IL

Colors represented in this drawing are for presentation purposes only.
They will not match your finished product exactly.
Actual color samples can be obtained from your sales representative.

This design is the original and unpublished work of MK SIGNS and may not be reproduced, copied or exhibited in any fashion without the expressed written consent of MK SIGNS. The rights to this design may be purchased.

SCALE
1 1/2" = 1'-0"

DATE

DESIGNER
KRK

SALES

FILE

DRAWING NUMBER
5005



CITY OF CHICAGO

DEPARTMENT OF BUILDINGS

Sign Permit Application

APPROVAL NUMBER	APPLICATION NUMBER 100494098	ANNUAL FEE	WORK CODE	DRAWINGS ATTACHED ☐ YES ☐ NO		
DATE OF APPLICATION 06/05/2013		TYPE OF SIGN AWNING				
ADDRESS OF SIGN 3038 W 59TH ST, 60629-		LENGTH 96	FT 0	HEIGHT 4	IN 0	
BUILDING	ORIGINAL PERMIT NUMBER	AREA 384	SQ. FT.	WEIGHT	LBS 300	
TYPE OF PERMIT NEW CONSTRUCTION (SIGN)		SIGN HEIGHT ABOVE GRADE/ROOF 9				
PAYER OF ANNUAL INSPECTION DEVELOPMENTAL INSTITUTE, YOUNG SCHOLARS 3038 WEST 59TH STREET CHICAGO, IL 60629 (773)545-4444		SHAPE OF SIGN REGULAR				
SIGN MANUFACTURER M-K SIGNS, INC		SIGN WILL READ YOUNG SCHOLARS DEVELOPMENT INSTITUTE				
ADDRESS WHERE SIGN CAN BE SEEN PRIOR TO ERECTION		NO. OF LAMPS				TOTAL WATTAGE
TICKET NUMBER 0		TYPE OF LAMP				REINSPECTION CONTROL NUMBER
TYPE OF SUPPORT FOR SIGN AWNINGS		NO. OF BALLAST/TRANSFORMERS				INPUT OF TRANSFORMERS
SIGN BOARD SUPPORT MEMBERS STEEL		CONTRACTOR WILL INSTALL				☒ FEEDERS ☒ CUSTOMER LEADS
ANNUAL FEE		TYPE OF SWITCH				LOCATION OF SWITCH
CONSTRUCTION FEE 1017 B FEE		SIGN LOCATION YOUNG SCHOLARS DEV INSTITUTE AWNING				
TOTAL FEE						
AMOUNT PAID						
BALANCE DUE						

The undersigned certify that the statements in this application are true and correct and that all work done under the proposed permit will conform to the requirements of the Chicago Municipal Code

ELECT CONTR	REG NO	BOND NO	REG NO E05834
ADDRESS	SIGN ERECTOR M-K SIGNS, INC.	SIGNER	
SUPERVISOR SIGNATURE	ADDRESS 4900 N. ELSTON AVE. CHICAGO IL, 60630	SIGNATURE	

The permit issued on this application will authorize only signs here applied for. If other signs are to be erected they must be covered by additional permits

City of Chicago
Rahm Emanuel, MayorDepartment of Buildings
Michael Merchant, Commissioner

TYPE OF BUSINESS <u>COMMERCIAL</u> Other: _____ Name: <u>YOUNG SCHOLARS DEVELOPMENT INS</u> LIC #: _____ Renewal Date: _____	SIGN BOND REQUIRED? ☐ YES COUNCIL ORDER REQUIRED ☒ YES IS SPECIAL PERMISSION REQUIRED FROM CHIEF ELECTRICAL ☐ YES IF YES, ATTACH LETTER OF REQUEST
Projects Over: ☒ Private Property ☒ Public Way Grant Permit # <u>1107005</u> ☐ Planned Development/Manufacturing PMD/PD# _____ Zoning District <u>B3</u> Other: _____	TIME STAMP
TYPE OF SIGN: ☐ ADVERTISING ☐ ILLUMINATE ☐ MOVEABLE ☒ BUSINESS ☐ FLASHING	
TOTAL STREET FRONTAGE OF LOT (IN FEET) <u>270</u>	
TOTAL AREA OF NEW SIGN (SQ FT.) <u>384</u>	
TOTAL AREA OF ALL SIGNS ON LOT (SQ FT.) <u>1</u>	
HEIGHT OF SIGN ABOVE GRADE (TO TOP) <u>13ft 0in</u>	
DISTANCE OF CURB LINE OUTER EDGE (ft) <u>10</u>	SIGN CLERK
DISTANCE OF STRUCTURE INNER EDGE (ft) <u>12</u>	APPROVED FOR PERMIT
DISTANCE FROM (ft) A. PUBLIC PARK (OVER 10 ACRES) _____ B. EXPRESSWAY (IF LESS THAN 1,000 FT.) _____ C. RESIDENCE DISTRICT (ADVERTISING SIGNS ONLY) _____	REMARKS
IF REPLACEMENT SIGN OR CHANGE OF FACE, WHAT DOES THE EXISTING SIGN READ? Original Payee: _____ Landmark Hold: ☐ Status: _____	
ZONING (OFFICE USE ONLY)	

PUBLIC WAY USE UNIT: PERMIT INFORMATION SHEET

06/04/2013 - Lisa Pusateri

DBA Name	<u>YOUNG SCHOLARS DEVELOPMENTAL INSTITUTE</u>
Location	<u>3038-3046 W. 59TH ST.</u>
Zip Code	<u>60629</u>
Account Number	<u>44583</u>
Site Number	<u>2</u>
Area	<u>PERMIT</u>
Permit Type	<u>SIGN</u>
Permit Number	<u>1107005</u>

Next steps: Department of Buildings – Permit process for signs

Your Public Way Use permit number is shown above. This number is to be used for each item on your DOB application and is needed for the Buildings (DOB) online sign application located @ www.cityofchicago.org/buildings. All signs, canopies, banners, marquees and awnings require a buildings permit. Only a licensed sign erector may apply for the Buildings permit online. The Buildings permit application will ask for the Public Way Use permit number supplied above. For additional information please contact the Buildings Department at (312) 744-3400.

Please return the completed Public Way Use application to City Hall - 121 N. LaSalle Street, Chicago, IL 60602 Room 800. The completed application package must include a copy of the completed DOB application and the Public Way Use application. The Public Way Use application must contain the Alderman's signature, site plans on 8 1/2 X 11 paper, photos of the item(s), the signed Acceptance letter and a copy of the insurance certificate. For additional information please contact BACP at (312)-74-GOBIZ (312-744-6249).

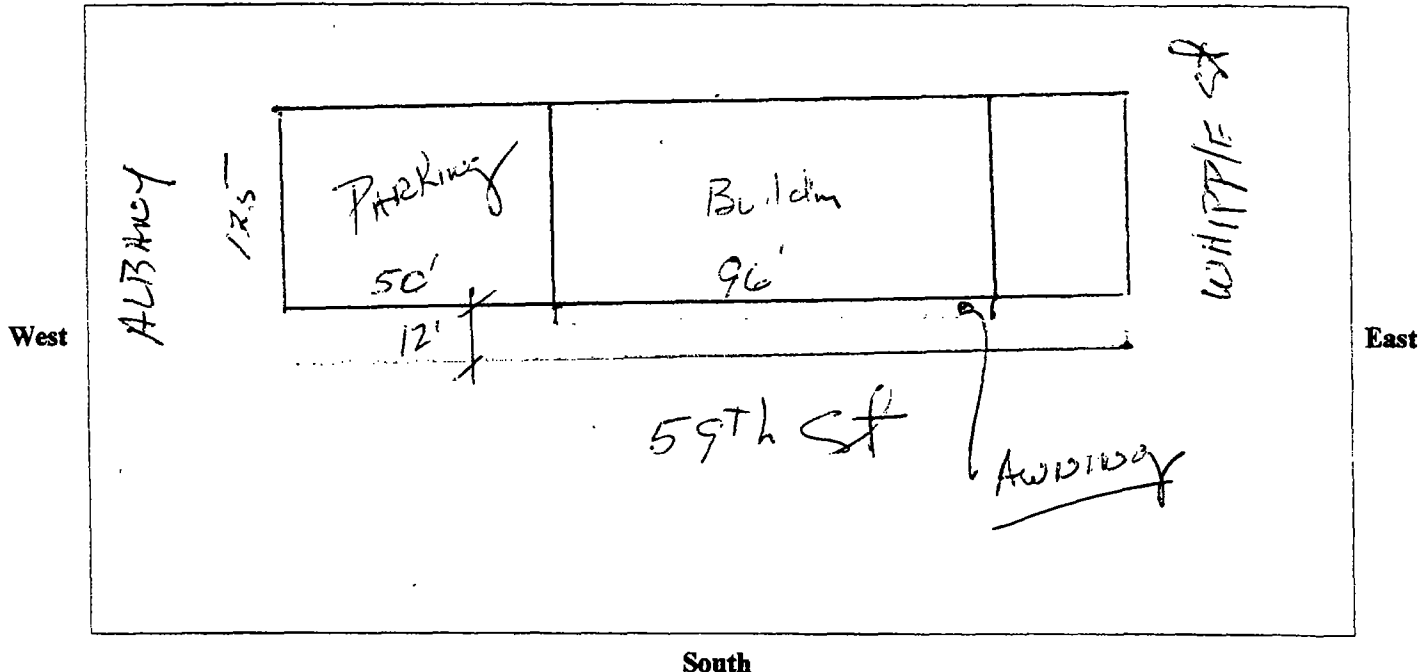
CITY OF CHICAGO
DEPARTMENT OF ZONING AND LAND USE PLANNING
SIGN SITE PLAN

(ALL INFORMATION MUST BE COMPLETED AND LEGIBLE)

Site Address: 3038 W 59TH ST. 1 of 1 applications

Sign Company: M-K SIGNS INC Rep Name: Tony Cilia

Phone (773) 545-4444 EXT (Below: Building, streets and location of sign on lot or structure)
North



SIGN USE:

Bus. ID (On-premise) ☒

Business Lice. #

ACC# 44583

Advertising (Off-premise) ☐

PERMIT TYPE:

New Construction ☒

Change of Face

Previous Permit # ☐

TOTAL SQUARE FOOTAGE:

Square footage of this proposed sign 384

Gross area of all proposed signs 384

Area of all existing signs

(not including proposed) on Zoning Lot 0

TYPE OF SIGN:

Flat Wall ☐

Freestanding ☐

Awning ☒

Marquee ☐

High Rise Building ☐

Projecting Private ☐

Projecting Public Way ☒

Public Way Use -Permit #

1107005

SIGN CHARACTERISTICS:

Non-Illuminated ☒

Illuminated ☐

Changing Image ☐

Video Display ☐

Flashing ☐

DISTANCE FROM:

Curb Line: 10'

Expressway, Toll Roads

or Major Route

(n/a if over 1000 ft)

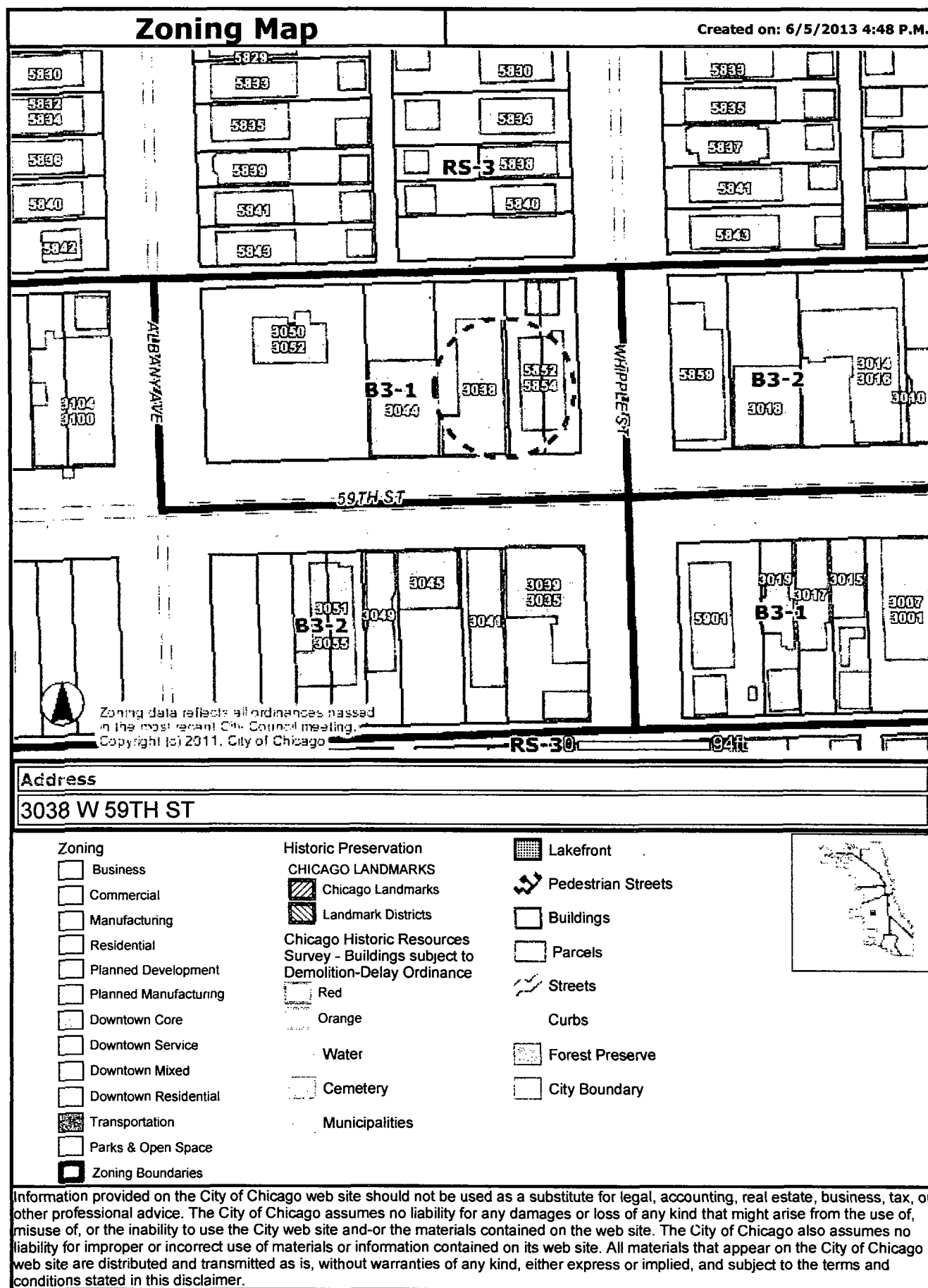
Park (over 10 acres)

Residential Zone

Existing Off-premise on
same side of street:

Signature: *Tony Cilia*

Date: 6-5-13





City of Chicago



O2013-4983

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	Cochran, Willie (20)
Type:	Ordinance
Title:	Vacation of Public Way(s) on portions of S Prairie Ave
Committee(s) Assignment:	Committee on Transportation and Public Way

INDUSTRIAL ORDINANCE

WHEREAS, the City of Chicago ("City") is a home rule unit of local government pursuant to Article VII, Section 6 (a) of the 1970 constitution of the State of Illinois and, as such, may exercise any power and perform any function pertaining to its government and affairs; and

WHEREAS, the City has experienced a significant loss of industry and jobs in recent years, accompanied by a corresponding erosion of its tax base, due in part to industrial firms' inability to acquire additional property needed for their continued viability and growth; and

WHEREAS, many industrial firms adjoin streets and alleys that are no longer required for public use and might more productively be used for plant expansion and modernization, employee parking, improved security, truck loading areas or other industrial uses; and

WHEREAS, the City can strengthen established industrial areas and expand the city's jobs base by encouraging the growth and modernization of existing industrial facilities through the vacation of public streets and alleys for reduced compensation; and

WHEREAS, the properties at 6300-6358, 6400-6458, 6500-6558, 6509-6557, & 6601-6609 are owned by Norfolk Southern Railway Company and Norfolk Western Railroad Company; and

WHEREAS, Norfolk Southern Railway Company and Norfolk Western Railroad Company employ 75 part time employees; and

WHEREAS, Norfolk Southern Railway Company and Norfolk Western Railroad Company propose to use the portion of the Street to be vacated herein for the creation of a new entrance with automated gate system for the Intermodal Terminal; and

WHEREAS, The City Council of the City of Chicago, after due investigation and consideration, has determined that the nature and extent of public use and the public interest to be subserved is such as to warrant the vacation of part of public Street described in the following ordinance; now, therefore,

BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF CHICAGO:

SECTION 1. ALL OF PRAIRIE AVENUE LYING SOUTH OF THE SOUTH RIGHT OF WAY OF 63RD STREET AND NORTH OF THE NORTH RIGHT OF WAY LINE OF THE NEW YORK CENTRAL RAILROAD, EXCEPT THAT PART OF PRAIRIE AVENUE HERETOFORE VACATED ON NOVEMBER 9, 1951 AS DOCUMENT NUMBER 15213168; ALSO EXCEPT THAT PART OF PRAIRIE AVENUE HERETOFORE VACATED ON JANUARY 27, 1988 AS DOCUMENT NUMBER 88128031, ALL IN THE EAST HALF OF THE NORTHWEST QUARTER OF SECTION 22, TOWNSHIP 38 NORTH, RANGE 14 EAST OF THE THIRD PRINCIPAL MERIDIAN, COOK COUNTY, ILLINOIS. as shaded and legally described by the words HEREBY VACATED on the drawing hereto attached as Exhibit A, which drawing for greater, is hereby made a part of this ordinance, be and the same is hereby

vacated and closed, inasmuch as the same is no longer required for public use and the public interest will be subserved by such vacations.

SECTION 2. The Commissioner of Transportation is hereby authorized to accept and approve a restrictive covenant or similar instrument restricting the use and improvement of the public way vacated in Section 1 of this ordinance to industrial uses and for such use and improvements that are accessory as that term is defined in the Chicago Zoning Ordinance. The restriction on use and improvement in the covenant agreement or instrument shall be for a term of 40 years and upon breach of such restriction the public way herein vacated shall revert to the City and be subject to the terms and conditions of the dedication by which it has been heretofore held by the City.

SECTION 3. The City of Chicago hereby reserves for the benefit of Commonwealth Edison its successors or assigns, a non-exclusive utility easement to operate, maintain, construct, replace and renew overhead wires, poles, and associated equipment and underground conduit, cables, and associated equipment for the transmission and distribution of electrical energy, telephonic and associated services under, over and along the street herein vacated, with the right of ingress and egress. The grade of the vacated public way shall not be altered in a manner so as to interfere with the operation and maintenance of Commonwealth Edison's facilities. No buildings, permanent structures or obstructions shall be placed over Commonwealth Edison's facilities without written release of easement by Commonwealth Edison. Any future vacation-beneficiary prompted relocation of Commonwealth Edison's facilities lying within the area being vacated will be accomplished by Commonwealth Edison and done at the expense of beneficiary of the vacation.

SECTION 4. The City of Chicago hereby reserves for the benefit of The Peoples Gas Light and Coke Co. an easement to operate, maintain, repair, renew and replace existing underground facilities and to construct new facilities in all of the area to be vacated, with the right of ingress and egress at all times for any and all such purposes. It is further provided that no buildings or other structures shall be erected on said easement herein reserved for The Peoples Gas Light and Coke Co. or other use made of the said area which would interfere with the construction, operation, maintenance, repair, removal, or replacement of said facilities, or the construction of additional facilities. Any future vacation-beneficiary prompted relocation of Peoples Gas facilities lying within the area being vacated will be accomplished by Peoples Gas, and done at the expense of beneficiary of the vacation.

SECTION 5. The City of Chicago hereby reserves the area herein vacated, as a right of way for existing Water Department sewers and sewer structures, for the installation of any additional sewers, sewer structures and appurtenances now located or, which in the future, and be located in the street as herein vacated, and for the maintenance, renewal and reconstruction of such facilities. It is also provided that, the City shall have 24 hour access to the area to be vacated; that no buildings or other permanent structures shall be erected on said right of way herein reserved, or other use made of said area, which in the sole discretion and judgment of the respective municipal officials having control of the aforesaid service facilities, would interfere with the use, maintenance, renewal, or reconstruction of said facilities, or the construction of additional municipally-owned service facilities; and that all sewers structures shall be exposed to grade. It is further provided that any vacation-beneficiary prompted

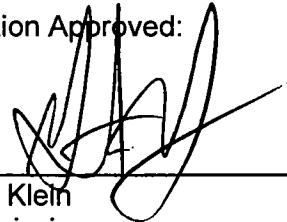
adjustments to sewer facilities in the area to be vacated; and the repair, renewal or replacement of any private materials, or private property damaged in the area to be vacated as a result of the City exercising its easement rights shall be done at the expense of the beneficiary of the vacation.

SECTION 6. The vacation herein provided for is made upon the express condition that within 180 days after the passage of this ordinance, Norfolk Southern Railway Company and Norfolk Western Railroad Company shall deposit in the City Treasury of the City of Chicago, a sum sufficient to defray the costs of removing paving and curb returns and constructing sidewalk and curb at the entrance to that part of the street hereby vacated, similar to the adjacent and contiguous sidewalk and curb.

SECTION 7 The vacation herein provided for is made upon the express condition that within 180 days after the passage of this ordinance, Norfolk Southern Railway Company and Norfolk Western Railroad Company shall pay or cause to be filed for record in the Office of the Recorder of Deeds of Cook County, Illinois, a certified copy of this ordinance, together with a restrictive covenant, complying with Section 2 of this ordinance and approved by the Corporation Counsel, and the attached plat approved by the Superintendent of Maps and Plats.

SECTION 8. This ordinance shall take effect and be in force from and after its passage and publication. The vacation shall take effect and be in force from and after its recording.

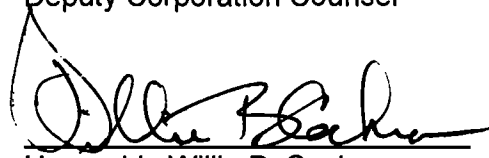
Vacation Approved:



Gabe Klein
Commissioner

Approved as to Form and Legality



Richard Wendy
Deputy Corporation Counsel

Honorable Willie B. Cochran
Alderman, 20th Ward

FRANK AVENUE VACATION[illegible]**PATRICK**
ENGINEERING INC.

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SCALE	1"=100'	DATE	06/14/12
FIELD CREW	cd/rj/bts	PROJECT	21051.006
DRAWN BY	cd/rj/cb	SHEET No	
CHECKED BY	cb	1	
APPROVED BY	af	1 OF 1 SHEETS	

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Norfolk Southern Railway Company

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant
OR

2. ☒ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: Norfolk Southern Railway Company
OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: Three Commercial Place

Norfolk, Virginia 23510

C. Telephone: (757) 629-2836 Fax: (757) 629-2607 Email: Thomas.Ambler@nscorp.com

D. Name of contact person: Thomas W. Ambler

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Vacation of Prairie Avenue south of 63rd Street (File No. 22-20-11-3243)

G. Which City agency or department is requesting this EDS? Department of Transportation

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II – DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☐ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☒ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☐ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Virginia

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☒ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
Charles W. Moorman	Director, Chairman, President & Chief Executive Officer
Mark D. Manion	Director and Vice President
Donald W. Seale	Director and Vice President
John P. Rathbone	Director, Vice President

(*Continued on Attachment II.B.1.a)

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
Norfolk Southern Corp.	Three Commercial Place Norfolk, VA 23510	100%

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes ☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

N.A.

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
Thomas Murphy	111 W. Washington St. Chicago, IL 76060	Lobbyist/Attorney	Less than \$5,000 (estimated)
Charles H. Allen	2305 Club Court Valparaiso, IN 46383	Consultant	Less than \$5,000 (estimated)

(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

A number of the questions in the City of Chicago's Economic Disclosure Statement and Affidavit (the "EDS Statement") appear intended to solicit information from smaller organizations where all of the knowledge of that organization's activities resides among a handful of people rather than to a large publicly-traded corporation like Norfolk Southern Corporation ("NSC"), which owns Norfolk Southern Railway Company ("NSR," and together with NSC and NSC's other subsidiaries, "Norfolk Southern") . . . (*Continued on Attachment V.B.7)

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

David Martin Svalina (former employee of Chicago)

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

x 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

Note: Records on this list have references to slave labor. Owners' names are listed with slaves' names when given following in parenthesis. Where no names are given, those records with references to hiring provisioning or medical services for slaves are still noted. All surviving records of antecedent companies in the possession of Norfolk Southern Corporation for the period prior to 1866 have been searched; only those records with references to slave labor have been included in this list . . . ("Continued on Attachment V.B.2.)

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

N.A.

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII – ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Norfolk Southern Railway Company

(Print or type name of Disclosing Party)

By: _____

(Sign here)

James A. Hixon

(Print or type name of person signing)

Vice President

(Print or type title of person signing)

Signed and sworn to before me on (date) 6-7-13,
at Norfolk County, VA (state).

Terrel M. Wiggins Notary Public.

Commission expires: 1-31-14.



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

ATTACHMENT II.B.1.a

Deborah H. Butler	Vice President
Cynthia C. Earhart	Vice President
James A. Hixon	Vice President
James A. Squires	Vice President
Daniel D. Smith	Vice President
Denise W. Hutson	Corporate Secretary

ATTACHMENT V.B.7

Norfolk Southern has thousands of employees and business operations in 22 states and the District of Columbia. NSR along with its consolidated rail subsidiaries ("NS Rail") is engaged primarily in the transportation of freight by rail. NS Rail operates approximately 21,000 miles, primarily in the east and Midwest, including approximately 861 miles in Illinois and 36 in Chicago. NSR and NSC used their best efforts to gather as much of the requested information as reasonably possible and without undue effort and expense, but, because of their large size, all responses given in all of the EDS Statement are only to the best of the reasonable knowledge of NSC and NSR, are at the risk of not having knowledge of certain information, and the executive officer signing the EDS Statement does so based on actual knowledge or information supplied to that executive officer. Due to the scope of its operations and the number of employees and contractors, Norfolk Southern makes no representations as to parties other than NSR, NSC and their respective executive officers and directors. Additional information about Norfolk Southern Corporation can be found at the website, www.nscorp.com, including its Annual Report for the fiscal year ended December 31, 2012, and at NSC's filings with the U.S. Securities and Exchange Commission ("US SEC"), where are found at <http://www.sec.gov>.

The following two paragraphs are responsive to Certification V.B.1.e. on page 5

Norfolk Southern is subject to extensive applicable federal, state, and local environmental laws and regulations. Norfolk Southern is, from time to time, investigated by these and other regulatory agencies in the ordinary course of business. Norfolk Southern cooperates with all government agency investigations. Due to the scope of its operations and the number of employees, however, Norfolk Southern cannot provide information regarding all such investigations without undue effort or expense, if at all. The list of certain investigations found attached in Table V.B.1.e is that information that Norfolk Southern was able to identify without undue effort or expense.

In addition to the regulation described in the preceding paragraph, Norfolk Southern is also subject to commercial regulation by the United States Surface Transportation Board, and its operations are regulated extensively by the United States Department of Transportation, including the Federal Railroad Administration, and the Department of Homeland Security and the Operational Safety and Health Administration, some of which in some cases has a preemptive effect. In addition, Norfolk Southern's operations are subject to extensive federal, state, and local environmental, labor and employment and other laws and regulations. Norfolk Southern is, from time to time, alleged to be in violation of administrative, statutory or regulatory provisions in the ordinary course of business. Norfolk Southern cooperates with all government agencies in seeking to resolve such alleged violations. Due to the scope of its operations and the number of employees, Norfolk Southern cannot provide detailed information regarding all such violations without undue effort or expense, if at all.

However, in addition to that material information which may be found at the noted US SEC website, also attached in Table V.B.1.e is that information which can be secured without undue effort or expense.

TABLE V.B.1.e

Part 1

1. In April, 2008, the United States Department of Justice filed suit against Norfolk Southern Railway Company seeking civil penalties and injunctive relief under the Clean Water Act and the Comprehensive Environmental Response, Compensation and Liability Act, related to the Jan. 6, 2005 derailment in Graniteville, S.C. and associated release of chlorine into the atmosphere. In April, 2010, the parties reached a consent decree settling the lawsuit, subject to court approval. In the consent decree, Norfolk Southern agreed to pay a civil penalty of \$4 million, to undertake emergency response training and undertake a supplemental environmental project. There is no admission of liability.
2. Norfolk Southern was sued by the State of Illinois in connection with a derailment that was caused when a Union Pacific train improperly entered an interlocking and struck a Norfolk Southern train in Momence, Illinois on November 24, 2005. As a result of the collision, diesel fuel was released from the locomotives of both trains and certain limited amounts of other hazardous and non-hazardous materials were released from rail cars. The State of Illinois sued both Norfolk Southern and Union Pacific alleging various violations of environmental laws as a result of these releases and demanding penalties and other relief. This case was settled for a non-penalty payment of \$9,900 in January, 2010.
3. On approximately May 15, 2008, Norfolk Southern was notified by PDEP that the agency assessed a \$24,000 penalty against it for alleged violations of the Pennsylvania Storage Tank and Spill Prevention Act. PDEP claims that during an inspection at Conway Yard, Conway, Pennsylvania, it discovered several testing and recordkeeping violations. The penalty assessment was appealed and a final settlement reached with PDEP that resulted in a Consent Assessment of Civil Penalty for a \$12,000 fine.
4. On May 14, 2008, the United States Coast Guard issued a Notice of Violation in connection with a sheen of oil that resulted from a gasket failure on the land arm swivel joint of a manifold connecting to a fuel barge at Conway Yard. A boom was immediately deployed by Norfolk Southern forces and the swivel joint was taken out of service. Less than one gallon of fuel was estimated to be released. The Coast Guard's NOV assessed a \$250 penalty, which was paid.
5. Ohio EPA cited Norfolk Southern for the railroad's failure to file a Large Quantity Generator ("LQG") Report on August 6, 2008 in connection with a one-time hazardous material spill cleanup event at Columbus, Ohio. The failure to file was inadvertent since the yard facility ordinarily is a small quantity hazardous waste generator. The railroad late filed the LEQ report and has requested the State to delist the yard as a LQG. No penalty was assessed.
6. On August 20, 2009, Norfolk Southern entered into two Consent Agreements with U.S. EPA Region 4, resolving two alleged violations of the Clean Water Act associated with two separate releases of fuel oil locomotive fuel tanks which were accidentally breached by a master shoe retarder in Norris Yard, Irondale, Alabama. Norfolk Southern paid a total of \$9,000 in penalties in these two dockets.
7. In April and May 2008, the New Jersey Department of Environmental Protection issued a Notice of Violation and an Administrative Order and Notice of Civil Administrative Penalty Assessment, respectively, alleging that Norfolk Southern violated provisions of its New Jersey Pollutant Discharge Elimination System Permit at its Elizabeth City, NJ rail

terminal. Norfolk Southern immediately corrected any potential noncompliance issues and in November 2008, paid a penalty of \$5,000.

8. The United States Coast Guard issued a Notice of Violation in connection with the failure of a float level control switch at a waste water treatment plant pumping station that released approximately 500 gallons of oil and resulted in a light sheen on the Ohio River on December 18, 2009. An immediate response was undertaken to the release and the control switch was repaired. The Coast Guard's NOV assessed a \$1,500 penalty, which was paid.
9. The United States Coast Guard issued a Notice of Violation in connection with the release of diesel fuel from a valve on a loading dock that created a sheen on the Ohio River on March 2, 2010. An immediate response to the release was undertaken. The Coast Guard's NOV assessed a \$500 penalty, which was paid.
10. In late August 2010, as a result of an inspection by the Pipeline and Hazardous Materials Safety Administration, Norfolk Southern received a Notice of Probable Violation, Civil Penalty Assessment and Proposed Compliance Order (NOV) for alleged violations related to the operation and maintenance of a fuel pipeline in Macon, GA, including alleged recordkeeping deficiencies. A penalty of \$98,600 was paid on July 19, 2011 pursuant to a Final Order. Two additional Notices of Probable Violation and a Notice of Amendment were received in February 2011. On August 18, 2011 an additional penalty of \$77,500 was paid pursuant to a Final Order. Norfolk Southern has since retained a third party operator for this pipeline, thus resolving the alleged deficiencies.
11. In late June, 2010, the State of Ohio filed suit against Norfolk Southern alleging certain violations of state water laws at Norfolk Southern's coal transloading facility in Ashtabula, Ohio. Simultaneous with the filing of the complaint, the parties filed a Consent Order for Preliminary Injunction with the court that requires certain actions be undertaken by Norfolk Southern at the facility. A final Consent Order was entered by the Court on August 11, 2011 that provided for final relief and the payment of an \$115,000 penalty.
12. NSR concluded negotiations with the Federal Railroad Administration and paid \$1,412,495 to resolve alleged violations of various FRA regulations (e.g., mechanical defects, safety appliance, hazardous material handling) transmitted by FRA in 2011 and early 2012. Date of action: 8/9/2012.
13. NSR concluded negotiations with the Federal Railroad Administration and paid \$1,160,965 to resolve alleged violations of various FRA regulations (e.g., mechanical defects, safety appliance, hazardous material handling) transmitted by FRA in 2010 and early 2011. Date of action: 6/30/2011.
14. NSR concluded negotiations with the Federal Railroad Administration and paid \$1,334,005 to resolve alleged violations of various FRA regulations (e.g., mechanical defects, safety appliance, hazardous material handling) transmitted by FRA in 2009 and early 2010. Date of action: 7/15/2010.
15. NSR concluded negotiations with the Federal Railroad Administration and paid \$1,371,560 to resolve alleged violations of various FRA regulations (e.g., mechanical defects, safety appliance, hazardous material handling) transmitted by FRA in 2008 and early 2009. Date of action: 6/19/2009.

16. NSR concluded negotiations with the Federal Railroad Administration and paid \$974,710 to resolve alleged violations of various FRA regulations (e.g., mechanical defects, safety appliance, hazardous material handling) transmitted by FRA in 2007 and early 2008. Date of action: 6/20/2008.
17. The U.S. Coast Guard conducted an investigation of alleged unreasonable delays in opening NSR drawbridges during calendar years 2006 and 2005 in violation of Section 5 of the Act of August 18, 1894, as amended. The Coast Guard issued formal citations and found that unreasonable delays occurred. NSR paid penalties in the amount of \$88,000. Date of action: 7/31/2008.
18. The U.S. Coast Guard conducted an investigation of alleged unreasonable delays in opening NSR drawbridges during calendar year 2007 in violation of Section 5 of the Act of August 18, 1894, as amended. The Coast Guard issued formal citations and found that unreasonable delays occurred. NSR paid penalties in the amount of \$126,000. Date of action: 4/28/2009.
19. The U.S. Coast Guard conducted an investigation of alleged unreasonable delays in opening NSR drawbridges during calendar year 2008 in violation of Section 5 of the Act of August 18, 1894, as amended. The Coast Guard issued formal citations and found that unreasonable delays occurred. NSR paid penalties in the amount of \$92,000. Date of action: 4/28/2009.
20. The Tennessee Department of Environment and Conservation issued a Notice of Violation to NSR concerning soil runoff in connection with construction of an intermodal facility near Memphis, TN. Date of action: 1/13/2012.
23. On June 22, 2012, in a case arising in Michigan, an Administrative Law Judge found Norfolk Southern had violated the anti-retaliation provisions of 49 U.S.C. 10109(a)(4), which prohibits employment discrimination against employees who report work-related injuries. Norfolk Southern was ordered to pay the complainant \$4,000; Norfolk Southern has appealed this decision.
22. On January 8, 2013, in a case arising in South Carolina, an Administrative Law Judge found Norfolk Southern had violated the anti-retaliation provisions of 49 U.S.C. 10109(a)(4), which prohibits employment discrimination against employees who report work-related injuries. Norfolk Southern was ordered to pay the complainant \$30,000; Norfolk Southern has appealed this decision.
23. Norfolk Southern received a Notice of Violation issued by the Tennessee Department of Environmental conservation in January 2012 related to sediment runoff in connection with construction of the Memphis Regional Intermodal Facility in Rossville, Tennessee. Norfolk Southern will contest liability and the imposition of any penalties, and this matter is described here consistent with SEC rules and requirements concerning governmental proceedings with respect to environmental laws and regulations. A monetary penalty has not been officially imposed, but we do not believe that the outcome of this proceeding will have a material effect on our financial position, results of operations, or liquidity.
24. Norfolk Southern received a Notice of Violation and a penalty in the amount of \$25,000.00 on May 14, 2013 from the Altoona Water Authority for POTW permit limit violations. Norfolk Southern will contest liability and the basis of the imposition of this penalty as the citation specifically identifies exceedances of permit conditions that occurred prior to the effective date of the amendments to establish the new permit limits.

Part 2

<u>Month/Year Received</u>	<u>Location</u>	<u>Violation</u>
May 2013	Altoona, PA	WWF POTW Permit Violation – Juanita Locomotive Shop
May 2013	Glenfield, PA	Alleged solid waste violation for placing concrete railroad ties for slope stabilization within the normal high water level of the Ohio River
May 2013	Knoxville, TN	NOV by OSHA
May 2013	Knoxville, TN	NOV by OSHA
April 2013	Charlotte, NC	NPDES construction stormwater erosion & sedimentation violation
February 2013	Charlotte, NC	NPDES construction stormwater erosion & sedimentation violation
February 2013	Charlotte, NC	NPDES construction stormwater erosion & sedimentation violation
February 2013	Elkhart, IN	Violation noted for prior DMR exceedances in May & July 2012 – Elkhart Yard
January 2013	Mt. Vernon, IL	Derailment caused ethanol release
November 2012	Kankakee, IL	WWF NPDES Permit violation
November 2012	Elkhart, IN	POTW Permit violation
May 2012	Austell, GA	POTW Permit violation
April 2012	Harrisburg, PA	Sanitary Sewer Overflow
April 2012	Georgetown, KY	KPDES Stormwater Permit violation (9/27/11 inspection)
April, 2012	Melvindale, MI	Fugitive dust violation, blast-cleaning AST w/o approved BMPs
January 2012	Rossville, TN	Alleged violation of stormwater construction permit
January 2012	Arcadia, OH	Unpermitted discharge from train derailment
January 2012	Elkhart, IN	NPDES Permit violation (11/23/11 inspection)
January 2012	Cresson, PA	AST, external coating failure, corrosion (11/10/11 inspection)
December 2011	Sunbury, PA	Alleged solid waste violation @ TBT Transloading facility
November 2011	Greencastle, PA	Alleged violation of stormwater construction permit
November 2011	Atlanta, GA	Fab Plant WWF POTW permit noncompliance
October 2011	Kansas City, MO	WWF POTW permit noncompliance
October 2011	Harrisburg, PA	Enola Yard – WWF NPDES permit noncompliance
September 2011	Macon, GA	POTW violation – no advance notice of flowmeter totalizer reset
August 2011	Birmingham, AL	WWTP permit noncompliance
July 2011	McKinney, KY	Degradation of DO due to release
July 2011	Arcadia, OH	Ethanol discharge to surface water during cleanup
June 2011	Harrisburg, PA	Noncompliance notice for unregistered AST
May 2011	Titusville, FL	Storage tank system noncompliance
May 2011	Chattanooga, TN	Diesel shop – Hazardous waste inspection noncompliance
May 2011	Culpeper, VA	Line of road – Embankment erosion
Feb 2011/April 2011	Roanoke, VA	Material Yard Shop – Asbestos citation
February 2011	Memphis, TN	Forrest Yard – POTW permit noncompliance
February 2011	Manville, NJ	Odor from train
February 2011	Manville, NJ	Odor from train
February 2011	Manville, NJ	Odor from train

February 2011	Linwood, NC	Linwood Yard – WWF permit noncompliance
February 2011	Harrisburg, PA	Fueling facility WWF permit noncompliance
February 2011	Conway, PA	Oil release
February 2011	Granite City, IL	Third party illegal open dumping
February 2011	Voltz, MO	Late payment of fees
February 2011	Arcadia, OH	Ethanol Discharge to surface water
January 2011	Atlanta, GA	WWTP permit noncompliance
January 2011	Atlanta, GA	WWTP permit noncompliance
December 2010	Manville, NJ	Odor from train
December 2010	Manville, NJ	Odor from train
November 2010	Elkhart, IN	Total copper exceedence NPDES permit limit
October 2010	Conway, PA	Release of 80 gallons of lube oil
October 2010	Conway, PA	Release of 50 gallon s of lube oil
September 2010	Decatur, IL	WWTP permit noncompliance @ Arrowood Yard
July 2010	Charlotte, NC	Incomplete SWP 3 monitoring
July 2010	Institute, WV	Lube oil release
July 2010	Morrisville, PA	Sanitary sewer overflow @ Intermodal
June 2010	Portsmouth, OH	Diesel fuel release
May 2010	Charlotte, NC	Incomplete SWP monitoring @ Charlotte Intermodal
May 2010	Roanoke, VA	Lube oil release
April 2010	Portlock, VA	Failure to perform stormwater benchmark monitoring
April 2010	Rock, WV	Hydraulic oil release
April 2010	Chicago, IL	Lube oil release
April 2010	Decatur, IL	Lysine tank car release
April 2010	Vanzant, VA	Diesel fuel release
March 2010	Maintland, WV	Coal release
February 2010	Belle, WV	Dimethylformamide vapor release
February 2010	Norfolk, VA	Failure to file updated signatory authorization
February 2010	Elkhart, IN (85-27 Monthly)	Total copper exceedence NPDES permit limit
January 2010	Knoxville, TN	Improper labeling of containers for waste batteries and waste fluorescent lamps
January 2010	West Point, VA	Fuel oil release
January 2010	Elkhart, IN (85-27 Monthly)	Total copper exceedence NPDES permit limit
December 2009	Ashtabula, OH	Coal dock (TSS exceedence NPDES limit)
September 2009	Elkhart, IN (85-27 Monthly)	Total copper exceedence NPDES permit limit
September 2009	Durham, NC	Alleged late reporting of sodium hydroxide spill to the NRC
August 2009	Jeanette, PA	Diesel fuel from ruptured locomotive fuel line
August 2009	Waynesburg, PA	Coal dust release from coal hopper
July 2009	Conway, PA	Conway Yard (NOV for 10 gal. diesel fuel on May 14)
July 2009	Conway, PA	Conway Yard (NOV for 20 gal. diesel fuel on May 14)
July 2009	Conway, PA	Conway Yard (NOV for 15 gal. lube oil on May 6)
July 2009	Waynesburg, PA	Diesel fuel spill from truck caused by grade crossing accident
July 2009	Pittsburgh, PA	Highland Ave. Yard (10 gal. hydraulic oil spill from locomotive)
April 2009	Harrisburg, PA	Lucknow Yard (AST exceptions)
April 2009	East Pennsboro, PA	Enola Yard (AST exceptions)
March 2009	Granite City, IL	Failed to dispose of old crossties in timely manner
March 2009	Goldsboro, NC	Release of diesel fuel
February 2009	Columbus, OH	Failure to submit 2007 Haz.Waste Annual Rpt.

January 2009	Ashtabula, OH	Fugitive dust/wash water.-bridge/river
November 2008	Carlyle, VA	DEQ refusing to terminate permit
November 2008	Granite City, IL	3 rd party dumping on non-operating real estate property
October 2008	Macon, GA – Car Wash	Repl. flow meter w/out prior notification
September 2008	Bluefield, WV	Improper labeling of drums
July 2008	Norfolk, VA – Car	Late submittal
July 2008	Norfolk, VA – Loco	Late submittal
July 2008	Ashtabula, OH – Coal Dock	Coal fines in facility runoff
June 2008	Pickshin, WV	Illegal 3 rd party dumping on NS property
June 2008	Conway, PA	AST spill during fuel barge unloading
June 2008	Belvidere, NJ	Illegal dumping trash and debris

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ATTACHMENT V.E.2.

Blue Ridge Railroad Company

Report to the Directors, November 1857

No names of owners or slaves.

Central Rail Road and Banking Company of Georgia

Report to the Directors May 1839

No names of owners or slaves.

Report to the Directors' December 4, 1839

No names of owners or slaves.

Charlotte and South Carolina Rail Road Company

Proceedings of the Stockholders' October 10, 1849

No names of owners or slaves.

Proceedings of the Stockholders' November 18, 1852

Table B – Paid for Negro Hire: L. G. Jones; J. Leroy Davies; Joseph Herndon; John H. Means; L. J. Vaughn; W. Breece; L. G. Jones (Conley); Carver Randell; Mrs. M. W. Postell; James Pagan; John A. Marion; J. T. Diseker; James Catheart; Braley Oates; John W. Moore; P. M. Brown; B. H. Davidson; H. B. Williams; J. Leroy Davies; Mrs. Rachel Pharr; Dr. M. M. Orr; George Conley; W. H. Stringfellow; O. Woodward; Peter Nicholson; Edward Moor, adm.; Henry W. Yongue; M. J. Pickett; S. J. Randell, adm.; W. S. Gibbes; Mrs. M. A. Parks; Mrs. C. Z. Mills.

Proceedings of the Stockholders' February 8, 1854

Table B - Paid for Negro Hire 1852: Mrs. M. J. Pickett; James Bynum; Harriet English; W. H. B. Collins; John Adger; L. G. Jones; Carver Randell; R. C. McCalla; James T. Fleming; Rev. J. Leroy Davies; Mrs. Wylie; Mrs. M. W. Postell; John H. Means; William Pratt; S. N. Hutchison, Guard.; W. B. MacLean; G. F. Davidson; Jas. H. Houston; D. A. Caldwell; William Johnston; Dr. W. H. Stringfellow; Wm. M. Nicholson; S. J. Randell; Alexander Pinchback; James Pagan; H. B. Williams; F. G. Simril; B. H. Davidson; Joseph Steele; J. J. Sloan; J. R. Davidson; Joseph F. White; Clem. Williams; J. A. Huggins; Mrs. M. A. Parks; D. S. Patton; E. W. White; John F. Irwin; E. O. Elliott; J. Westmoreland; Thos. J. Grier; James Bynum; William Boyee; H. W. Yongue; J. P. Ross; John L. Younge; J. M. Doby; Thomas L. Rosborough; C. J. Duffie, Adminis'r; Mrs. C. Z. Mills; W. D. Henry; A. Pinchback; Wm. R. Myers; Robert H. Stringfellow; Thos. W. Moore, Admr.; P. M. Brown; E. A. Dargan; J. Henderson.

Table C - Cost of Road - No names of owners or slaves.

Proceedings of the Stockholders' February 9, 1859

The Road reported that it owned 11 slaves. No names of slaves.

Proceedings of the Directors' 1860

"From this fund liberal expenditures have been made during the year, embracing ... \$1,527 for two slaves, George, a painter, and Alexander, a pump hand..."

Proceedings of the Directors' 1862

"From it is also to be deducted the cost of about 1000 bales of cotton and 40 slaves, purchased for the use and benefit of the Company..."

Annual Report January 20, 1864

No names of owners or slaves.

Chesterfield Railroad Company

Report to the Board of Public Works, 1834

No names of owners or slaves.

Report to the Board of Public Works, 1841

No names of owners or slaves.

Report to the Board of Public Works, 1843

No names of owners or slaves.

Report to the Board of Public Works, 1844

No names of owners or slaves.

Report to the Board of Public Works, 1846

No names of owners or slaves.

Report to the Board of Public Works, 1849

No names of owners or slaves.

Report to the Board of Public Works, 1850

No names of owners or slaves.

City Point Railroad Company

Report to the Board of Public Works, December 7, 1838

No names of owners or slaves.

Columbia and Hamburg Railroad Company

Report to the Stockholders' 1864

No names of owners or slaves.

East Tennessee and Georgia Railroad Company

Report to the Directors' June 30, 1860

"One passenger, and the first since the opening of your road nine years since, has been slightly injured by the breaking of an axle; that one a black woman, the property of James Gelson, of Campbell County. Demand was made for damages, which was settled by a purchase of the woman. She has been placed under the judicious medical treatment of Dr. Brown, of Cleveland, and will soon be well again, when she will be sold and proceeds placed in the hands of your Treasurer, thereby reducing that item of damage to a matter of small consequence." (pp.8) – R.C. Jackson, Superintendent.

Greenville and Columbia Railroad Company

Report to the Stockholders' January, 1857

No names of owners or slaves.

Louisville, Cincinnati, and Charleston Railroad Company

Report to the Stockholders' and Directors' September 1840

No names of owners or slaves.

Memphis and Charleston Railroad Company

Board of Directors Minutes, 1860 – 1872

Minutes, January 21, 1861: Mr. Crutcher

Report to the Directors' March 1, 1855

No names of owners or slaves.

Report to the Directors' July 1, 1857

No names of owners or slaves.

Report to the Directors' July 1, 1859

No names of owners or slaves.

Mobile & Ohio Railroad Company

Annual Reports, 1847 – 1863

Proceedings of the Stockholders' May 9, 1853

No names of owners or slaves.

Proceedings of the Stockholders' February 26, 1855

Table - Casualties of 1855: April 17th. Negro Jack, on pile-driving train, fell between the cars and was killed.

Otherwise no names of owners or slaves.

Proceedings of the Stockholders', February 26, 1859

Table - Casualties of 1859: July 14.—Two negro children belonging to Mrs. Hornsbarger.

Otherwise no names of owners or slaves.

Proceedings of the Stockholders', April 21, 1863

"We have also purchased sixty negroes, now in the service of the Road....."

Otherwise no names of owners or slaves.

North Carolina Railroad Company

Proceedings of the Directors' 1862

1862 - John Trollinger (Anderson, Alfred); Richard J. Ashe (Sam, Tom); Archibald Borland (Priam); J. A. Faucett (Isaac); J. S. Turrentine (Sam); Stephen T. Forrest (Ben); T. M. Crossan (Robert, Alfred, Aleck, Willis, Plot, Mat, Charles, Horace, Bob, Douglas, Joe); John T. Williams (Joe, Henderson, Brown, Solomon, Eaton, Tom); W.C. Williams (Tom, Lew, Yadkin, Cass, Isom, Albert, John); James N. Patterson (Hubbard); Jesse Grant (Jim, Harrison); W.J. Murray (Stephen, Charley); R.M. Sanders (Henry, Spencer); W.C. Williams (Haywood, John, Gaston); Jacob Holt (Pleasant); S.H. Hood (Bill, West); J.F. Ellington (Willis); William Ellis (Haywood); B.M. Isler (Louis, Henry, Tom, Peter); William K. Lane (Duncan, Henry, Jacob, John, Ben); P.C. Cameron (Reddin, Isaiah, Luke, Bob, Fetter, Fenton, William, Weldon, Wellington, John, Robin, Preston, Humphrey, Turner, Nathan, Kinchen, Rowland, Oliver); Mrs. Susan Mebane (Ruffin, Dick, Aleck); J.B. Balsley (Henry); W.N. Pratt (Paul, Sam, Perry); Wesley Robinson (John, John II, Jack); Mrs. D.F.J. Hill (Ben, Bill, Hardy, Ben); W.J. Allen (Henry, Sawney, Jacob, Eason, Edmund); R.D. Paschall (Beckham, Bob); G.E. Badger (Adam); T.H. Atkinson (Simon, Arnold); George Little (Sam, John, Henry II, Henry, Mills, Henry I, Charles); Mrs. L.D. Sasser (Wash, Tom, Jerry); J.M. Plamer (Henry); A.J. Heather (Cain, Green); Mary E. Holt (Haywood); Bryan Smith (George); James Pierce (Jim, Chap); W.T. Dortch (Warren); James Campbell; L.O.B. Branch (Major); S.A. White (Peter); W.F. Askew Jones, Henry, Dennis, Haywood, Marion, Wilson, Jerry, Abraham); J.F. Clark (Sylvester, Anson, Prive, Prince, Mars, Roden, Alexander, Thomas); Ben J. Parmalee (Ben, James, Henry, Harmon, Allen, Simon); Isaac Kelley (James); Mary E. Jarvis (Abraham); John H. Small (Jacob); Mrs. S.A. Carraway (Cesar, Stephen); Mrs. Susan Allen (Henry); A. Henderson (Ike, Levi, Frank, Julius); Dr. R. Hooker (Mordecai, Cyrus, Willy); W.B. Dunn (Charles, John); H.W. Montague (Henry, James, Jeff, Moses, Sidney); Mrs. Sarah L. Hogg (Henry, Joe, Lee); Mrs. John Sloan (James); Phoebe Taylor (Robert, Richard, John); William C. Blount (Stephen, Jacob, Dave, John); Dr. E.H. Gollet (Ben, Anthony); Dr. William H. McKee (Salem, Sam, Dick); S.S. Turner (Handy); Dempsey H. Blake (Jack, Yancy); James Smith (Pleasant); David W. Bell (Dick, Tom, Terry, Bed, Amos, John); James B. Bell (Issac, Nat); Dr. Sam Masters (Jesse, Alfred, John, Ben, James, Charles); Emmet Cuthbert (Charles); Miles Wagstaff (Peter); Dr. E.B. Haywood (Peter, Alex); Sarah Bryan (Bill); Mrs. Sarah Godwin (Monro); M.C. Hodge; John H. Nelson (Ennis, Stephen, Perry, Ben, Bob, Hardy, Alfred); S.W. Branch (Henry); James L. Dusenberry (Jerry); A.H. Lindsey (Bob); Harrison Harbor (Milton); Henry R. Bryan (Simon); Josiah Collins (Sam Barron, Providence, Henry Morsen, Charles, Oren, Lunite, Toney, Ishmael, Thompson, Aley King, Peter King, Angustus, Mills Tamar, Frank, Stephen Iredell, Josh Baum, Wallis, Simon, Josh. Elsey, Osborn, Daniel, Britton, Madison Jordan, Freeman,

Brian, Aaron, Mills Blount, Warren, Mitchell, Dunbar, Whitmell, Walter, Major); W.H. Jones (George); Mrs. Eliza Knox (Stephen); S.M. White (Ben); Henry R. Nash, Trustee (Sam); John U. Kirkland (Willis); Peter B. Ruffin (Henry); Lizzie Bason (Squire, Giles); William J. Long (Madison); Richard Tapp (Wesley); George W. Mordecai (Ellick, Henry Grip, Henry Bus, Matthew, George, Edmund, Harry, John House, Anderson Bailey, Tom); J.A. Rendleman (Moses); J.D. Flanner (Abel)

Proceedings of the Directors' 1864

1864 - James M. Hurdle (Chelsey); Jacob Holt (Pleasant); Jesse Gant (Harrison); William A. Littlejohn (Jacob, Nathan); James Gorrell (Nelson); Mrs. Ann Ivie Hill (Ben 1, Ben 2, Bill); Thomas. D. Martin (Obra, Alech); Nash Rouse (Jack, Ben, Jim, Alech, Haywood, Nepkin, Hazard); James Thompson (Bob); David McAdams (Grandison, Josiah, Bill); Josiah Collins (Hamilton, Freeman, Henry, Morson, Oem, Learnet, Thompson, Willis, Tamar, Frank, Stephen, Iredell, Josh, Baum, Simon, Wallace, Jordan, Aaron, Miles, Blount, Warren, Mitchell, Dunbar, Whitmel, Waldem, Reuben, Ross, Hobart, Mathias, Philliam Davidson, Rebecca, Daniel); Richard Trapp (Wesley); Mrs. E. H. Rux (Stephen); J.W. Norwood (Bill); James Graham (Sam); William J. Hayes (Bob, David Poe); Samuel P. Lowrie; Al. Mitchell (David); Jery Bason (Isaac, Peter); James S. Scott (Dick); Thomas H. Brem (Issac, Jerry); Samuel Harris (Moses, Jim); Mrs. Scott (Joe); Thomas Brem (Austin, Harty); McCorkle (Crawford); David W. Bell (Anderson); Ben J. Parmelee (Ben); R.C. Jenkins (Ben); D.A. Davis (Humphrey); Mrs. Sidney A Clark (Alylvester, Prince, Mac, Roden, Privo, Aleck, Aon); Sarah A. Caraway (Cesar, Stepheny); William Boylan (Wash, Jim, Bryan, Emanuel); Charles Gerock (Henry); Charles J. Freeland (George 1st George2nd, Edmund, John, Squire, Stephen, Tom, Charles, Jerry) R.M. Sanders (Spencer, Sidney, Henry); George W. Mordicai (Henry Bull, Nathan, Amos, Wesley, Iverson, Henry Grip, Matthew Jr., George, John Green, Harry Jr., Edmund, Ike, Jesse, Anderson Goss, Canaan, Sam Slick, Anderson Baily, Jesse Jr., John House, Ben Laws, Isham, Jerry, Macklin, Ellick, John Sears); Henry K. Nash, Trustee (Sam); Mrs. H.E. Page (Simon, Joe, Bartlett, Miles, Augustus, Sam, Chessire, Ben, Jeffry, Tom, Jerry, Harry, Mills, Miles Warf); Dr. Thomas D. Warren (Frank, Jerry, Harry, Henderson, Augustus, Reuben, Dave Skinner, Mike, John Skinner, Andrew, Richard, Jacob, Andrew, Ganger, Stretus, Armstead, Watson, Solomon, Moses, Ben, Andrew Skinner, Nea Skinner, William Skinner, Ransom Skinner, George Wilder, David, Isaah, Bob Skinner, Dickerson); Rufus S. Tucker (Vergil, Alonzo); Cyrus P. Mendenhall (Charles, David, Charles Ellick); Archibald Henderson (Isaac, Jake, Levi, Julius, Pompey, Mark, Jo); John H. Small (Jacob); Jo Graham (Frank); William A. Blount, Jr. (Major Bill); J. W. B. Watson (Alfred, Albert, Alvin, Ben, Bill Harry, Bill Lawson, Curtis, Dick, Gabriel, Gaston, George, Giles, Harry, Winton, Ishmael, Jacob, John Robert, John Jones, Joseph Larkin, Ludd, Switch, Marcus, Meekin, Primus, Railford, Randell, Reddick, Richard, Sam, Simon, Solomon, Washington Moodley, Barna); George W. Watson (Austin, Bill, Bryan, Daniel, Mac, Dick, Ellick, Giles, Guilford, Hill, Mumford Rufus, Shade); P. E. Watson (Daniel, Whilley, Henderson, Jacob, Jim, John Marshall); Mary Watson (Green, Isham); Jacob Brookfield; William Barringer (Henry, George, Edmund); William S. Gilmer (Sam, Mack); Samuel M. Whitaker (Jordan); Richard J. Ashe (Sam); Samuel M. White (Ben); Peter B. Ruffin (Henry); Samuel S. Biddle (Aaron, Levin, Richard, Downer); L. P. Olds (Aleck); Jacob Mordecai (Herring, William, Lewis, Nathan, Shade, Primus, Fab, Jacob, Joshua, Jack, Ruffin, Daniel, Anthony, Jerry, Henderson, Jim); Fred J. Jones (Henry, Amos); Ben J. Parmelee (Simon, Henry, Allen, Harman); Mrs. Susan Kelly (Jim); Josiah Collins (Major); A. G. Jones (Peter, Harris, Willis, Ben);

Fred C. Roberts (Moses, Ben, Jim, Josiah, Amos Lane, John, Alex, Farney, Ed, Sneed, Bill, Aleck); John H. Nelson (Stephenny, Perry, Bob, Ennis, Ben, Hardy, Frank); D. W. Bell (Amos, Nathan, Ben, Tom, Issac, John, Jerry); Anderson Thompson (Jerry); Williamson Page, Administrator (Burt); A. J. Morris, Administrator (Alvis); Elizabeth Ferrell (Robert); William Gaylord; Dr. W. Carstaphen

North East & South West Alabama Rail Road Company

Report to the Directors' January 15, 1857

No names of owners or slaves.

Piedmont Rail Road Company

Directors Minutes, 1862-1895

".... the President and Chief Engineer and Chief of Construction in addition to the authority therefore given to hire labor, be also authorized to purchase for the company a number of slaves, intended for the purpose, not exceeding 400...."

Otherwise no names of owners or slaves

Richmond and Danville Railroad Company

Board of Directors' Minutes, December 1, 1847 – September 9, 1869

November 13, 1855: "A claim made by F. Lawson for expended in recovering a runaway slave, was submitted and in motion it was rejected."

Report to the Directors' October 1, 1851

No names of owners or slaves.

Report to the Directors' October 1, 1852

No names of owners or slaves.

Report to the Directors' October 1, 1854

Transportation Expenses (Owners providing contracted slave labor): Robert Bowman; Uriah Hankins; D.M. Branch; James M. Taylor; Otey & Goff; C. J. F. Netherland; Mrs. Mary Galt; J. Morrisett; Samuel Jones; Ann G. Pulliam; J.J. Robertson,.

Report to the Directors' October 1, 1856

No names of owners or slaves.

Report to the Directors' October 1, 1857

181 slaves employed at depots, at shops, and at stations, on sections, and on trains....

No names of owners or slaves.

Report to the Stockholders' December 8, 1858

No names of owners or slaves.

Auditor's Report, November 8, 1860

165 slaves employed at depots, at shops, and at stations, on sections, and on trains....

No names of owners or slaves.

Report to the Directors' October 1, 1865

No names of owners or slaves.

South-Carolina Canal and Rail-Road Company

Report of the Directors' July 1, 1832

On account of the extreme difficulty and expensiveness of occasional hiring, the Board judged it proper to purchase at certain number of Negroes, and the Company now own sixteen.

No names of owners or slaves.

Report of the Directors' June 30, 1833

Reference to "Purchase of Negroes." No names of owners or slaves.

Report of the Directors' January 1, 1833

No names of owners or slaves.

Report of the Directors' October 1, 1834

No names of owners or slaves.

Report of the Directors' January 11, 1836

No names of owners or slaves.

Report of the Directors' June 30, 1836

No names of owners or slaves.

Report of the Directors' December 31, 1836

No names of owners or slaves.

Report of the Directors' July 15, 1839

No names of owners or slaves.

Report of the Directors' January 18, 1840

No names of owners or slaves.

Report to the Directors' July 20, 1840

No names of owners or slaves.

Report to the Directors' January 18, 1841

No names of owners or slaves.

Report to the Directors' July 19, 1841

No names of owners or slaves.

Report to the Directors' January 17, 1842

No names of owners or slaves.

Report to the Directors' July 20, 1842

No names of owners or slaves.

Report to the Directors' January 1, 1843

No names of owners or slaves.

Report to the Directors' July 20, 1843

No names of owners or slaves.

Book of Relinquishments, 1835 - 1845

L.F. Schuls; Issac Murray; Sara McBurney; David D. Cohen (Peter, Abraham, Moses); Samuel Seyle (Thomas); John Bukley (Jim, Charles, Owen); Thomas N. Gadsden (John, Anthony); Charles L. Desel (Sam, Jack); Daniel Byrd (Lewis, Harry); Emanuel Moon (Jam, Jim, Sam, Mike); Smith Miles (Sam); Henry H. Schulz (Charles, Will, Harry, Jack, Ned); John Gilbert (Ned); L. C. Brown (Apollo, Harry, Joe, John, Dick); J. Fred Butt; John Juabnet; J. S. Murray (Jim); Charles A. Teandan (William); Jamh Veronu (James); Eden Ferrt; T. Tupper; H. V. Firith (Bacchur); Samuel Beronee (Sandy); Jacob Inabnet; R. J. Edwards; M. M. Keun; C. Dupont; S. Henry Dickerson (Paul Todd); F. T. Stall; H. Rausuer; A. H. Mulstom; D. H. Inplesley; D. G. Hairraudelf; Nath Coopen; Joseph Fasabinet (Carolina, William); V. Durande; W. T. Nell (Jim, Pompey); M. Fudlandbulayzeck; John D. Muckinfuff (Isaac); Mr. L. Humayor (Peter, Harry, Lapio, Stephey); W. Sindumme (Joe); H. L. Huckson (Harry, Stewey, Peter, Jario); Elira M. Burry (Bulca); Henry B. Toomer (Charles); L. Lloyd (Pompey); C. Dupont; L. H. Shultz; Jacob F. Schirmu; Richard Way (Peter); W. Vanel (Lugh); Andrew P. Wag; John M. Brut; Edeth Spert (Kelly); A. Rison

No names of owners or slaves: August 8, August 12, August 24, September 9, September 30, October 29, November 14, November 26, December 10, December 31, 1835, January 12, January 25, February 12, April 12, June 15, 1836 and May 12, 1837

Board of Directors Minutes, 1835 - 1841

1835 - L.C. Boyles (Stephen); Gibbes (Bell)

1836 - "The motion that the President is ordered to purchase, for the use of the company, gangs of negroes not excluding 300 in number - this motion was adopted."

1839 - Mrs. Dupont (Stephen)

South Carolina Rail Road Company

Proceedings of the Stockholders', February 1851

No names of owners or slaves.

Proceedings of the Stockholders', February 1852

No names of owners or slaves.

Proceedings of the Stockholders', February 1853

No names of owners or slaves.

Semi-Annual Report of the President, June 30, 1853

No names of owners or slaves.

Proceedings of the Stockholders' February 14, 1854

No names of owners or slaves.

Southside Railroad Company

Board of Directors' Minutes, 1853-1865

1854 – January 2 Thomas H. Daniel; January 3 George W. Butts; William Avent; John G. Adkins; David Adkins; M. Ann Clarke; James F. Deane; Thomas Jones; John F. May; Eliza I. Fowlkes; David Justice; R. C. Motley; R. I. Pennington; William D. Southall; January 5 William L. Lithgow; Edwin James; M. Angelica Hawkes; Elizabeth Booth; John W. Baily; Edward A. Wyatte; January 6 Thomas Armes; Richard Marshall; James A. Vaughn; Raymin Vaughn; Thomas W. Bell; Thomas Brannah; January 9 Robert W. Awin; January 11 William P. Mumford; Green Hill; M. Laura A. Chaffer; Larry; W. Cutter; P. Steth; William H. Brown; January 12 John W. Spice; Dr. Henry E. Thore; John Clay; B. Cam; January 13 Joseph H. Prichard; January 16 John Mann; January 17 Frances Fitzgerald; Mary Fitzgerald; W. W. Guy; January 24 James J. Oliver;

January 27 William Harper; William H. Magee; Larah H. Magee; January 28 Catherine Reese; January 31 George Fitzgerald

No date listed: C. Hamblin; J. A. Ammtiard; Mrs. M. A. Bolling; J. F. May; Mrs. Archer

1854 – December 3 Ann R. Jones; Elisha Chapman; B. F. Cos; John C. Daniel; Thomas H. Daniel; H. F. Bardwell; James Briggs; F. Carr; W. B. Ellington

1855 – February W. F. Davis; W. A. Juckim; A. R. Shaur; A. W. Horner; J. H. Robertson; William Motley; W. P. Emmer; A. J. Revel; Thomas H. Daniel; M. Ann R. Jones; Solomon Davis; I. W. Mingae; P. B. Will

1860 – May W. B. Grigg; T. B. Reed; R. A. Moody; C. H. Wilson; J. A. Wilson; N. Pamplin; B. F. Flippin; T. L. Arrington; R. N. Davis; R. W. Pegrma; J. E. Suth

1863 – July 1 J. P. Hall; T. M. Beard; C. S. Hill; J. S. Belcher; W. B. Conway; R. E. Stung; A. A. Moody; R. A. Moody; J. H. Plunkett; C. H. Wilson; T. B. Rice; M. C. Crenshaw; B. F. Flippin; W. H. Hallowill; L. D. McDearman; T. L. Arrington; N. Pample; R. V. Davis; I. A. Wilson; W. B. Gregg; August 1 N. N. Moody; C. H. Wilson; I. L. Arrington; F. B. Rue; W. C. Curshaw; W. H. Halloway; N. Pamplew; B. F. Fleppin; K. W. Pegsam; W. B. Gregg; J. P. Hall; T. M. Board

Ledger D, January 1860 – March 1865

No names of owners or slaves.

Side Ledger, July 1864- March 1865

1864 - July S. Clottie; R. Atkinson; J. B. Muntur; N. Pamplin; J. J. N. Rice; McCorkle; N. B. Janny; N. E. H. Murphy; Geo E. Baytor; September E. W. Moring; Maria Way; Al Arrington; Kurt Paice; A. Moses; N. N. Bell; A. Johnson; E. P. Evans; Maria Way; D. Lackland; H. Raughan; T. B. Rice; D. G. Potts; Patrick Anderson; November M. V. Dove; J. B. Hilliard;

1865 - January Geo Abbott; L. McDunnan; T. L. Larratt; March 1865: M. M. Campbell; W. C. C; J. H. Wilson; F. Marshall; J. T. Luther; Thomas L. Arrington; E. W. Friend; S. W. Gay; D. P. Harrison; Geo Whitmore (George); Mary Gary; R. S. Gillian; S. A. Gary; M. Fistin; Mrs. Stanberry; H. P. Taylor; Geo D. Saunders (Joe, Richard, Payton, Nathan, Davy, John); Geo E. Gary (Theo, Harvey); A. Johnson; James Coleman; John O. Elam (Hampton, Toby)

No names of owners or slaves: March 1865

South-Western Railroad Company

Superintendent's Report, August 1, 1853

No names of owners or slaves.

Superintendent's Report, August 1, 1854

No names of owners or slaves.

Superintendent's Report, August 1, 1855

No names of owners or slaves.

Superintendent's Report, August 1, 1856

No names of owners or slaves.

Superintendent's Report, August 1, 1857

No names of owners or slaves.

Superintendent's Report, August 1, 1858

No names of owners or slaves.

Superintendent's Report, August 1, 1859

No names of owners or slaves.

Superintendent's Report, August 1, 1860

No names of owners or slaves.

Superintendent's Report, August 1, 1861

No names of owners or slaves.

Superintendent's Report, August 1, 1862

No names of owners or slaves.

Superintendent's Report, August 1, 1863

No names of owners or slaves.

Superintendent's Report, August 1, 1864

No names of owners or slaves.

Spartanburg and Union Railroad Company

Board of Directors' Minutes, 1851-1873

December 21st and 22nd, 1855: "The matter concerning compensation claimed by J. J. Peter and Jacob Walker for the negro men used in whole in the company was said to lesson Bob Trains to be reported upon."

Virginia and Tennessee Rail Road Company

Annual Report, November 27, 1850

"...1 Negro man sold..." No names of owners or slaves.

Annual Report, November 3, 1852

"One of the attendants of the train, Patrick, a slave, was separated from the engine only by an open platform car, loaded with railroad iron – he stood to the brake without relaxing his hold, and doubtless was instrumental in preventing additional damage to the train."

Annual Report, October 26 – 28, 1853

No names of slaves. Hands Employed: Depots, 18 slaves; Passenger Trains, 4 slaves; Freight Trains, 10 slaves, Machine Shop, 15 hands, 2 slaves; Carpenter's Shop, 6 hands; Blacksmith's Shop, 9 hands; Repairs, 90 slaves; Bridges, 6 hands; Masonry, 12 slaves.

Board of Directors' Minutes, December 8, 1853 – March 13, 1857

No names of slaves: May 1, 1855 N. W. Leftwich; J. M. Rucker; W. Nation.

No names of owners or slaves: May 1, 1855; July 11, November 12, 1856.

Annual Report, October 25 – 26, 1854

No names of slaves. Force Employed: at the work shops...3 apprentices and 4 slaves; 5 journeymen and 8 slaves; 1 watchman and 7 slaves. At the Depots...18 Agents and Clerks, 2 watchmen and 50 slaves

On the Repairs of the Road...1 Road master, 1 repairer of bridges, with 5 men; 11 Section masters and 145 slaves running engines and trains...4 conductors, 9 engine runners, 8 Firemen and 15 slaves as Brakes-men

Annual Report, October 31 – November 1, 1855

No names of slaves.

Accidents Resulting in the Loss of Life or Limb:

Involving slaves: 1855, February 20, June 17 and July 18. No names of owners or slaves.

Force Employed: At the Depots...58 slaves; Machine Shop...5 slaves; Carpenter Shop...7 slaves; Smith Shop...11 slaves; Road...160 slaves; Bridges...5 slaves; Trains...18 slaves; Engine House...3 slaves.

299 slaves employed (13 of which are mechanics.)...

Day Book 1854-1857

1854 – December 4 A. J. Black; J. E. Morgan; December 11 William Baniel (Henry); F. G. Morrison; December 15 P. H. Gilmer

1855 – January 3 T. F. Goodwin; J. A. Stigler; H. A. Flood; Charly Seth; Caleb Williamson; Peter Copland; Ben Hunter; James H. Harris; Jepe A. Burton; Washington Hunter; Lawrence Anderson; Thomas Lovchson; S. White; M. G. Talisfere; William S. Minonfor; J. H. Thompson; Luc F. Johnson; James Franklin; Jacques A. Hawnen; R. C. Gary; Charles F. North; B. Barker; Murrell Thatton; Nelson Lowry; James M. Rucker; R. K. Watkins; J. J. Lavington; John W. Quarles; Thomas Dillard; E. J. Gillian; January 5 William Pettyjohn; Richard Ellis; Wilkins Watson; John Hughes; E. M. Poindexter; Mary M. George; Alex Tompkins; Richard Moncure; John Abbott; John F. Slaughter; William Ellis; Jacques Benagh; M. M. Richardson; S. L. Moorman; T. L. Jennings; J. Wilson; Jacques L. Campbell; Susan Campbell; January 6 R. C. Campbell; Nancy Campbell; William Campbell; S. Lawnen; Granville Lane; Thomas L. Saunders; Nowlin Appelton; C. W. Garnett; T. R. Muse; B. P. Walker; Hector Harris; Isaac Drewy; S. H. Early; John M. Oley; T. M. Harwick; B. B. Taliaferro; A. C. Harrison; A. Woodson; John T. Davis; P. H. Burras; January 9 Thomas Blackford; John Hughes; R. Tinsley; Peter Copland; Henry Christian; A. J. Black; G. A. Saunders; Mark Anthony; W. C. Jones; E. J. Anderson; Richard Crawford; C. H. Lynch; January 10 Andrew Hotty; Henry Slaggle; W. B. Preston; C. F. Harris; B. Fitzer; J. S. Goggin; A. L. Stiff; January 12 Robert C. Mitchell; D. R. Edley; R. H. Coleman; Robert Coghill; Jacques Elliott; D. Stratton; February 6 E. Burkley; February 9 Mrs. F. Browning; C. C. Broadadders; Tanner Asher; S. C. Anderson; N. L. Buttail; W. R. Gordan; February 14 A. Tompkins; W. J. Green; J. B. Coats; Mrs. S. T. Hackett; W. H. Fitzhugh; J. T. White; G. A. Wingfield; Mrs. Elizabeth Dennis; March 21 William Owenson; William J. Anderson; Jen Gyle; March 27 M. Daniel Hart; John L. Barnett; M. Daniel; Peter Phelpy; J. C. Kasey; H. Harmingly; B. H. Stanley; Robert Latimer; Rob C. Mitchell; E. S. Hunter; J. H. Hoge; Alfred Williamson; Sam Peter; Noble Jordan; Daniel A. Langhorne; George W. Anderson; James M. Robinson; April 2 Abner Early; T. E. Reynolds; Peter Spencer; Mary L. Taliaferro; T. E. Reynolds; Lacey Terry; Anderson Duke; R. Sayers; B. A. Langhorne; G. W. Anderson; April 10 Frances T. Fithugh; John M. Otey; E. A. Craddock; John A. Sowers; J. M. Deel; J. M. Robinson; W. A. Irwin; T. N. Cobbs; April 12 J. Peyton; Theodore Moren; J. J. Meadow; T. M. Jones; T. L. Wade; J. L. Prichard; April 18 M. Daniel Hurst; J. H. Buford; July 9 J. Driscall; J. B. Stone; J. W. Jones; Ann E. Dangerfield; July 14 J. M. Robinson; J. W. Kinney; Samuel Nowlin; J. A. Elliott; Hurt Preston; W. H. Burks; July 18 A. B. White; H. D. Flood; W. Owens; Sam Maurry; A. Tompkins; Dan H. Hog; B. P. Walker; July 19 J. C. Walton; W. W. Leftwich; R. H. Staton; C. S. Flicker; H. H. Lewis; J. B. Shackelford; Richard Dennis (Elizabeth); J. W. Keith; John P. Hughes; July 21 Chriswell Dabney; W. S. Morris; R. K. Cradle; T. Dillard; V. MGinnis; Joseph Lancaster; Charles M. Garnett; J. A. Cowardin; G. M. Saunders; July 25 T. J. Kirkpatrick; Richard Crawford; J. Franklin; E. N. Eubank; July 27 Wyatt Abbitt; August 1 H. C. Pierce; August 6 Daniel Stratton; Henry Harmiling; G. Siggon; Henry Gillian; August 9 Peter Spence; W. K. Bill; E. J. Gillian; Peter Sullenburger; August 16 Nelson Lowry; September 6 D. G. Kean; F. M. Cabbell; September 10 Edwin Tatod (Jeff); S. Dunnington (Jeff); September 11 Hugh Brown; B. B. Dickinson; September 14

Noble Jordan; J. Boud; September 31 S. Poindexter; M. L. Harris; October 6 John P. Hughes; C. B. Christian; A. B. McDonald; T. J. Burke; B. F. Stone; J. Milon; Hector Harris; October 8 H. H. Lewis; Ben Hunter Gard; R. J. Gillian; October 11 B. P. Walker; R. K. Watkins; T. C. Jerning; W. H. Hall; R. C. Prince; October 15 P. Winter; E. N. Eubank; T. K. Jones; J. J. Meaddom; November 1 Lucy Fitzhugh; R. Caiborne; November 21 Charles Miller; Mrs. E. M. Poindexter; November 13 John Dacey; Charles Byrnes; Rich Dennis; December 4 J. V. Knight (Alfred, William); R. Christian (Steven); W. H. Mountcastle; V. M. Ginn; John H. Smith (Randal, Ballard); December 19 G. Fitzhugh (Richard); C. F. Garnett; December 31 F. G. Morrison; R. S. Ellis; F. M. Barker; J. Crouch; Hugh Brown

1856 – January 1 George D. Davis; Ben Williams; H. V. Thompson; January 2 Thomas F. Goodman; T. K. Jones; T. Dillard; N. B. Magruder; W. S. Minor; January 3 T. L. Walker; J. M. Coble; Hector Harrisin; January 4 T. W. Saunders; J. R. Holcombe; J. D. Taylor; R. K. Watkins; W. Gish; January 7 Dade Hood; January 12 L. F. Johnson; January 18 L. B. Jacobs; January 31 E. J. Gillian; February 1 Mrs. J. M. Boyd; F. G. Morrison; W. Daniel; J. A. Burton; February 6 Ben Hunter; J. S. Payne; M. L. Harris; February 8 W. Kent; Lucy Tate; J. W. Stewart; February 9 Charles B. Christian; February 12 T. Jones; R. Crawford; W. W. Broadus; February 15 W. Stitzer; F. Fitzgerald; M. Humbly; E. M. Hoffman; Isaac Hunter; W. H. Yenglin; F. K. Nelson; C. J. Meriweather; C. Floyd; R. K. Watkins; February 16 Daniel H. Stone; H. F. Sale; February 22 Francis E. Hall; J. Abraham; February 23 C. M. Merridith; C. T. Wills; February 25 Caleb Williamson; February 28 Hector Harris; J. J. Meadow; March 3 E. D. Frazier; Henry Wade; F. M. Barker; N. C. Gary; March 17 Nelson Lowry; W. J. Green; Paul Hull; R. Peyton; March 22 J. S. Payne; Ann M. Ellis; March 24 J. H. Buford; Maria Board; March 28 Mary Whitehall; T. S. Bocock; W. G. Jackson; April 1 A. A. White; J. J. Mays; April 14 John T. Davis; April 19 Mark Anthony; A. W. Saunders; April 28 J. C. Burchfield; April 28 R. K. Watkins; May 10 Josiah B. Sancerster; Richard Dennis; May 13 J. H. Wilson; W. T. Anderson; May 16 R. Crockhill; May 17 Henry Brown; W. G. Jackson; Marshall S. Harris; T. C. Jennings; May 20 John T. Everett; Alexander Kimmier; May 21 Randolph Payton; May 22 Archibald Wade; Dan Stratton; May 26 W. S. Hunter; C. A. Miller; May 30 Sam McDaniel; June 4 S. Brown; June 13 W. B. Preston; A. B. Nichols; June 14 H. H. Lewis; June 18 Melvin Talbott; George Earhart; June 20 R. M. Waddill; June 27 Ben Hunter; G. D. Davis; July 3 John T. Davis; D. C. Clay; July 5 Charles A. Floyd; July 7 Charles S. Scott; July 10 Alfred A. White; July 11 Seth Woodroof (Peter); July 22 G. Whitcock; July 26 J. Downing; August 9 Gilmer Walker; August 16 A. S. Whaling; August 26 Charles J. Harris; J. Cole; R. C. Gary; September 1 T. J. Kirkpatrick; October 1 J. B. Shackelford; October 4 T. S. Wright; October 7 Aubrose M. Donald; October 11 Mary Whitehead; December 6 Randolph Peyton; December 25 G. Calahan; December 26 D. Untermeyer; Pat Callan;

1857 – January 2 Archibald Bowling; January 5 Sarah Wiatt; Marshall Harrison; January 8 Gilmer Walker; January 13 A. Wade; January 24 A. Bolling; February 7 M. Curle; February 25 E. H. Gill; March 2 B. Lee; J. B. Radford; March 30 Stopswood Brown

Ledger, 1855-1857

No names of owners or slaves: January 24; October 6, 8, 10, 12, 13, 16-19, 26; November 3, 6, 12, 13, 14, 16; December 4, 5, 7, 10, 14, 15, 18, 19, 22, 26, 31, 1855; January 2-4, 9, 10, 14, 17, 18, 24, 28, 31; February 1, 2, 4, 6, 8, 9, 12, 14, 16, 19, 20-23, 25, 27, 28; March 3-6, 8, 13, 15, 19, 21, 24, 25, 29, 31; April 1, 12, 14, 16, 19, 28; May 12-17, 19, 20-22, 24, 26-28, 31; June 2, 4, 5, 11-14, 16, 19-21, 23, 30; July 1-5, 7-11, 14-16, 19, 21-24, 26, 28-31; August

1, 5, 6, 11, 12, 14, 16, 20, 26; September 1, 4, 5, 8, 17, 30; October 2, 3, 4, 6-8, 10, 13, 14-18, 21-24, 30; November 3, 4, 7, 21, 28, 29; December 11, 12, 16, 23, 25, 26, 29, 30, 31, 1856; January 2, 3, 5-10, 12, 13-17, 19, 22-24, 26, 28, 30, 1857; February 3, 5, 6, 9, 11, 12, 13, 27; March 5, 20, 25, 31, 1857.

Annual Report, October 29 – 30, 1856

Accidents Resulting in the Loss of Life or Limb:

Involving slaves: 1856, February 5 and April 23. No names of owners or slaves.

Force Employed: At the Depots...66 slaves; Machine Shop...4 slaves; Carpenter Shop...10 slaves; Smith Shop...11 slaves; Road...240 slaves; Bridges...5 slaves; Trains...15 slaves; Engine House...4 slaves

360 slaves employed (16 of which are mechanics.)...

Annual Report, September 16-17, 1857

No names of slaves.

Force Employed: At the Depots...67 slaves; Machine Shop...5 slaves; Carpenter Shop...13 slaves; Smith Shop...13 slaves

435 slaves employed – including 30 mechanics...

22 Negro Houses recorded along the road to house hands

Liabilities: Due for three quarters Negro hires for 1857...\$49,172.26

Journal, July 1, 1857- March 31, 1859

July, 1857 – May 1859: John R. Hughes to Francis J. Morrison for negro hire.

No names of other owners or slaves.

Journal, July 1, 1857 – May 20, 1859

1857 – July 1 John A. Hughes; December 24 F. B. Deane

Other references made: July 3; July 8; August 12; August 20; August 31; September 18; September 30; October 1; October 28; October 31; November 30; December 24; December 31

1858- January 9 Alexander M. Gray (Jordan); January 14 Walter C. Deyerle; January 15 Parker Smith; Henry D. Flood

Other references made: January 9; January 14; January 21; February 1; February 27; March 12; March 31; April 1; April 7; April 30; May 31; June 30; July 31; August 31; September 30; October 1; October 6; October 9; October 18; October 30; November 12; November 30; December 27; December 31

1859 – January 13 I. E. Harrison; January 13 Charles A. Floyd (Allen); May 20 B. F. Coleman

No names of owners or slaves: January 3; January 7; January 26; January 28; February 28; May 20; May 23; June 30

Ledger, 1857-1860

Owners: R. W. Jones; R. C. Strother; C. S. Pepper; W. M. Dinwiddie; Clement Page; Robert Eurlay MD; William Owenston; W. M. Sorry MD; Withers G. Martin; John P. Hughes; J. R. Phillips MD; J. Garrett MD; R. Crockett; James; Gilmer Walker; Hugh M. Ewing; William Dennis; R. E. Jetson MD; Robert Crockett and Son; James Leammer MD; Samuel M. Conkey MD; J. J. Loving MD; Campbell White MD; Preston Pitt MD; John H. Griffon MD; E. F. Shettman MD; I. H. Nowlin MD; Phillips Pepper MD; J. L. White MD.

No names of owners or slaves: May 30, June 30, July 2, July 6, July 11, July 29, July 31, August 31, September 30, October 5, October 8, October 12, October 20, October 31, November 11, November 30, December 19, 1857; January 2, January 4-9, January 13-15, January 18, January 21, January 22, January 26, January 27, February 2, February 3, February 9-11, February 24-26, March 4, March 15, March 20, March 22, April 3, April 5, April 14, April 23, April 28, June 9, July 3, October 4, October 4, October 5, October 9, November 9, November 23, December 15, 1858; January 5-7, January 24-26, January 29, February 1, February 2, February 4, February 7, February 17, February 18, March 28, April 20, May 12, July 30, August 11, October 29, December 31, 1859; January 31, 1860.

Day Book 1857-1860

1857 – April 1 W.W. Leftwich; Randolph Peton; Saml. Nolan; Mrs. James Garland; John P. Hugley; John W. Calahan; Charles M. Blackford; A. Tompkins for D. H. Hoge; Robert Crockett; April 2 H.H. Lumis Agt for Estate of F. R. Shackelford; E.J. Gilliam; James A. Haumer for Daniel Stratton; E.R. Page; Garland & Slaughter for C.A. Floyd; James A. Stiegler; April 4 Tho. W. Leftwish; Richard Curle [freeman]; J.R. McDaniel; Wm. Neighbours for Martha Tuggle; F. G. Morrison for S. White; Marshall S. Harris; Wm Owens & Son for John H. Moorman; April 7 Wm A. Millen for E. Wortham & Co. assignee of Samuel Schoolers; Langhorne & Holcombe; Mrs.. DE. Dangerfield; John M. Speed; Mariah Wright; E. N. Eubank; Thomas H. Burnesfirst; N. C. Manson; Samuel H. Early; John Goode; Edgar Whitehead; Thos. G. Hill; Thomas E. Jennings; P.H. Ryan for Wm Daniel; Charles W. Christian for C.F.M Garnett; April 9 James Shearer; Clifton V. Webb; Joseph H. Wilson; H. Whyte for B.B. Jackson; John M. Otey for Charles S. Scott; John M. Otey for William Waller; Samuel P. Poindexter; April 11 Peter Spence & Co. for Lucy Fitzhugh; April 13 Thos. Flood for T.S. Bocock; Samuel Crockett; April 15 A. Tompkins for F. Allison Sr.; Mrs.. P.J. Thompson for H.V. Thompson; John M. Otey for F.H. Conway; James Elliott; H. B. Sumpter for Miss S. W. Percival; J. Franklin for A. R. White; James Franklin; April 18 Thos. G. Hill; T.T. Moorman for Judith Moorman; William S. Morris; Frank Gaium; Wm P. Noal; Mary D. Buchanan; April 21 Charles H. Ruckin assignee of Francis E. Hall; A. Tompkins for R. H. Maury & Co. assignees of John C. Downing; A. Tompkins & Co. for Philip Samuel; April 25 Alfred A. White; John W. Lowry agt for T.E.R. M.E. Lowry; May 1 Mark Andrews; Mark Andrews for John W. Andrews; T. C. Ivey for E. O. Daniel; May 9 A. Tompkins for Geo. W. Coleman; John M. Otey for Walker Washington; M. Davis for T. K. Jones; May 13 Thomas Kelso for Hugh Brown; A. Tompkins for Wm N. Jordan; May 16 F. G. Morrison for George B. Washington; T. I. Brown; Benjn. Wilkes for Francis Christian; May 22 Alexander Mc Daniel; W. R. Preston; Wm Musit; May 28 W. A. Leftwich; June 1 H. Dammington for Mrs.. Lucy Tate; June 9 F. G. Morrison for R. C. Combs; F. G. Morrison for J. H. Dickinson; June 16 R. C. Mitchell for F. R. Stone; John A. Somers for James Campbell [free]; June 30 J. W. Andrews; W. W. Hanson; July 1 John P. Huglin; S. White Trustee; Langhorn & Holcombe for Mrs. Ann E. Dangerfield; Farmers Bank VA for F. W. Coleman;

M. D. Buchannan; Mary W. Buchannan; Saml Nowlin; Mrs. James Garland; Alexr McDaniel; R. G. h. Kane for C. M. Blackford; July 2 Richd Crawford; Eliza B. Christian; Richard Curle [free]; James M. Cobb for W. H. Lee; James M. Cobb for Ben Hunter; Jos. H. Wilson; Garland & Slaughter for Charles A. Floyd; N. C. Manson for R. E. Manson Trustee for J. Merriwither assignee of Saml H. Early; Jos H. Philps assignee of J. W. Callahan; July 3 Charles W. Christian agt for C. F. M Garnett; Jn M. Otey for C. S. Scott; Jn M. Otey for Withers Waller; Jn M. Otey for F. H. Conway; Jn M. Otey for T. K. Jones; Jn M. Otey for J.G. Wallace; Thos S. Richardson for Tho. J. Brown; July 6 Samuel Crockett; Phil Samuel; Samuel S. Schooler; John T. davis; M. S. Harris; Richd Perkins; F. G. Morrison for E. S. Motley; Alfred A. White; Tho. C. Walsh for R. McDaniel; July 7 W. O. Owen; Tho. W. Leftwich; Henry White for Ben B. Jackson; W. W. Leftwich; C. F. Harris; A. R. Nichol assignee of John Goode; P. J. Thompson for H. V. Thompson; July 8 James Franklin; James Franklin for A. R. White; T. C. Jennings; John W. Lowry for P. E. & M. E. Lowry; T. W. Sanders for J. B. Sanders; H. H. Lewis agt for H. R. Shackelford; T. H. Ivey agt for E. O. Dance; July 11 H. B. Sumpter for S. W. Sumpter; July 13 James A. Hacuner for "an ill Stratton"; James A. Hacuner for Jesse Thornhill; James A. Hacuner; James A. Hacuner for R. C. Gary; C. M. Wade for Archibald Wade; L. A. Horton; W. R. Neighbour for Martha Tuggle; J. H. Moorman; July 15 R. C. Mitchell for F. B. Stone; Judith Moorman; Hector Harris; July 17 R. C. Hackett; July 24 Henry D. Flood; Henry D. Flood for F. S. Bocock; Geo. W. Dawson for R. A. Coghill; F. G. Morrison for Walker Washington; July 27 F. G. Morrison for P.H. Burress assignee of John Smelser; Randolph Peyton; Wm T. Booker for Garnett H. Leo; August 1 Saml Pryor; John W. Jones; Mark Andrews; August 4 Saml T. Poindexter; John W. Sale; August 8 L.P. Preston for James A. Stiegler; August 10 John W. Sheed for Mrs. Inarnia Wright; Washington Hunter; August 15 Jos H. Stone; J. Morton Shue for Maria L. Leftwich; August 17 Joseph M. Shue for Jn O. Leftwich dec'd; P. H. Ryan for Wm Daniel; Archibald Bolling; August 22 B.W. Jones for Abram L. Stiff; Wm A. Hardy; September 7 Waters Shined & Co for P. Moncure; September 14 Bowling Clark; September 16 Winston W. Faukesley for Caleb Williamson; September 19 Christopher Moore assignee of Judith B. Cardwell admis. Of the Estate of J. E. A. Cardwell dec'd; September 21 F. G. Coleman (Ben); October 3 S. White Trustee; C. R. Slaughter atty for Charles A. Floyd; H. Whyte for Ben B. Jackson; Withers Waller; Jos. H. Philps assignee of J. W. Callahan; C. S. Scott; H. Conway; H. D. Flood; H. D. Flood for Thos S. Bocock; Saml Crockett; Wm R. Mosby for C. S. Mosby (Merchant); October 5 James A. Hamner; James A. Hamner for R.C. Gary; James A. Hamner for Jesse Thornhill; James A. Hamner for Daniel Stratton; Joly & Saunders for Thos W. Leftwich; Geo. McRucker assignee of John P. Hogley; James Franklin for A. B. white; R. E. Manson trustee assignee S. H. Early; T. H. Ivey for E. O Dance; James Franklin; John R. McDaniel; F. G. Morrison atty for E. S. Mottey; October 6 Wm Neighbour for Mrs. Martha Tuggle; J. W. Anderson; P. J. Thompson for H. V. Thompson; Phill Samuel; A.R. Nichol assignee of John Goode; Tho. T. Moorman for Judith Moorman; Langhorne & Holcombe for Mrs. Ann E. Dangerfield; J. H. Moorman; October 8 S.C. Hunt for Mrs. Frances Christian; Richard Curle [free]; W. H. Taylor for Wm H. Hall assignee of Wm A. Leftwich; Jos H. Wilson; Nelson Lowry assignee of A. M. Lowry; October 12 James M. Cobbs for J. W. Jones; October 15 James A. Stiegler; J. M. Reese for Hugh Brown; F. G. Morrison for W. W. Hanson; Wm L. Bell admr of the estate of John O. Leftwich; October 17 F. W. Coleman; October 20 F. Bank for Mary D. Buchannan; Mary W. Buchannan; James A. Duffan; F. W. Coleman; Beverly Crump; C. D. Reynolds assignee of Wm Gishassignee of Wm B. Preston; Mark Andrews; Joby & Saunders for Wm Muse; October 21; Alexr McDaniel; James Elliott; Wm A. Miller for Saml Schooler; October 24 A. Tompkins for Michael Wallace; H. B. Sumpter for Alfred A. White; Saml Pryor; October 28 J. Morton

Spruce for his wife formerly Maria L. Leftwich; Thos J. Brown; R. G. Bell for S. S. Thomas; A. Tompkins [for] R. H. Maury; P. H. Gilmen; November 2 John W. Lowry agt for T. E. & M. E. Lowry; R. C. Mitchell and R. C. Combs; F. B. Stones; November 7 Saml T. Poindexter; John C. Marrell for B. Cox; Walker Washington; Gustave A. Saunders; November 17 Chas W. Price for H. L. Stiff; November 19 Wm H. Hall assignee of Sarah Wright; November 23 Caleb Williams; November 27 P.H. Ryan for McDaniel; G. A. Wingfield for E. B. Christian; December 1 Mrs. P. J. Thompson for H. V. Thompson; Peter Spence & Co for Lucy Fitzhugh; W. O. Owens; December 10 Daniel Stratton; December 19 Thos P. Mitchell; December 28 F. G. Morrison

1858 – January 2 F. R. Deanne for Elizabeth Fraizer; James A. Hamner; Jesse Conch for Doris Conch; Tho. C. Walch for John R. McDaniel; L. C. Mosley for C. L. Mosby; Saml. H. Quaren for Mary J. G. Watkin; Washington Hunter; Wm Hagden for A. Ogden; John T. Murrell for Garland and Slaughter in full of C. A. Floyd; E. S. Hutter; Peters Spence & Co for P. Moncure; Peters Spence & Co for Lucy Fitzhugh; H.J. Garrett; H. D. Flood for T.S. Bocock; January 4 James Franklin; Wm H. Leo admr; J. P. Whaling for J. W. Neal; M. R. Bohannan for Alexr Wade; H.D. Flood; James Benogh for Mrs. M. Richardson; R. K. Watkins for C. F. Harris; James Garland; Chisince Dabney; James H. Philips for J. W. Callahan; Leo Johnson & Co. for D.C. Dunn; Thos M. McKinney; Wm T. Booker for Garnet Lee; E. S. Halsey for Seth Halsey; Franklin & Bro for A. B. White; Jos. H. Wilson; T. J. Brown; Phillip Samuels; J. R. Holcombe & Co for Ann E. Dangerfield; W. H. Hall assignee of Sarah Wright & Wm A. Leftwich; H. H. Lewis agt for the estate of F. B. Shackelford; Marrell & Stratton for Alexr McDaniel; Marrell & Stratton for James A. Marshall; T. C. Jennings; W. O. Owen; McConkle & Co for Floyd Rocke; January 5 W.W. Leftwich; William Neighbours for Martha Tuggle; M. S. Harris; A. B. Nichols; W. V. Jordan for Richard Dearing; Wm L. Bell admr of Jn O. Leftwich dec'd; Richard Curle [free]; James F. Paine for Fleming Saunders; J. T. Davis; James Elliott; C. M. Blackford; C. Blackford Trustee for M. M. Leftwich; January 6 A. B. Rucker for T. G. Hill; James W. Stewart; Spotswood Jones; L.A. Horton; W. G. Morrison; James A. Stiegler; F. H. Conway; Paul Hull; Withers Waller; Charles S. Scott; N.C. Manson for J. H. early; F. G. Morrison for P. H. Gilmus; January 7 Judith Moorman; F. G. Morrison for E. S. Motley; Wm Q. Spinedteller; F. G. Morrison for Geo. B. Washington; Jn. M. Otey for James Montith; T.T. Saunders; Alfred W. Anderson for Archibald Wade Sr.; Hector Harris; January 8 Richd Crawford; John H. Moorman; John A. Harris for Dabney & Co MD assignees of R. C. Hackett; John Irby; January 13 James L. Campbell; Hugh Brown; John M. Preston for James Saunders; Saml Ferguson for Eliza B. Christian; January 14 R. D. Moor assignee of John P. Hughes; H. Whyte for B. B. Jackson; Beverly Crump; R. D. Moore; P. j. Thompson for H. V. Thompson; Tho. W. Saunders for James B. Saunders; J. J. Williamson for Caleb Williamson; G. A. Saunders; Saml Crockett; Thos H. Burnes; Irby & Saunders for Sawney Price; C. E. Jones for A. L. Stiff; James Shearer; January 16 Saml Nowlin; C. V. Winfree for E. O. Dance; Saml Pryor; January 18 J. H. Thompson assignee of J. W. Sale; J. W. Jones; Wm H. Moorman; Jhn W. Jones; A. Tompkins for Mary D. Buchannan; A. Tompkins for E. A Craddock; A. Tompkins for W. W. Hanson; A. Tompkins for Michael Wallace; A. Tompkins for Michael Wallace; A. Tompkins for M. W. Buchannan; A. Tompkins for James Duffin; A. Tompkins for B. B. Wright; A. Tompkins for Jn Smith; January 21 A. Tompkins for F. W. Coleman; A. Tompkins for N. S. Battaile; A. Tompkins for John Collins; A. Tompkins for Margaret B. Crump; A. Tompkins for B. F. Coleman; A. Tompkins for Johnson Fitzhugh; Bolling Clark; Charles W. Christian agt for C. F. M. Garnett; J. m. Spence for M.L. Leftwich; Simpson & Brothers for Matilda Thareton; Jos Wilson for Winston Radford trustee for Elizabeth Wilson; Jn M. Otey for

J. H. Wilkinson; Jn M. Otey for W.W. Forbes; January 22 Saml T. Poindexter; Jn M. Otey for Wm Jordan; F. K. Nelson; January 25 Richard Perkins; E. R. Page; A. Tompkins for Geo. W. Burke; January 26 John W. Lowry agt; Jn M. Otey for Sarah Sweatman; January 27 F. B. Stone; C. T. Wills; January 29 C. W. Hardy for Wm A. Hardy; P. H. Ryan for Wm Daniel; James C. Hazter; February 3 John H. Moore; Younger & Smith for R. Sedgwick assignee of O.P. Read; Jn M. Otey for J. G. Wallace agt; Wm B. Preston; February 20 Ben Wilkes; February 24 Mark Andrews; Wm A. Millen for Saml Schooler; February 25 Dinwiddie Committee; B. C. Combs; March 1 Wm T. Anderson for Alfred A. White; March 15 A Tompkins for A. G. Broadbenders; Spotwood Brown Gardn; March 18 C. J. Harris; March 20 L. F. Johnson; March 27 David R. Edley; Thos F. Pollard for Archibald Wade; F. G. Morrison for S. White Trustee; April 1

1859 - January 3 Sara Crockett; Pelinn Skinner for H. H. Wallace; for Peter Spencer and for J. W. Kay; R. Holcometree for James Riaz; J. R. Holcomtree for Ann E. Dangerfield; J. H. Wilson; B.L. Whitenbier; Preston L. W.; E.D. Fraylon; Dr. for W. Owens; January 4 Hugh Chandler; Kinni Sanders for Agnes; Thos. W. Sanders; D.V. Woodroffs; Alison Wade; James S.; W.G.M.; C. Dobney; A.F. Wilson; Washington Hunter; L.T. Hopkinson; N.V. Thompson; J. McGinnis; Richard M. Wells; J.H. Griffinson; St. Griffin for Charles A. H.; Mr. Gillian; M.L. Harris; W. Anderson; Wilbert L. Martin; G.S. Pepper; January 5 Richard Perkins; A.J. Cawfford; Mr. S. Morris; J. M. Lucker; G.G. Waile for Thos. W. Leftwick; J.W. Gallahan; Richard Draring; John M. ShuDin; John M. O'ley; James Monlush; A.H. Lucken; R.R. Junstaw; R.J. Crockett; G.R. Wallace; James L. Hammand; Jonny Montuth for Sarah Swuatman; Ms. M. Spied for Mrs. Maria Wright; January 6 C.C. Wade for J.A. Burton; J.H. Wilmer; R.H. Wilmer; J.H. Brown; Tho. S. Walker; Geo. W. Valentine for Tho. J. Brown; M. Daniel; Charles L. Masby; John T. Davis; James A. Hammond for Charles P. North; Mr. Owens; January 7 J.N. Jorden; John J. Goodwin; W.M. Flanton; M. Wallace; Mary D. Buchannan; A.G. Rroaddey; John Owens; M.R. Crunch; Paul Haw; J.R. Phillips; H.M. Erving; B.R. Wright; John Owens; M. A. Wright; January 8 Alex M. Gray; John A. Hughes; A. McDaniel; January 10 Mr. St. Wright; January 24 Charles W. Christian; Rich Crawford; John Smilfan; Hector Harris; J.D. Pierce; W. J. Green; W. J. Moor; E.O. Daniee; W. Lefton; W. Wallace; James Suanders; R. O. Dob; G.H. Gilmore; M.M. Leftwich; J.C. Jennings; Sarah Wright; Henry Dunnington; T.T. Sanders; D. Crouch; J.C. Moncuro; J.H. Smith; Geo. Callahan; W.H. Moorman; E.M. Poindexter; Davis D. Poindexter; Charles E. Auqua; James W. Stewart; John S. Caldanice; J.C. Hyter; P. Saunders; J.C. Hammeth; John H. Smith; J.H. Nomlin; Caleb Williamson; C. Christian Arlington; Mr. Owens; James L. Crawford; John H. Griffin; J.H. Nomlin; January 26 Peter Spence for N.S. Rautails; January 29 John R. McDaniel; Peter W. Hairston trustee for E.S. Stuart; C.T. Wells; Tho. J. Jarratt; Ro. A. Coghice; Charles W. Christian; January 31 Mr. Owens; Daniel Stratton; Agnes L. Ingles; February 3 W. Kent; R. & J Crockett; February 4 J.C. Burchfield; James L. Morgan; Wm. Plunkett; R. & J. Crockett; February 7 Seth Halsey; Thos. A. Harris; February 15 F.G.M. Tho. McKinny; Ro. C. Mitchell for F.K. Nelson; J.S. Plain for Levi C. Dowdy; February 17 John L. Saunders for S. F. Johnson; Wm. Owens; A. Tompkin for J. H. Dejarnett; William Owens; Wm. Hobson; February 23 Parker Smith; February 25 G. A. Saunders; February 28 Ro. Earlys; Wm. Owen; E.J. Sheltuian;

No names of owners or slaves: 1857 - April 2, 4, 13, 30; May 30; June 30; July 30; August 29; October 5; October 31, November 27; December 19, 28, 31. 1858 - January 2, 4, 5, 6, 7, 8, 14, 16, 18, 21, 22, 25, 27, 30; February 3, 24, 25, 27; March 1, 5, 15, 20, 31; 1859 - January 6, 7, 24,

Ledger, 1857 – 1860

1857- April 1 W. W. Leftwich; Randolph Payton; Sam. Nowlin; Mrs. J. Garland; John P. Hughes; John W. Calohan; Charles M. Blackford; A. Tompkins; April 2 Dr. F. Robert Crockett; H. H. Lewis; E. J. Gillian; J. A. Hawner; E. R. Payne; Garland Slaughter; J. A. Stigler; April 4 T. W. Leftwich; Richard Curle; W. Nughborun; John J. Flonnoy; F. G. Morrison; Marshall S. Harris; Dr. F. Cash; W. Owens; April 7 W. A. Miller; Sam Schooler; John M. Speed; E. N. Eubank; N. Manson; John Goode; Edgar Hetchard; Thomas Jennings; P. H. Ryan; Charles W. Christian; April 9 J. Shearer; Clifton V. Webb; W. R. Bohannan; J. H. Wilson; H. Whyte; John M. Otey; Samuel T. Poindexter; April 11 Peter Spence; April 13 H. D. Flood; Samuel Crockett; D. J. Saundries; I. F. Loving; Robert Early; W. Owen; April 15 A. Tompkins; P. J. Thompson; J. Elliott; J. Franklin; April 18 T. G. Heill; T. T. Moorman; William S. Morris; Frank Gains; W. P. Noel; Mary D. Buchaman; April 21 Charles H. Rucker; April 25 Alfred White; John W. Lowry; May 1 Mark Andrews; E. O. Dance; May 9 M. Davis; May 13 T. Kelso; R. C. Saunders; May 16 T. G. Morrison; T. J. Brown; B. Wilker; May 22 Alexander McDaniel; W. B. Preston; June 1 H. Dennington; June 16 R. C. Mitchell; John A. Somers; June 30 J. W. Andrews; W. W. Hanson; Robert Crockett; July 1 John P. Hughes; S. White; Langhorn Holcombe; F. Bank; Mrs. James Garland; July 2 Rich Crawford; Eliza B. Christian; Richard Curle; James M. Cobb; J. H. Wilson; Garland Slaughter; M. Manson; J. H. Philapine; July 3 Charles W. Christian; T. S. Richardson; July 6 Phil Samuels; Sam S. Schooler; John J. Davis; M. S. Harris; Rich Perkins; J. G. Morrison; Alfred A. White; T. C. Walch; July 7 Henry White; C. F. Harris; A. B. Nichol; N. C. Taliaferro; July 8 J. Franklin; J. C. Jeaning; John W. Lowry; T. W. Saunders; H. H. Lewis; July 11 H. B. Slaughter; July 13 J. H. Hammer; C. M. Wade; L. A. Horton; W. R. Neightor; J. H. Moorman; July 15 Judith Moorman; Hector Harris; July 17 R. C. Hackett; July 24 Henry D. Flood; G. W. Dawson; July 27 Randolph Payton; July 30 I. F. Loving; August 1 Sam Pryor; John W. Jones; Mark Andrews; Sam Poindexter; John W. Sale; August 8 L. Preston; August 10 John M. Spud; Washington Hunter; August 15 J. H. Stone; J. Morton; August 17 Joseph M. Shuoford; Archibald Bolling; August 22 B. W. Jones; W. A. Hardy; Peter Spine; September 14 Bowling Clark; September 16 Winston W. Faulkery; September 19 Christopher Moore; September 24 F. G. Coleman; October 3 S. White; H. Whyte; C. S. Scott; F. H. Conway; W. R. Mosby; October 5 J. A. Hawner; Daniel Stratton; G. M. Rucker; R. E. Manson; October 6 Mrs. P. J. Thompson; Phil Samuel; A. B. Nichol; October 8 S. C. Hunt; W. H. Taylor; Nelson Lowry; October 12 J. M. Cobbs; October 15 J. M. Reese; W. L. Bellamore; Beverly Crump; C. D. Reynolds; October 21 A. McDaniel; J. Elliott; W. A. Miller; October 28 I. Morton; J. C. Brown; R. G. Ball; P. H. Gilmer; November 2 R. C. Whitehall; November 17 C. M. Price; November 19 Sarah Wright; November 23 Caleb Williamson; November 27 P. H. Ryan; G. A. Wingfield; December 19 S. Pepper

No names of owners or slaves: April 9; April 15; April 18; April 21; April 25; April 30; May 1; May 9; May 13; May 28; May 30; June 1; June 9; June 30; July 1; July 2; July 3; July 6; July 7; July 8; July 13; July 15; July 24; July 27; July 30; August 1; August 29; October 3; October 5; October 6; October 8; October 15; October 17; October 20; October 24; October 28; October 31; November 2; November 7; November 27; December 1; December 10; December 19; December 28

1858 – January 2 F. B. Deanne; T. C. Walch; Sean H. Tuarler; L. Page; W. Hogden; John I. Murru; E. S. Hutter; Peter Spence; James M. Cobb; January 4 T. McKinney; E. S. Halsey; I. R. Phillips; Franklin Booker; R. C. Strother; Mursell Stratton; January 5 Wither Martin; J. T. Davis; January 6 J. W. Stewart; H. I. Garrett; L. A. Horton; Charles S. Sett; January 7

Judith Vicoorman; January 13 Hugh Brown; John M. Preston; Sam H. Ferguson; January 14 R. D. Moore; J. J. Williamson; T. H. Burnes; January 16 C. V. Winfred; Silas P. Vaughter; January 25 Richard Perkins; January 29 C. W. Hardy; February 20 R. C. Hurt; March 15 Spotswood Brown; March 18 C. J. Harris; March 27 David R. Ealey; T. J. Pollard; April 1 T. K. Jones; G. A. Burton; S. C. Woodruff; John T. Davis; April 2 John H. Stone; Marshall L. Harris; April 16 G. R. Peake; April 27 George W. Witt; April 28 P. H. Barr; May 1 Hector Harris; June 15 James L. Morgan; July 8 Murrell Stratton; July 9 William Moon; August 5 W. Hobson; August 7 T. J. Walker; September 1 Francis Thornton; M. M. Ewing; September 17 R. H. Kane; October 1 T. K. Jones; October 4 W. M. Black; October 5 J. T. Davis; October 17 I. B. Anthony; October 30 M. W. Hutcherson; November 8 B. B. Wright; December 27 A. M. Smith; December 28 Abram Shelton;

No names of owners or slaves: January 2; January 4; January 5; January 6; January 7; January 8; January 14; January 16; January 18; January 21; January 22; January 25; January 26; January 29; January 30; February 3; February 24; February 25; February 27; March 1; March 5; March 15; March 18; March 20; March 27; March 31; April 1; April 2; April 7; April 10; April 16; April 19; April 23; April 30; May 1; May 17; May 31; June 3; June 9; June 30; July 1; July 3; July 8; July 9; July 15; July 19; July 22; July 24; July 27; July 30; July 31; August 2; August 5; August 7; August 16; August 19; August 21; August 28; August 31; September 1; September 6; September 22; September 25; September 30; October 1; October 4; October 5; October 6; October 8; October 17; October 21; October 22; October 26; October 30; November 8; November 27; November 30; December 1; December 8; December 15; December 18; December 23; December 27; December 28; December 31

1859 – March 22 G. P. Luck; R. W. Burton; March 28 A. Tompkins; W. Owen; J. J. Johnson; March 31 H. M. Ewing; J. F. Loving; W. F. Figgatt; Preston Pitts; April 1 F. G. Morrison; J. H. Wilson; W. M. Goodman; Sam Nowlin; Charles Christian; J. Franklin; I. C. Slaughter; John P. Hughes; D. C. Dunn; W. Daniel; A. A. Hudson; John R. McDaniel; J. N. Gordon; John J. Davis; April 3 Sam Crockett; J. A. Buchannan; W. A. Preston; T. A. Harris; R. J. Crockett; April 7 T. G. Hedgman; C. V. Newfru; J. A. Hammer; J. M. Rucker; R. Crawford; S. C. Woodroof; Dr. Cash; April 11 John H. Patterson; John H. Flood; John S. Map; J. A. Pierce; Phillip Samuels; W. Gibboney; J. W. Kay; R. Dennis; G. A. Raine; G. I. Cock; E. McGavock; W. G. Coleman; W. W. Mosby; R. Sawyer; J. S. Morgan; W. W. Hanson; April 15 J. Fitzhugh; W. W. Leftwich; John Smeller; Elijah Smeller; April 20 Richard Dennis; D. C. Dunn; W. Terry; T. Wood; April 20 H. M. Sanders; J. M. Harris; April 22 Gary D. Buchannan; J. C. Haytem; W. Tucker; John Greg; R. Tinsley; April 26 B. Carnifit; R. Dop; April 28 S. Baker; Daniel Stratton; May 3 F. J. Bauard; W. A. Hardy; E. S. Hatter; A. McDaniel; May 6 R. C. Steptoe; W. C. Perrow; May 11 Washington Hunter; C. V. Webb; W. Waller; Hector Harris; R. R. Taliaferro; May 16 C. Smith; H. V. Thompson; May 19 A. B. White; L. Hocke; May 23 Joseph Leonard; May 24 R. A. Coghill; May 28 W. J. Campbell; Marion J. Victor; M. W. Lowry; Withers Martin; T. A. Harris; June 17 G. P. Luck; S. A. Patterson; June 20 Sam G. Staples; C. Page; June 22 A. P. Price; June 24 William J. Green; July 2 J. A. Pierce; Ann E. Dangerfield; William A. Gillian; John Gray; J. W. Kay; F. M. Barker; A. S. Stiff; Lu Rocke; Paul C. Cabell; July 5 A. A. Hudson; T. Wood; R. Sawyer; W. W. Hanson; July 8 T. J. Walker; John M. Speed; Robert Dennis; John Young; July 20 John H. Patterson; R. A. Hunter; July 25 J. Franklin; A. B. White; John B. Lie; July 26 D. A. Langhorne; J. M. Callahan; July 27 W. C. Cerrow; J. L. Morgan; July 28 T. H. Burnes; August 3 T. Trent; B. B. Wright; D. P. Jones; C. V. Webb; August 9 H. V. Thompson; August 12 Charles W. Christian; August 20 E. G. Hill; S. A. Patterson; August 26 L. Rocke;

S. J. Blanton; August 30 J. H. Griffin; September 2 F. S. Thomas; Rich Dennis; September 7 C. P. Seth; September 28 C. F. Harris; October 3 R. A. Hurt; R. Sayer; H. B. Homes; October 19 J. W. Utz; C. S. Jones; October 29 Richard Perkins; W. J. Green; Tom Wood; Frederick Roberts; Elijah Holley; John B. Lee; M. B. Preston; October 29 G. A. Saunders; November 30 Florentine Robinson; W. Terry; Marriion J. Victor; W. C. Coleman; December 31 John Earhart; W. C. Smith; Charles F. Garnett; Sally W. Price; A. Wade; S. Wright

No names of owners or slaves: April 1, April 3; April 11; April 15; April 22; April 26; April 28, May 3; May 11; June 20; June 30; July 2; July 5; July 8; July 20; July 25; July 26; July 27; July 28; July 30; August 3; August 9; August 12; August 26; August 30; September 6; September 7; September 22; September 30; October 3; October 19; October 29; November 30; December 31

1860 – January 20 Joseph Patterson; John M. White; Benjamin S. Carnifit; January 31 W. C. Park; F. J. Ballard; E. G. Hill; T. McKinney; E. H. Craddock; Frederick Roberts; John H. Smith; A. Pettyjohn; John H. Patterson; Charles H. Lynch; Richard Dearing; Alexander Wade; W. Wright; T. K. Nelson; Paul Hull; M. Watson; James Shearer; D. H. Griffin; W. J. Alexander; R. Early; H. J. Garrett; L. Bowyer; J. Fitzhugh; Stephen Perrow; Phil Samuels; Frederick Robertson; W. C. Parks; February 29 Hector Harris; Maria Wright; William Kent; James S. Irwine; March 31 Jacob Fowler; J. C. Hayter

No names of owners or slaves: January 20; January 31; February 29; March 31

Journal, August 5, 1858 – March 31, 1860

1858 - August 5 William Hobson; Walker Washington; J. R. H. Combe; Ann E. Dauger; R. C. Mitchen; Withers Walker; William Leftwich; W. J. Warren; A. J. Wilson; August 7 C. A. Floyd; Thomas S. Walker; James M. Spud; Maria Weight; August 19 R. H. Ryan; William Daniel; August 23 J. H. Buford; Bob Dennis; August 25 John H. Brown (Griffin); August 28 Thomas M. Stay; William Owen; September 1 Alex McDaniel; Francis Thornton; John J. Brown; R. J. Crockett; H. Ewing; September 10 J. Woodall; Jave B. June; Florence Robinson; September 21 R. G. H. Keana; Oneill W. Sutton; Cyrus Fisher (Henry); Noble Jordan; G. A. Saunders; September 23 Mary Morarity (Thomas); September 27 William R. Mosby; Charles L. Mosby; September 30, 1858: J. G. Morrison; October 1 J. B. Diane; Mrs. E. D. Frayser; John R. McDaniel; Peter Spud; J. R. H. Combe; E. Dangerfield; L. K. Jones; October 4 Sara Nowlin; A. B. Rucker; William D. Tucker; C. J. M. Garnett; E. A. Dance; S. C. Woodrod; Rich Cramford; G. A. Burton; Timble Black; William J. Moon; M. S. Harris; Sara Crockett; Josh H. Wilson; Toby Saunders; Daniel Stratton; A. Tompkins; J. North (James); J. B. Wallace; B. B. Tunstall; October 5 James Saunders; A. Tompkins; Geo. Earnhart; John T. Sain; J. A. Hawner (Hugh); Thomas W. Saunders; Kinner Sander; A. Ogden; Richard Dennis; October 7 Charles A. Floyd; Thomas L. Jones; A. J. C.; James M. Jordan; A. Tompkins; October 11 Sara Hobson; John Goode; J. B. Author; October 12 W. Waller; R. C. Mitchell; William G. Green; October 14 James M. Tucker; A. B. White; James Franklin; October 18 John P. Hughes; F. G. Morrison; October 19 William Hobson; J. H. Buford; October 21 Woodall A. Finer; R. P. Jones; Alex McDaniel; W. B. Preston; William S. P. Hopkins; October 22 William Daniel; October 27 William A. Hardy; J. M. Reese; October 30 William Hutcheson; November 1 B. B. Wright; November 9 Victor Spence; Geo. K. Taylor; H. H. Wallace; November 23 H. Gilmore; A. W. Price; J. C. Murrell; November 29 J. A. Stigler; J. C. Jeaning; December 1 R. M. Wells; December 13 James Campbell; December 18 Seth Halsey (Randall); J. H. Buford;

December 22 Sandy K. Jones; Dan Stratton; December 28 W. W. Jordan; A. W. Smith; William J. Robinson; John S. Blair; Sam C. Miller; December 29 Abram Shelton; Geo R. Peake; Thomas L. Jones; J. G. Morrison.

1859 - January 3 Sam Crockett; Peter Spence; H. H. Wallace; Peter Spence; Josh W. Key; James C. Hammock; J. R. Malcombe (Jane); Jason Nowlin; J. R. Holcombe; Anne E. Sangorfield; J. J. Loving; R. L. Crockett; Josh Wilson; Geston Pitty; C. L. White; T. E. Lowey; E. D. Froyer; Will Owen; January 4 Kinner Sanders; Hugh Chandler; Thomas W. Saunders; S. C. Woodcroft; Alex Wade; James Shearer; William G. Ghet; Chris Dabney; A. Wilson; Washington Hunter; W. L. Hohkis; H. V. Thompson; Noble J. McGinn; Rich M. Wells; John H. Griffin; Charles H. Floyd; William A. Gillian; Marshall L. Harris; Wither L. Martin; C. S. Pepper; January 5 Richard Perkins; A. J. Caugh; J. C. Murru; W. S. Morris; W. H. Agrew; James M. Rucker; A. J. Engledom; C. L. Wade; J. W. Callahan; Richard Dearing; John M. Shed; John M. Oley; A. B. Rucker; B. B. Dunsiau (Woodfon, Wright); R. J. Crockett; G. B. Wallace; James P. Hammett; R. J. Crockett; James Monteth; Maria Wright; January 6 C. C. Wade; H. V. Thompson; L. Walker; L. W. Valentine; William Daniel; William K. Mosby; John T. Davis; J. A. Hawney (Charles); William Owen; J. Carly; January 7 J. N. Gordon; W. W. Hangon; Michael Wallace; Mary D. Buchannan; A. G. Broaddom; M. B. Crunch; J. P. Hammett; Dave Hill; R. J. Crockett; J. R. Holt; J. R. C.; H. M. Earing; B. B. Wright; William A. Wright; January 8 J. M. Otey; Alex. M. Geran; A. T. Johnson; A. Thompkins; John C. Hughes; Alex McDaniel; January 10 A. Thomkins; William H. Wright; January 24 Clement F. Harris; Charles W. Christian; C. M. Garnett; Richard Crawford; John Smeller; Hector Harris; J. A. Price; William J. Green; William J. Moon; E. O. Dance; William Leftwich; Withers Waller; James Saunder; R. O. Dole; P. H. Gilmer; William W. Leftwich; J. C. Jennings; William A. Leftwich; Sara Wright; Henry Dunnington; T. T. Saunders; J. C. Moncure; J. H. Smith; Jes Callahan; William H. Moonman; E. M. Poindexter; Davis D. Poindexter; Charles E. Fugud; James W. Stewart; John S. Caldwell; Phill Samuels; John H. Smith; J. H. Nowlin; R. C. Mitchell; Caleb Williamson; A. Ogden; William Owens; S. Hobson; John Goode; R. J. Crockett; James Campbell; January 25 Paton Spencer; W. S. Battle; January 29 John R. McDaniel; James Franklin; A. B. White; Peter W. Haiston; E. L. Stewart; January 29 C. T. Wills; Thomas J. Jarrett; R. H. Coghill; February 1 Daniel Stratton; Agnes L. Angles; February 3 William Kent; R. J. Crockett; J. C. Burchfield; James L. Morgan; W. N. Plunkett; February 5, 1859 Seth Halsey; Thomas A. Harris; April 9 Ann E. Dangerfield; H. Patterson; John H. Flood; J. S. Pirce; Phillip Samuel JR.; William Gibboney; J. M. Kay; Rob. Dennis; J. W. A. Raine; April 15 Geo L. Cock; E. McGavock; William Owen; G. Coleman; W. W. Mosby; Rob Sawyer; James L. Morgan; C. Dabney; W. W. Hanson; C. H. Leftwich; April 20 J. Fitzhugh; W. W. Leftwich; J. W. Leftwich; John Smeller; Elijah Halley; Richard Dennis; C. Dunn; William Terry; Thomas Wood; April 20 A. M. Saunders; J. M. Harris; James Franklin; E. Ward; Mary D. Buchannan; April 22 J. C. Hunter; William Jacken; John Greg; R. Chimley; April 26 R. S. Carne; R. O. Dap; R. H. Wiatt; R. Gibboney; L. Rake; April 29 Daniel Stratton; May 3 F. J. Ballard; William Leftwich; W. A. Hardy; E. S. Hutter; K. M. Daniel; May 6 R. C. Steptoe; Clement F. Harris; William C. Perrow; May 11 John M. Otey; C. V. Webb; W. Hunter; W. Waller; Hector Harris; Thomas A. Harris; May 13 B. B. Tuliaferro; C. Smith; J. M. Anderson; William A. Gillian; May 17 H. V. Thomson; C. E. Webb; May 19 A. B. White; L. Locke; Jacob Merchant; May 23 Joseph Leonard; May 27 R. A. Coghlin; W. Campbell; Marion J. Victor; June 9 R. A. Hurt; June 17 Geo. P. Luck; S. A. Patterson; William Hobson; June 20 Sam G. Stapler; J. P. Hammett; William Owen; C. Page; June 29 S. White; July 2 J. A. Pierce; J. R. Holcombe; Mrs. Ann E. Dangerfield; William A. Gillian; W. T. Anderson;

Mary W. Buchannan; Mary D. Buchannan; John Gray; J. W. Kay; W. Waller; A. Price; Peter D. Hedgman; F. M. Barker; J. C. Hayter; R. P. Patterson; A. S. Stiff; William Terry; A. L. Stiff; J. H. Wilson; Ben S. Carnifer; R. C. Mitchell; S. Rocke; Jacob Merchant; William Hobson; July 5 Paul C. Cabu; R. Coghill; C. M. Garnett; F. M. Garnett; William M. Blackfoot; W. C. Smith; A. A. Hudson; Thomas Wood; William Green; Thomas W. Leftwich; S. C. Woodroof; Sam Crockett; Sam Nowlin; R. H. Wiatt; R. Sawyer; R. Gibboney; John Rake; F. L. Ballard; W. W. Hanson; John R. McDaniel; July 6 William Gibbs; R. Crawford; July 8 J. T. Davis; John Davis; W. W. Mosby; I. L. Walker; A. M. Saunders; G. L. Cock; John M. Spud; Mariah Wright; J. N. Gordon; P. H. Gilmer; J. R. Tinsley; J. M. Spud; R. Dennis; Lawly Baker; John Young; E. O. Dance (Mike); July 11 E. McGavock; July 20 John H. Patterson; James M. Rucker; John M. Otey; James Saunders; R. A. Hurt; E. Frazier; Charles L. Mosby; July 25 A. C. Duhn; C. Samuel; James Franklin; John B. Lee; R. C. Stiploe; C. E. Webb; R. M. Toliferro; John C. Hughes; Washington Hunter; D. A. Langhorne; John Smiller; Elijah Holley; July 26 D. A. Langhorne; J. W. Callahan; July 27 W. C. Perrow; J. W. Saunders; James L. Morgan; James M. Odgen; J. W. Sanders; July 28 C. S. Jones; Joseph Crew; James A. Hammer; I. H. Burnes; July 30 Marion J. Victor; August 3 T. Trent; William Tucker; B. B. Wright; D. P. Jones; Sarah Wright; R. Tinsley; C. V. Webb; August 16 Paul C. Cabell; Sally E. Rose; R. A. Coghill; August 26 E. G. Hill; S. A. Patterson; August 26 D. C. Dunn; W. O. Owen; J. J. Blunton; G. W. Raine; I. Fitzhugh; C. S. Mosby; A. Noell; September 6 F. S. Thomas; Richard Dennis; C. S. Mosby; Sally M. Pierce; A. McDaniel; Pepper Stirna; September 7 William Daniel; C. P. North; J. H. Buford; Sept. 9 G. B. Wallace; September 26 W. N. Jordan; September 27 C. F. Harris; John L. Oglesby; Sept. 30 S. White; Rob Gibboney; C. H. Gilmer; October 3 R. M. Taliaferro; R. A. Hurt; R. Sayer; W. O. Owen; R. H. Wyatt; W. N. Jordan; C. F. Harr; John Goode; R. A. Coghill; W. Hobson; H. B. Hoomey; A. A. Hudson; W. W. Leftwich; October 5 J. M. Kay; Sam Nowlin; A. P. Rice; J. M. Rucker; G. I. Cock; W. W. Hanson; E. McGavock; Daniel Stratton; R. Crawford; Dave A. Hammer; Joseph Crew; W. Waller; Charles P. North; W. Saunders; A. M. Saunders; C. M. Garrett; D. C. Dunn; G. W. Kain; J. A. Price; S. C. Woodroff; October 17 Sam Miller; Frederick Robertson; James C. Hawwett; October 29 John T. Davis; G. B. Wallace; John H. Flood; D. A. Langhorne; A. C. White; J. Slaughter; James Franklin; J. W. Utz; John C. Henderson; J. M. Barker; M. G. Perrow; John M. Otey; C. S. Mosby; J. N. Gordon; S. C. Woodroof; C. S. Jones; A. S. Stiff; Richard Perkins; F. J. Ballard; John Gray; Peter Hidge; J. Tinsley; J. Caldwell; E. G. Hill; J. H. Wilson; Barry Carnift; I. Wood; Phill Samuel; John McDaniel; October 29 Ann E. Dangerfield; W. Leftwich; W. Gibboney; Henderick Roberts; John Smeller; Elijah Holley; C. S. Mosbey; J. H. Dejarrett; J. H. Burnes; John B. Lee; Jacob Merchant; S. Baker; Sam Crockett; A. McDaniel; R. C. Steptoe; Richard Dennis; James Harris; W. Tucker; H. Keaton; G. A. Saunders; M. B. Preston; R. P. Patterson; G. A. Saunders; H. M. Knet; G. A. Saunders; Mary W. Buchannan; November 30 W. W. Leftwich; Ian Charles; J. S. Morgan; Hector Harris; J. W. Callahan; C. E. Webb; J. W. Utz; M. E. Hurt; G. Luck; Florentine Robinson; W. Terry; John Davis; D. P. Jones; A. C. Dunn; W. A. Gillian; Marion J. Victor; W. Daniel; M. E. Hurt; W. G. Coleman; M. W. Jones; Nov. 30 Robert Tinsley; December 31 J. Shearer; R. A. Christian; Sam Miller; J. R. Phillip; J. S. White; C. Christian; R. Crockett; Thomas Frost; Rich Dearing; A. Pettyjohn; A. Wade; S. Wright.

1860 - January 31 John H. Patterson; W. Hardy; Rich Dennis; F. M. Barker; W. A. Haron; P. H. Gillian; John M. White; R. S. Comfort; John B. Swim; J. Saunders; A. Noel; John S. Bafs; A. C. Dunn; T. W. Saunders; Elizabeth Crawford; H. B. Homer; John Goode; J. M. Ogden; W. Hobbs; R. H. Wyatt; R. H. William; W. C. Parks; W. Gibboney; R. Sayer; W. Waller; E. McGavock; W. W. Hanson; G. B. Wallace; Woodson Wright; C. F. Harrison; John Earhart;

W. J. Green; W. F. Hart; J. M. Harrison; Washington Hunter; G. A. Raine; F. J. Ballard; Mary W. Buchanan; Chapman S. Jones; A. S. Stiff; John M. Otey; John Pierce; Francis Christian; A. A. Hudson; Mary Buchanan; S. A. Patterson; T. Wood; John A. Young; C. S. Mosby; Johnson Fitzhugh; A. B. White; A. Gillian; Joseph Crew; J. M. Harris; C. E. Webb; W. Tucker; J. A. Hammer; J. M. Harrison; E. G. Hill; A. M. Saunders; John P. Hugh; M. W. Jones; M. Walker; T. McKinney; John Sennis; W. Terry; M. Wallace; J. S. Walker; W. Daniel; J. W. Callahan; E. A. Craddock; Sarah Wright; James W. Harris; W. G. Coleman; W. Daniel; A. Pettyjohn; M. M. Kigley; T. McKinney; C. B. Wallace; J. R. Tinsley; J. S. Caldwell; R. Moon; J. J. Blanton; T. T. Saudnerson; M. E. Hurt; S. Crockett; W. O. Owen; Sam Nowlin; J. H. Patterson; James Saunders; W. W. Mosby; Alex Wade; Woodson Wright; R. Moore; J. J. Kent; J. H. Stone; Paul Hill; E. A. Craddock; C. Dabney; J. M. White; T. McKinney; James Saunders; B. B. Wright; John H. Patterson; M. Wallace; M. Wallace; M. M. Kigley; J. M. White; T. T. Saunders; E. Crawford; J. J. Saunders; John H. Smith; R. D. Moon; John Stone; A. Pettyjohn; T. McKinney; W. H. Wright; T. McKinney; M. M. Kingsley; W. H. Wright; E. Crawford; T. T. Saunders; T. McKinney; John Blanton; A. Pettjohn; E. Crawford; John H. Patterson; J. McGinnis; S. F. Johnson; J. F. Kent; M. Wallace; T. K. Watson; J. F. Kent; J. K. Nelson; T. W. Leftwich; J. Mont; J. S. Campbell; Charles Hogmouth; N. F. Thornton; S. Johnson; John Young; Rich Drarington; N. F. Thorton; Alex Wade; W. Hunter; Frances Christian; Woodson Wright; J. K. Nelson; J. Mogden; J. Christian; Paul Hill; W. Owen; R. Tinsley; A. P. Price; J. Griffin; D. Saunders; R. Crockett; W. W. Leftwich; R. Crockett; R. A. Hurt; L. Bowyer; R. R. Wright; W. Owen; J. H. Stain; John Owen; Peter Hedgman; R. E. Jeter; W. C. Person; Ann E. Dangerfield; J. T. Loving; W. W. Wright; W. Owen; M. P. Watson; James Sharer; D. P. Jones; J. H. Griffin; W. J. Alexander; J. McGinnis; Preston Pitty; R. C. Strother; Preston Pitty; R. C. Strother; W. A. Leftwich; R. C. Strother; R. M. Taliafer; J. H. Griffin; W. Owen; W. J. Alexander; S. Johnson; L. Baker; R. Crockett; J. H. Patterson; R. Early; J. C. Slaughter; W. Owen; J. H. Loving; K. Nelson; J. H. Smith; J. F. Loving; C. V. Webb; J. W. Leftwich; Pepper Sharner; R. Crockett; L. F. Loving; J. Montuth; H. J. Garrett; J. S. Cawhill; Daniel Stratton; T. Arent; R. Coghill; Rich Dearing; R. Crockett; J. Franklin; J. Fitt; H. J. Garrett; Stephen Perrowin; C. P. North; J. N. Jordan; M. Patterson; John Jones; S. A. McConkey; R. P. Patterson; J. F. Loving; R. Gibboney; J. C. Haurauth; W. Owen; L. J. Cock; Phil Sam; J. H. Wilson; R. Crockett; Preston Pitt; Jacob Merchant; W. Leftwich; W. Owen; Pepper Sharner; W. Wright; John Sutton; J. C. Harmouth; H. J. Garrett; W. Owen; Woodson Wright; J. H. Dejarrett; R. Early; J. M. Rucker; Charles L. Mosby (Martha); Frederick Roberts; Albert M. Daniel; T. H. Burnes; James L. Morgan; W. C. Parks; February 29 R. Clement; H. V. Thompson; W. Campbell; Dr. Hector Harrison; W. Owen; Maria Wright; W. Kent; R. Crockett; R. C. Steptoe; February 29 W. Kent; John M. Sherd; Maria Wright; Jane S. Irvine; Fleming Thomas; C. E. Frig; C. E. Fryer; D. A. Langhorne; March 31 C. H. Leftwich; Sam. L. Gray; Jacob Fowler; W. Hughes; Rich Perkins; G. Luck; F. G. Morrison; J. C. Hayton; Sam Gray; M. J. Victor; J. Robinson; E. Hutter; J. S. Jameson; R. Fancy; H. Thornhill.

Annual Report, September 15-16, 1858

No names of slaves.

Force Employed:

There are 341 slaves in all at Depots, on the Road, with Passenger Trains, Freight Trains, Gravel, Material and Wood Trains, including 34 mechanics...

Annual Report, September 12-13, 1860

No names of slaves.

Slaves in depots, 75; on repairs of road, 231; in carpenter shops, 10; in smith shops, 13; in copper and paint shops, 3; machine shops, 10; train service, 37; wood and gravel trains, 24. In all 407...

Journal, 1860

June 13, Washington Hunter; June 30, 1860 - Samuel G. Staples.

No names of owners or slaves: March 31, May 31, 1860.

Ledger A., November 1860 – March 1864

No names of slaves. Combined entries for amounts paid to named owners and aggregate amounts paid.

November 9, 10, 13, 15-17, 22, 23, 28, 29, 30, 1860; December 1, 3-5, 8, 12, 13, 18, 21, 22, 26, 27, 31, 1860; January 1-3, 1861; January 4, 5, 7-12 W. A. Leftwich; 14, 15 Nancy Edgar; 16, 17 R. M. Taliaferro; 18, 22-24 Mrs. F. Christian; 25 W. P. Preston; 26, 28 J. C. Slaughter; 29, 30 H. F. Bocock; 31; February 2, 5 Sally M. Lynch, 6, 7, 1861; 7, 12, 14 R.W. Comer; 20, 21 Margart Gartdil; 22 W.F. Tuckade; 26; March 1, 2 William Kent; 5, 14, 15, 29, 30; April 1, 2, 3, 4, 5, 6, 8 James Campbell; 9, 10, 11, 12 R.A. Coghill; 13, 15, 16; April 16, 17, 19, 22, 23 Jason M. Ogden; 24, 26, 29, 30; May 1, 2 J.F. Davis; 7, 8, 9, 13, 14, 16, 20, 27, 28, 29, 31; June 1, 3, 4, 22, 29; July 1, 2, 3, 4, 5, 6, 8-12; 12, 13, 15-18 M.H. Crump; 20, 23, 25, 26, 30, 31; August 1, 2, 3, 5, 8, 13-15, 22, 23, 28, 29; September 4, 5, 12, 16, 19, 25, 26, 30; October 1, 2 G.B. Wallace; 3 W. Robinson; 4, 5, 7-10 John Jones; 11, 12, 14-19, 23, 26, 28-30; November 5, 6, 12-14, 16, 19-21, 23, 26; December 9, 11, 12, 17, 19, 20 William H. Trent; 21, 24; 26, 27, 30 Rev. Charles Wingfield; 31 Richard Dearing; January 1, 2, 5, 6-8, 10, 11, 13-15 Jacob Merchant; 16 W.F. Yingling; 17, 18, 20, 21 H.D. Flood; 22 J.P. Hughes; 23, 24 J.W. Barnett; 29, 30, 1862; February 1, 2, 6, 7, 8, 11, 13, 15, 18, 19, 20, 25, 26; March 17, 20, 21, 27, 30; April 1, 2, 3; 4, 5, 7, 9-12, 14-19, 23, 24, 26, 28, 30 W.C. Smith; May 2, 3, 6-8, 10, 12-14 G. Saunders; 15, 19-22, 30, 31; June 2, 4, 5, 12, 31; July 1-5, 7-13, 15-17, 19, 21-24, 26, 28, 29-31; August 1, 2, 4-7, 9, 12-16, 18, 20, 21, 23, 25, 27-29; September 1, 3, 8, 10, 11, 13, 16, 17, 19, 25, 27, 29, 30;

October 1, 2, 3, 4, 6, 7, 9, 10, 11, 13, 14, 15, 16; 16-18, 21, 22 H.W. Floyd; 24, 25, 27-29; November 1, 3, 4, 7, 8, 10-12, 14, 15, 20, 21, 22, 24, 26, 27, 29; December 2, 6, 12, 16, 17, 18, 19, 22, 23, 24, 25, 27, 29-31, 1862; January 1, 2, 3, 5 S.C. Hurt; 6-10, 13-17 P.G. Cabell; 19 J.S. Crockett; 20, 21, 22; 23, 24, 26, 29, 30 Thomas Corke; 31, 1863; February 2-4 L.M. Oglesby; 5, 9, 12, 13, 19, 25, 27 F.A. Austin; March 4 E.A. Gibbs; 5-7 R.P. Finny; 11, 13, 14, 16, 17, 18; March 19 W.A. Hardy; 20, 24 Samuel Miller; 25, 31; April 1-4, 6-11, 13 R.G. Sutton; 14, 15 J.R. McDaniel; 16-18, 20, 22, 24, 25, 27-30; May 2, 4-8, 11, 20, 25, 26, 29; June 4, 11, 12 G.W. Clement; 13, 17, 19, 24, 29, 30; July 1-4, 6-11, 13-18, 20-25, 27, 28, 30; 31 William Hobson; August 3 Michael Wallace; 6, 10 John Washington; 11-13, 18-20, 24, 26, 28; September 3, 5, 8-12 Maj. William Leftwich; 14, 15, 18-21, 29, 30 G.W. Dillard; October 1-3, 9, 21; 22-24, 28, 29, 31 J.W. Berry; November 3, 5-7, 11, 13 H.T. Minor; 14, 17-19, 24, 25, 27; December 3, 5, 7 J.M. Wallace; 8, 10-12, 16 Kent Mitchell; 22, 23 R.E. Garey; 26 Mrs. S. A. Campbell; 28, 29, 30; 30 A.L. Stiff; 31 J. W. Perry 1863; January 1, 2, 4, 5-8 W.H. Kinkle; 9 Seth Halsey; 11 R.H. Bucknor; 12, 13, 14, 15, 16, 18, 19

Wesley Wright; 27, 28, 29, 30; February 1-3, 6, 8 M.M. Williams; 9, 10, 15, 16, 18 Mrs. Sarah Wright; 20, 29; March 2, 14 John O. Washington; 15 Samuel Miller; 16 (J.H. Knight); 17, 18 L. Anderson; 19, 21, 26, 28, 30, 1864. March 30, 31 (W.H. Gray), 1864.

Journal, 1860-1863

1860 - April 30 D. C. Dunn; John Goodwin; John T. Davis; Dan A. Longhorne; R. Hoghill; J. A. Pinco; W. W. Leftwich; E. W. Gavock; Jason Franklin; Robert Tinkey; W. D. Tucker; A. Pettyjohn; A. A. Hudson; Jackson Fitzhugh; J. N. Jordon; R. A. See; T. A. Walthall; J. H. Wilson; H. V. Thompson; John Greg; E. Woodhoop; Thomas Moseley; A. Tompkin; Thomas Mouly; J. A. Hawner; G. L. Locke; Palestine W. Noell; H. Wallace; Ann E. Dangerfield; E. G. Hill; Charles A. Plogs; I. Merchant; Mr. A. M. Saunders; J. W. Kay; John A. Daniel; J. W. Jones; P. A. Gilmer; J. P. Hughes; W. W. Stickley; J. C. Slaughter; R. J. Rurmey; William Trucker; Martha Tuggle; Sarah Wright; John C. Moncure; T. Wood; J. H. Davidson; C. J. Harris; John Gibboney; John Leftwich; L. A. Bagbie; W. E. Patterson; M. S. Harrisin; Robert Gibboney; Sam Nowlin; R. Soft; R. Sayer; Sam Crockett; Paul Cabcell; Reston Getty; Robert Early; William Owens; R. A. Moone; J. H. Ruford; W. B. Preston; Dan H. Rusney; Thomas Owens; R. Crockett; R. A. Coghill; G. B. Maunce; John Minon; Joseph Crewin; C. V. Webb; John Sowny; D. S. Patterson; William Daniel; T. Wallace; May 3 M. P. Watson; Robert Crockett; T. W. Saunders; M. Liftwich; R. M. Connor; Elijah Holley; J. Ballard; June 30 F. Morrison; Huston Harrison; Michael Riley; William Waller; D. Dunn; R. A. Coghill; W. W. Latwich; J. Lock.; Jacues Wauklin; August 31 A. C. Harrison; John Minor; J. H. Buford; Phillip Achler; Martha Tuggle; Sally M. Price; H. H. Wallace; Margaret Gaddisin; Ralph Conner; Flaming Thomasin; James Metcalf; D. S. Patterson; William Owens; October 23 William Settwich; J. D. Walthace; M. Wallace; G. B. Wallace; E. B. Halloway; A. A. Hudson; R. M. Talin; Sarah Wright; W. C. Smith; James Campbell; J. T. Davis; John Sowny; M. D. Buchannon; John Goodwin; E. Woodoof; E. Halley; H. McKent; R. M. Talin; D. A. Longhorne; R. M. Taliaferro; J. S. Steptoe; John Moorman; John Dickinson; Charles A. Floyd; L. A. Bagbee; C. V. Webb; C. F. Harris; W. O. Owen; Thomas Mosley; C. V. Webb; W. W. Leftwich; D. C. Dunn; D. S. Patterson; Martha Tuggle; Paul Cabu; R. McDaniel; Robert Tinsley; William Tucker; W. W. Stickley; C. Dabney; J. S. Crockett; W. L. Grun; C. S. Mosby; Mrs. A. M. Saunders; A. M. Smith; W. A. Softwick; G. W. Noel; T. Wallace; James Campbell; Ann E. Daugerfield; M. E. Harris; John Rod; E. McGavock; William Gibboney; J. Merchant; J. W. Jones; John S. Calwell; R. Aleoghill; J. G. Morrison; T. Mosley; Fleming S. Thomas; A. B. White; R. S. Wooson; Sam Nowlin; R. A. Coghill; P. H. Gilmer; J. N. Gordon; R. Pirkins; E. B. Wallar; T. Wood; Rob Gibboney; James Campbell; Mary W. Buchannon; M. W. Buchannon; James Campbell; Josh Giny; David Duncan; Rob Sawyer; W. D. Tucker; G. A. Saunders; R. A. Sye; John Gary; H. Burner; M. A. Gillian; M. Leftwich; R. J. Burnegin; A. S. Stiff; J. M. Kay; J. B. Sayne; J. H. Wilson; C. E. Webb; John Smilser; Archibald Wade; John Moorman; T. G. Burrup; Sam Staples; John Moncure; George A. Cock; A. S. Whaling; Frances Christian. November 3 J. G. Shears; James A. Wamner; Robert W. Conner; November 22 J. H. Dands; December 8 H. V. Thompson.

1861 - January 1 R. A. Lee; R. Perkins; Washington Hunter; John M. White; Mrs. A. M. Saunders; Washington Hunter; James Metcalf; C. A. Floyd; I. S. Pendleton; L. A. Bagbio; C. E. Webb; Thomas Trust; James A. Hammer; D. F. Patterson; J. L. Stiff; J. D. Walltrall; J. H. Burnes; J. H. Gordon; Clifton V. Webb; Nancy Conner; January 3 G. J. Cocke; A. Wade; Susan Shephard; Susan Speller; W. W. Manson; Dr. John Minor; Jack Dearing; T. E. Reynolds; Seth Halsey; January 2 Thomas Trunt; F. S. Thomas; James M. Cobbs; I. M. Patterson; I. M. Wilson; I. M. Jones; D. Cauch; I. I. Hughes; R. A. Caghill; William Tucker;

Thomas Mosley; M. L. Morris; John Stone; W. W. Liftwich; Lillian F. Jordan; John Jonis; January 5E. G. Hill; A. B. White; I. B. Layou; I. F. Switman; I. H. Jones; James Franklin; I. I. Alanton; I. L. Stephon; W. Waller; John Goode; R. C. Gary; Thomas Wallace; W. E. Satterson; R. Tinsley; I. F. Switman; William Liftwich Jr.; I. I. Planton; W. D. Tucker; D. A. Longhorne; W. O. Owen; D. L. Dunn; C. F. Harris; January 7 Anne E. Dangerfield; A. A. Hudson; John Dickson; L. P. North; H. V. Thompson; T. T. Saunders; I. Crown; John Guy; Paul Cabell; R. I. Burney; T. G. Morrison; F. T. Ballard; T. H. Gilmer; A. M. Smith; Dr. Charles Fright; Maria Fright; F. G. Morrison; Joseph Cown; T. T. Saunders; C. J. North; John Dickson; January 8 F. W. Naill; Ges F. Luck; John C. Mancure; Paul Hill; J. A. Pannett; William Daniel; C. Dabney; Charles Sunsbrough; Martha Tuggle; John Lowey; E. M. Clay; R. O. Dof; January 22 A. C. Harrison; M. C. Leftivoch; South Side Railroad Company; J. H. Stone; Mary M. Chambers; January 25 R. B. Preston N. P. Preston; W. W. Hickley; L. Merchant; J. L. Slaughter; James N. Buford; H. M. G. Hunt; January 30, 1861: Samuel Newlin; H. F. Bocock; E. Woodruff; February 1 Parker Jones; February 5 S. L. Dearing; Sally M. Lynch; Mary W. Burchanan; G. B. Rallaco; R. L. Woodson; John Bodken; J. Kegley; A. Thampkey; February 6 Johnson Pitzhugh; H. H. Wallace; E. M. Garack; Mrs. E. R. Wallace; Elizabeth B. Halloway; Michael Wallace; Mary R. Cuchanan; G. B. Wallace; J. S. Crockett; William Gibboney; R. S; Robert Sayers; Samuel Crockett; W. J. Greene; Robert Gibboney; Thomas Woods; February 25 Ancher Pettyjohn; March 1 J. H. Davidson; William Henry; W. G. M. Gennis; March 5 W. J. M. Ginny;

April 8 W. C. Smith; T. W. Sanders; James L. Campbell; William Leftwich; J. W. Wilson; John B. Dabrey; William Owen; J. W. Ians; R. D. Moore; J. B. Sayore; John Guy; Jane J. Hicklin; April 20 W. H. Moorman; W. D. Woodson; James A. Watkins; W. A. Leftwich; James M. Ogden; J. W. Pettigrew; James L. White; M. M. Williams; April 26 J. D. Coler; Henrietta Cunningham; Catherine Gatewood; William Morely; William Saunders; A. J. B. Rucker; W. A. Gillian; May 2 A. M. D. Smith; May 9 C. A. Slaughter; A. C. Harrison; July 23 Mrs. E. W. Withers; John Guy; A. Wade Sr.; J. M. Philips; July 25 J. S. Caldwell; H. D. Flood; W. A. Payne; I. V. Deaton; August 21 John Waller Jones; R. C. Gary; E. M. Clayton; J. V. Depton; August 24 P. H. Noell; September 2 Geo P. Rick; Rick Dearing; September 9 W. Robinson (David); A. M. Maybell (Isaac); J. J. Camden (Jack); October 2 William Leftwich; J. N. Gordon; R. A. Coghill; P. A. Gilmore; John Minor; J. D. Prince; A. G. Cox; Wynham Robinson; J. D. Peirce; J. L. Crockett; M. L. Slaughter; H. W. Hill; Samuel Pryor; J. P. Haphur; J. M. Longhorne; J. W. Callahan; C. L. Morby; October 3 C. Gatewood; R. W. Crenshaw; Jane L. Hicklin; Charles Henderson; J. H. Wilson; Emma S. Crenshaw; John Goode; A. J. Rucker; M. L. Harris; P. W. Noell; J. H. Davis; J. W. Pettygrew; J. J. Saunders; James Franklin; A. B. White; William Daniel; Mary A. Wills; James D. Taylor; Samuel Fries; October 11 M. S. Stiffey; William M. Pettyjohn; D. D. Pointdexter; John Smilser; J. M. Rucker; November 25 John Guy; W. B. Prestons; December 17, 1861: Mrs. Jane Picklin (Henry); Mrs. Sally M. Lynch (Daniel); John S. Ralph (Jordan); John Minor (John); J. K. Jones (Riland); Charles Henderson (Carter); G. B. Wallace (Jim); R. A. Coghill (John, Bill); E. B. Wallace (Emanuel); Rev. Charles Wingfield (Cliff); W. H. Lunch (Stephen); Catherine Gatewood (Nimrod); J. J. Burks (Henry); Rich Dearing (Fountain); Warhinton Hunter (Nathan); D. C. Dunn (John, Adam); Michel Wallace (Henderson); Washington Hunter (Umpfrey); J. S. Thomas; W. W. Floyd (Dick); John Minor (Thornton); December 26 J. W. Wingfield; W. W. Mickley (Henry); December 30, 1861: P. H. Gilmer; W. W. Roberts; G. C. N. W.; F. G. Morrison; James Dicklin (Henry); H. D. Flood (Priscilla); A. Boutwell (Warner); J. D. Prince (Ian); W. A. Liftwich (Charles); W. C. Perrow (Luke); A. C. White (William); J. M. Ogden (Robert); Samuel D. Rice (Booker); L. D. Robinson (Henry); J. W.

Calahan (Jim); Thomas Mosely (Dick, Andrew); P. C. Cabell (Don); W. W. Roberts (William); Susan L. Dearing (Henry); Benny Williams (Jacob); R. C. Gary (Dick); C. A. Floyd (Jordan); M. O. Richardson (Jack); Robert Family (John, Peter, Noah); C. A. Slaughter (Alex); G. C. Wingfield (Henry); M. D. Richardson (James); Hugh Nilson (Nick); John Camden (Jack); C. Dabney (Sullivan)

1862 - January 1 Jason H. Harris; Jas A. Hammer; R. Y. Hosseley; A. Wade; U. C. Walker; J. J. Stratton; I. C. Slaughter; J. R. Crews; A. Wade; J. C. Walker; I. W. Harris; H. J. Minor; J. F. Suitman; Thomas Wallace; Ann E. Eubanks; G. J. Cock; P. D. G. Hedgeman; Robert Dinsley; J. W. Andrews; Hugh Nelson; A. C. White; I. N. Gordon; A. Pettyjohn; W. A. Mason; D. A. Langhorne; H. A. Gillion; Seth Halsey; Beiger Williams; J. D. Pierce January 2 Thomas Floyd; J. M. Camden; J. B. Layne; J. W. Callahan; John Guy; A. J. Minor; John Guy; Seth Halsey; W. A. Gillian; J. B. Layne; J. N. Gordon; A. C. White; Hugh Nelson; R. Tinsley; Ann E. Eubank; John Camden; J. D. Price; Benjamin Williams; C. J. Harris; J. Scott; J. A. Smith; A. C. Harrison; John Dickson; W. C. Perrow; C. R. Slaughter; C. W. Jones; R. W. Chrinshaw; R. A. Pendleton; R. A. Coghill; Emmanuel Chrinshaw; Thomas Cock; C. L. Moorbey; A. M. Jennings; W. Hunter; William Ducker; January 3 J. Goode; P. W. Noe; Thomas Moseley; Jus M. Smith; Jim Dickerson; William C. Perrow; C. R. Slaughter A. M. Jennings; R. A. Coghill; William Cock; Washington Hunter; William Tucker; Joe Grade; Thomas Moseley; Sally M. Lynch; I. G. Dearing; Susan Dearing; John Minor; E. Hill; I. J. Crockett; Samuel Prince; Wynham Robinson; I. H. Wilson; J. H. Miller; I. A. Watkins; C. Dabney; I. B. Dabney; Mrs. E. D. Frayzer; P. C. Cabell; J. M. White; A. B. White; James Franklin; P. W. Withers; January 4 Lamb Nowlin; R. W. Withers; Sally M. Lynch; J. G. Dearing; John Minor; E. G. Hill; J. H. Miller; E. Dabney; Paul C. Cabell; Wyndham Robinson; James Franklin; C. H. Lynch; Thomas L. Walker; C. P. Luck; W. Dandel; John Hancock; Hector Harris; Elijah Hally; J. M. Ogden; Alice Mussell; E. M. Poindexter; R. A. Coghill; M. M. Williams; M. L. Harris; January 9 R. A. Fogus; Samuel Garland (John); H. V. Thompson; J. L. White; H. Boyd; J. R. Price; J. D. Taylor; M. R. Wills; January 7 A. Thompkins; A. Pucker; Robert Giboney; M. D. Buchannan; Michael Wallace; G. B. Wallace; C. A. Floyd; M. W. Buchannan; I. R. M. Daniel; W. W. Leftwich; Samuel Garland; M. O. Buchannan; I. R. McDaniel; January 11 John Smeler; H. Dunnington; Spingly Hamlin; J. W. Bettygreed; J. D. Dicklin; Catherine Gatewoods; Samuel Miller; Charles Henderson; R. D. Moore; A. G. Cox; A. A. Henderson; A. W. Floyd; January 13 Samuel Miller; N. W. Floyd; Charles Henderson; Catherine Gatewood; I. I. Ficklin; John Smilon; January 14 Lucy Perkins; J. S. Campbell; Arthur Lewis; W. A. Leftwich; J. H. Adams; Jacob Merchant; January 16 W. A. Yingling; Sarah Wright; S. B. Poindexter; Seth Woodruff; S. W. Prince; H. H. Wallace; D. D. Poindexter; January 18 A. Ogden; Samuel Pryor; Thomas Longhorne; W. A. Mosbey; January 21 H. D. Flood; I. I. Davis; I. P. Hughes; January 23 William Leftwich; J. W. Burrows; J. W. Basnech; W. J. Parker; John Loury; January 27 William Owens; W. A. Payne; W. A. Hands; James Mucalfe; W. H. Crump; H. H. Lewis; Robert W. Brown; January 31 J. H. Moorman; K. D. Woodson; J. M. Rucker; February 8 Mrs. E. B. Wallace; J. P. Mitchell; F. A. Deaton; February 24 A. D. Stiff; C. J. Merryweather; March 15 W. B. Preston; March 18 John Mitchum; N. J. McGunnis; W. A. Payne; April 1 Samuel Howlin; C. Wingfield; E. A. Gibbs; C. Dabrey; J. G. Morrison; A. J. Rucker; J. C. Slaughter; Paul C. Cavell; H. D. Flood; J. A. Huyson; W. W. Roberts; Hugh Nelson; Seth Halsy; S. Rutherford; Scott Hix; A. Hancock; J. L. Schoolfield; S. C. Hush; J. A. Watkins; J. L. Arrington; S. C. Hugh; Samuel Payor; J. M. Ogden; April 4 S. A. Campbell; I. I. Reynolds; I. W. Sale; L. B. Harwick; William C. Perrow; William Daniel; S. D. Williams; I. N. Goron; E. W. Westers; I. W. Pettygreew; I. H. Stone; I. H. Chalmus; C. A. Floyd; W. N. Floyd; Thomas Moseley; P. H.

Ryan; D. D. Poindexter; H. L. Duggle; J. D. Poindexter; C. P. North; W. D. Christian; W. W. Crius; J. B. Oglesby; J. W. Callahan; M. M. Williams; April 11 J. M. Rucker; Thomas Jillis; John Goode; G. C. N. Wingfield; I. A. Dannes; John Smucker; I. W. Jennings; John Williams; P. W. Noell; W. C. Perrow; April 17 Robert Patterson; M. Langhorne; Daniel A. Langhorne; D. B. Joplins; I. L. Burts; I. S. Davis; I. E. Baze; R. B. Dumstall; C. K. Taylor; May 6 Thomas H. Flood; I. M. Watts; E. H. Epps; Rich Dennis; May 12 S. L. Moorman; William Hobson; May 13 Wesley Hugh; G. Abbot; I. O. Scott; T. T. Saunders; May 19 S. A. Patterson; S. S. Poindexter; May 30 H. A. Payne; A. C. Hill; June 2 I. C. Daliaferror; A. A. Legrand; P. D. Cofer; Samuel Pryor; Mrs. P. H. N. Connor; June 25 J. K. Knight; M. A. Church; Thomas Cork; June 30 G. C. N. Wingfield July 1 D. T. Mann; J. J. Reynolds; S. Garland; C. Dabey; Hugh Neilson; W. Kinklin; Samuel Nowlin; M. Langhorne; C. R. Slaughter; M. R. Slaughter; J. J. Cocke; A. Cohn; J. W. Pettyjohn; F. O. Thompkins; Thomas L. Arrington; J. S. Crockett; J. M. Gordon; H. S. Chatmore; P. L. Moorman; F. G. Morrison; S. A. Campbell; W. W. Floyd; B. A. Gibbs; P. H. Dillard (Patrick); H. D. Flood; Sammuel Rucker; J. W. McAlliter; July 5 S. D. Williamson; A. C. White; Charles Wingfield; I. A. Furgusan; W. W. Leftwich; A. T. B. Rucker; Charles A. Floyd; John Saulser; John B. Dabney; John Manor; W. D. Tucker; I. W. Callahan; I. P. Yuell; Matilda M. Williams; I. L. Schoalfeld; A. G. Hancock; P. H. Ryan; William Daniel; I. L. Burts; R. A. Coghill; John A. Tanner July 11 J. E. Faliafor; W. C. Perrow; July 12 L. M. Agliobe; H. Dunnington; J. P. Hughes; Joseph B. Oglesby; S. P. Browning; Ges Abbott; I. H. Buford; M. S. Steffey; Nancy Legrand; A. Liftwich; I. H. Miller; I. C. Slaughter; July 15 I. M. Ogden; S. C. Hurt; I. S. Harris; A. A. Arthur; John Buford; R. P. Jenny; John Fuller Jr; R. M. Cocke; P. A. Talbot; July 21 R. C. Gary; G. W. Clements; John Williams; S. P. Poindexter; John T. Poindexter; David D. Poindexter; W. W. Roberts; Henry Cooper; I. W. Stuart; Susan A. Hobron; H. V. Thompson; I. E. Bayle; W. A. Thompson; Rick Dennis; Hector Harris; K. C. Hill; I. H. Adams; S. A. Patterson; July 26 M. L. Harris; L. B. Harwick; P. W. Hall; R. H. Teter; E. H. Withers; R. C. James; August 1 C. W. Gill; John Goode; H. A. Allen; H. H. Wallace; Thomas P. Topling; H. H. Wallace (Thornton); William Hobson; Asa Gill; R. H. Buckner; William D. Christian; I. A. Stigler; August 9 John R. McDaniel; E. H. Morris; S. H. Pierce; August 12 Paul Cabell; Thomas Mosseley; Henry L. Tuggle; August 15 I. E. Bayle; I. A. Hammer; E. W. Epps; Jas. A. Watkins; August 26 Seth Halsey; John Lowey; U. A. Isbell; September 1 James B. Scott; P. D. Cofer; A. McSmith; A. Pettyjohn; October 1 Charles Wingfield; J. J. Reynolds; J. A. Furgusan; Martha A. Chadle; Samuel Nowlin; W. H. Kinckle; James M. Rucker; W. H. Kinckle; W. H. Caruter; I. H. Pettigust; Samuel Pryor; C. Dabney; H. L. Tuggle; W. H. Roberts; I. W. McAllister; Thomas L. Arlington; F. O. Thompkins; I. N. Gordon; Hugh Nelson; P. C. Cabell; E. A. Gibbs; William Owen; S. D. Williamson; E. W. Withers; C. R. Slaughter; Mary R. Slaughter; October 14 Thomas Pellis; Henry Dunnington; A. McNesmith; R. P. Timmy; James H. Buford; R. R. Owens; John Smiler; J. R. Tunsley; Lucus A. Boalwight; October 17 D. D. Poindexter; R. A. Cophill; A. I. P. Rucker; George Abbott; James M. Ogden; Charles A. Floyd; R. W. and Mrs. N. Conner; October 24 John Warlingdon; W. W. Floyd; Wesley Wright; Sally W. Pierce; J. T. Poindexter; D. D. Poindexter; F. G. Morreson; S. Patterson; November 1 John F. Hix; J. A. Watkins; William A. Gillian; November 5 S. B. Poindexter; J. P. Hughes; A. V. H. Watts; November 8 H. V. Grompron; I. A. Adams; R. P. Patterson; H. H. Wallace (William); James M. Ogden (Reubin); W. H. Tilanz (Stephen); P. C. Cabell (Willis); Charles A. Floyd (Henry); John Woodson (Joseph); Charwell Dabney (Sullivan); R. A. Caghill (Charles); November 11 Paul Hull (James, Sam); Thomas Moseley (Archy); W. H. Jobelb (Wash); R. P. Jenny (James); G. A. Clement (John); J. R. Tinsley (Cain); John Minor (Barney, Minor); Henry L. Tuggle (Philip); John H. Smith (Jim); H. D. Akeers (Isaac); H. D. Floods (Brunella),

Thompson); William A. Gillian (Charles); F. O. Thompkins (Abraham); Mary D. Buchanan (James); Mary W. Buchanan (Henry, William); John B. Dabney (Sam); C. L. Mosbey (Merchant); G. D. Davis (Ambrose Booker, Stephen); I. E. Baf (Iaihua); I. S. Harris (Ned); Allen Ogden (Ned); I. A. Furguson (William); I. A. Stigler (Fosley); Charles Henderson (Henry); James I Hicklin (Henry, Bob, Jack, Titer, Henry; Charles) Mrs. Eliza Epps (I. Day); Thomas Moseley; November 26 W. W. Boher; John Buford, John Goode; William Leftwich; December 8 John H. Knight; December 11 Jane S. Nowlin; C. K. Taylor; Susan A. Hobon; December 16 R. C. Allen; Matilda M. Williams; B. W. Connor and Mrs. Nancy Conner (Willis, Jim, Dave); D. D. Minor (Philip); G. C. H. Wingfield; Thomas P. Jopling; December 22 I. L. Schoolfield (George); Robert Michell (Polk); W. H. Caruthers; R. R. Dunsall (Jacob); John Minor (Thornton); Henry D. Flood (Wesley); D. H. Hogue (Harry); I. H. Sweatman (Henry); B. W. Conner and Mrs. B. Conner (Jim, William); December 23 G. W. Clements; P. D. Cofer; Sarah Soretman; I. D. Soretman; S. Rutherford; Martha Cheadle; E. W. Clayton; Mrs. M. A. Cheadle (Peter); I. H. Hugh (Harry); Dr. Robert Patterson; I. B. Dabney; R. P. Hurney; Mary Hurb; I. M. Watts; C. A. Floyd; H. C. Hill; December 25 W. H. Kinckle; James Cambell; S. C. Hunt (Bob); D. B. Poindexter (Gabriel); H. Flood (Ambrose); I. B. Hoplin (Charles); I. B. Layne (Martin); E. M. Clapton (Seroanh); H. T. Minor (Phil); John Minor (Lewis); Sarah Stoetman (Joe); N. McGinnis (Sandy); Seth Halsey (Henry); R. R. Owens (Henry); B. W. and Mrs. N. Conner (Jim); Sam Miller (Grant); I. W. McAllister; John H. Smith (Jim); M. M. Williams (George); I. R. McDaniel (Henry); I. C. Saunders (Mason); D. Mann (William); Seth Halsey (Henry); I. S. Crockett (Spencer); I. D. Davis; I. R. Tinley (Cam); R. C. James (Harry); December 26 I. A. Stigler (Harley); W. W. Floyd; I. D. Davis (Booker); Charles Henderson (Henry); I. P. Hughes (Phil); I. B. Dabney (Emond); Henry D. Flood; I. H. Smith (John Keys); L. Mosby; W. B. Preston; December 29 Paul J. Davis; J. T. Davis; A. C. White; T. L. Arrington; J. H. Buford; John W. Wingfield; Mrs. E. W. Withers; I. A. Buchanan; F. A. Morrison; December 31 A. Pettyjohn; R. Herring; A. Wade; Thomas Moseley; Samuel A. Patterson; A. A. Legnan; S. A. Williams; R. P. Patterson; John Williams; Charles Wingfield; H. T. Minor; J. W. McAllister; Sarah Wade. W. I. Allen; Charles A. Floyd; John Goode (Martin); W. H. Kinckle (Mush); Robert Jeter (Ellen); December 31 John Smither (Morris); A. C. White (James, Edmond); I. B. Dabney (Sam); R. R. Dumtall (John).

1863 - January 1 Nancy Lugrand; William Leftwich; H. B. Diane; F. L. Walker; S. B. Poindexter; I. A. Fanner; James M. Rucker; S. C. Hursh; I. N. Gordon; Seth Healey; Ian L. Harris; Charles A. Floyd; E. C. Hugua; I. I. Poindexter; D. K. Flood; John Goode; W. A. Gillian; R. W. and Mrs. N. Conner; D. D. Poindexter; I. Gordon; Dave S. Harris; John S. Poindexter; Charles A. Flood; Thomas H. Flood; John Goode; W. A. Gillian B. W. and Mrs. N. Conner; January 2 C. R. Slaughter; S. Garland; Mary R. Slaughter; P. H. Ryan; Hugh Nelson; Susan A. Hobon; William Daniel; S. P. Browning; A. V. H. Watts; I. I. Reynolds; H. H. Crevor; James M. Ogden; I. P. Yuill; D. A. Langhorne; W. W. Floyd; A. B. Nichols; D. I. Mann; A. Chon; H. O. Thompkins; John Minor; R. A. Coghill; I. W. Stuart; W. D. Christian; C. P. North; R. M. Cock; A. F. C. Rucker; Sarah Wright; James A. Hammer; C. Dabney; Henry L. Tuggle January 3 I. H. Smith; John Smith; Henry L. Tuggle; S. C. Houry; R. P. Dumstalb; C. K. Taylor; P. K. Dillard; I. E. Bab; S. A. Campbell; M. M. Williams; E. W. Epps; K. D. Acore; A. M. Alapell; I. G. Bentley; B. B. Turtall; I. I. Goodloc; E. A. Gibbs; I. B. Dabney; Jaque P. Scott; Thomas McKuprey; A. M. Glapell; I. P. Bass
January 6 S. C. Kurt; E. W. Morris; D. K. Kipue; W. W. Stickly; Sallie W. Pierce; William C. Perrow; R. K. Buckner; Charles Hendron; I. I. Hicklin; R. H. Buckner; D. H. Hape; January 7 John Woodson; Walter Perkus; W. W. Isbell; Sam S. Nowlin; John P. Hughes; M. D.

Harry, John M. Spud; M. L. Harry; W. W. Isbell; Jane S. Nowlin; S. Chalmer; Sam Pryor; A. G. Hognock; John Smiller; J. M. Robinson; George I. Cock; C. W. Gilf; January 10 D. D. Poindexter; Asa Gill; I. W. Pettygrew; David Poindexter; January 12 I. M. Watts; John Goode; E. W. Howley; James M. Watts; January 14 John Washington; Joshua P. Oglesby; I. L. Schoolful; I. I. Bayner; B. S. Hulter; S. Rutherford; R. Mitchell; H. V. Thompson; R. R. Owen; W. K. Trent; I. I. Saunders; R. R. Owen; A. Dearing; January 16 John L. Muffitt; C. L. Mosbey; Lucis A. Boatwright; I. D. Davis; I. R. Tusley; John Davis; William Leftwich; W. A. Gillian; L. W. Wingfield; W. I. Adams; January 17 P. C. Cabell; I. S. Crockett; C. H. Harris; January 21 R. H. Rucker; D. D. Jellis; Allison Ogden; E. M. Clayton; A. Leftwich; I. W. Callihan; January 23 I. C. Slaughter; W. W. Leftwich; Wesley Hugh; R. C. Gary; Wesley Wright; William Trent; John Lowy; I. A. Stiples; Henry A. Allen; I. A. Furguson; January 26 H. D. Flood; John Buford; Thomas Cooke; January 31 Robert C. James; Greg D. Davis; George D. Davis; R. C. James; February 2 A. C. White; I. K. Knight; John H. Knight; L. M. Oglesby; James A. Watkins; February 5 John P. Sale; W. H. Petts; A. McSmith; February 11 P. W. Burnes; B. H. Peter; P. W. Noell; John W. Burnett; George Abbott; February 19 Francis Deaton; March 2 D. W. Wingfield; E. A. Gibbs; March 9 H. I. McGunnis; R. D. Moore; March 14 I. E. Taliaferro; H. Dunington; March 18 W. A. Hardy; Samuel Miller; March 25 I. H. Adams; H. H. Wallace; John M. Wingfield; March 28 John Smelner; Mrs. M. A. Daniel; W. H. Kinkle; April 1 P. C. Cabell; I. P. Hughes; I. S. Baf; I. N. Goran; Charwell Dabney; Thomas W. Jenny; Martha Chisdle; I. H. Knyght; W. H. Hughes; Samuel Pryor; Bettie W. Nelson; Mary H. Fugu; W. H. Caruther; William Tucker; W. W. Leftwich; I. W. Wingfield; W. D. Tucker; April 3 Thomas D. Walthall; Henry Mapie; H. D. Flood; Seth Halsey; William Daniel; P. H. Ryan; R. B. Tunstaff (Talton); A. M. Glapue (Walker); W. H. Grey (William); April 9 W. W. Crisor; R. Gary; R. D. Dalton; Susan M. Thifherd; Martha Tuggle; John Goode; W. H. Hughes; April 13 R. C. Sutton; I. B. Dabney; A. M. D. Smith; F. G. Morrison; I. R. McDaniel; John McDaniel; Samuel Miller; April 16 Sarah McFadden; William Leftwich; H. A. Legrand; James Saunders; R. H. Ward; S. M. Lynch; James Dearing; C. H. Lynch; April 18 R. H. Hard; S. M. Lynch; James Dearing; D. Shalton; H. C. Hill; P. H. Noell; C. P. North; H. C. Hill; April 22 I. P. Popling; John M. Wallace; Sam. Nowlin; E. S. Hutter; A. Harrison (James); April 25 L. P. Poindexter; John L. Poindexter; R. A. Coghill; P. H. Christian; Tim Minnis; A. Cohn; Mrs. E. W. Withers; Lucas A. Boatwright; M. Langhorne; M. M. Williams; May 1 Thomas H. Flood; I. C. Taylor; James W. Stuart; Robert Mitchell; Seth Woodruff; I. R. McDaniel; May 7 I. M. Ogden; Mrs. M. Hurt; R. W. Crenshaw; May 19 Hector Harris; W. J. Walthall; H. H. Arthur; Stephen A. Fare; July 1 Susan A. Campbilt; I. S. Bap; Mrs. E. Withers; Mrs. M. A. Daniel; W. W. Kinkle; John Kilmer; C. Dabney; I. N. Gordon; D. H. Miller; Hugh Nelson; G. B. Wallace; July 9 I. M. Odgen; P. H. Christian; Thomas K. Floyd; Charles Carter; D. A. Langhorne; July 11 A. McSmith; C. Hundon; Paul Cabell; Samuel Nowlin; Jim Minis; G. H. Watson; Seth Heasley; I. S. Langhorne; July 14 A. A. Legrand; A. C. Hearson; Henry Mapin; A. C. Harrison; M. M. Fellias; A. H. Yancy; John I. Hinn; I. B. Doplin; July 17 John P. Hughes; July 18 John McAllister; William Daniel; P. H. Ryan; Marshall Harrison; John Goode; I. B. Dance; Lucas A. Boatwright; July 25 I. M. Wallace; C. P. North; I. H. Stone; Martha Tuggle; S. Tuntoll; July 31 W. Hobson; August 3 Michael Wallace; August 10 P. E. Bab; John Harrington; I. O. Washington; I. W. Sale; August 19 David I. Mann; Sallie Wright; Robert Mitchell; August 26 Ellen Thompson; John B. Dabney; R. B. Tuntall (Jim); I. F. Smitman; Sarah Smitman; September 1 William Owen; John Mitchell; George Ground; G. W. Ground; September 8 I. Pettelf; I. Maupin; David Wyant; T. E. Loury; Charles Lunford; September 14 William Leftwich; I. W. Callahan; September 30 A. K. Yancy; George W. Dillard; John Minor; October 1 F. G. Morrison; W. H. Kinkle; Mrs. M. A. Daniel; Charles Scott; Samuel Pryor;

Samuel Nowlin; I. M. McAllister; Seth Halsey; R. P. Patterson; I. N. Gordon; October 9 A. McSmith; D. E. Lowry; Martha Tuggle; Hugh Nelson; A. L. Stiff; C. Dabney; Paul C. Cabell; I. S. Bap. W. W. Leftwich; A. Cohn; D. A. Langhorne; I. W. Stuart; Mrs. Mary Hurt; R. W. Crenshaw; S. C. Hurt; October 21 John B. Dabney; John P. Hughes; William Tucker; Judith B. Cardwell; William Owen; Henry D. Flood; P. O. Thompkins; W. C. Perrow; W. H. Hughes; Mrs. Mary w. Fuqua; Billies W. Wilson; R. M. Cock; I. W. Wingfield; John Goode; F. B. Dean (Matt); C. P. North; Daniel Shalton; W. W. Crevor; I. R. McDaniel; October 22 Nancy Legrand; James Harris; A. Wade; October 27 James M. Odgen; I. W. Sale; P. W. North; S. W. Isbell; George W. Watson; I. Berry; November 6 W. B. Byars; D. B. Dopkins; R. H. Bucknor; R. H. Coghill; W. Leftwich; November 11 W. L. Wyantt (Waller); R. M. Coke (Micayah); M. Allen (William); D. E. Caldwell (Steve); C. M. Garnett (Dick); November 16 W. H. Kinkle (Nelson); Rich Dennis (Clem); November 23 Paul Hulb; John Smelson; November 25 M. M. Williams; Charles H. McCurdy; I. W. McCurdy; John W. McCurdy; J. E. Caldwell; Stephen H. Hove; Mrs. A. E. Dangerfield (John, Tom, Dick); John Smiler (Morris); Mrs. Mary Hush (Newton); I. S. Langhorne (Ralph); December 5 Henry Map; I. M. Wallace; James W. Callahan; December 9 I. M. Gayle; Stokes Tuntal; I. I. Saunders; A. Wayland; I. Woodson; December 17 Charles Carter (Barney); William Leftwich (Plinnant); Samuel Hobson (Edum); William Hoben (Jeff, Wyatt); Tucker Woodson (Randall); S. R. Tuggle (Berry); Mrs. A. E. Dangerfield; I. S. Langhorne (Ralph); S. A. Fore (Isaac); I. Maupin; Charles Henderson (William); Mrs. L. Allen (Peter); D. D. Mann (William); A. C. Harrison (Farley); I. W. Isbell (Wiatt); Wesley Wright (John); R. C. Gary (Richard); Sarah Wade (Geanville); D. D. Fricklin (Charles); D. James (William); December 25 James Stewart; R. Dalton; R. C. Gary; L. Oglesby; R. C. Gary; John B. Dabney (William); I. E. Caldwell; H. Gunst (John); E. W. Withers (George); H. D. Flood (Dereck); R. R. Tuntall (Darliton); S. B. Poindexter (Andrew); P. C. Cabell (Royal); I. I. Saunders (Rubin); W. H. Cuark (Emanuel); Dr. W. Owen; A. Hill Brown; Susan A. Campbell; Depres Shiffey; Rob Mitchell (Polk); H. D. Lockett (Bill); Laurind Henderson (Moes); I. L. Brown (George); W. W. Leftwich; H. I. Minor (Phil); R. M. Cox (Macagah); Sam Miller; William Tucker (Creed); James Harris (Ken); S. C. He (Ian); R. B. Tuntall (John); John H. Knight (Mat); E. M. Clayton (Henry); F. A. and G. B. Austin (Gilbert); William Kent (Randal); F. G. Morrison (Ned); R. A. Coghill (John); G. B. Wallace (Willis); D. H. Hoge (Jim, Bob); D. H. Hoge (Ian, Finney); John I. Winn (Ben); G. B. Wallace (Iac, Henry); John B. Dabney (Ned); John H. Smith (Jim); E. M. Clayton (Nelson); I. I. Fricklin (Sites); Seth Healey; Mrs. Sarah Wright (Green); Sam Nowlin (Peter); H. C. Minor (William); W. C. Perrow (John); M. M. Williams (Geo); Seth Halney (Henry); I. M. Gayle; December 29 R. S. Booton; H. L. Stiff; I. F. Smitman (Henry); Mrs. Mary W. Furgua (William); A. M. Clapell (Cyrus); G. B. Wallace (Ben); Miles C. Leftwich; R. H. Rucker; Robert Mitchell; E. B. Wallace; I. W. Berry; Susan A. Hobson; Thomas Cox (pp. 490)

No names of owners or slaves: January 31, 1861.

Journal, 1860 – 1864

1860 – November 9 C. E. Tuques; Nancy Edger; J. C. Slaughter; F. J. Ballard; November 13 John Stone; L. J. Gordon; W. Waller; W. W. Hanson; November 16 J. W. Sandris; H. H. Wallace; November 22 R. O. Doh; A. C. Hanson; J. H. Davidson; November 27 C. H. Leftwich; Charles Aunspaugh; November 29 S. Crockett; James Hammer; December 3 J. C. Shearer; December 5 R. W. Conner; December 8 H. V. Thompson; December 12 Susan Spiller; December 13 William Daniel; December 18 John Davis (Daniel); W. Leftwich (Micajah, Hanibal); William F. Lucads (Henry); James Metcalf (Carter); M. E. B. Wallace

(Emanuel); Elizabeth R. Holloway (Wellis); E. D. Feazer (Mat); A. E. Christian (Spencer); Robert Tinsley (Dick); James Franklin (John); William Preston (Jerry); Rich Taliaferra (Miles, Charles); Marshal Harris (Jim); Henry D. Flood (Anderson, Washington); Margaret Gaddir (John); John J. Moorman (Jacob); James Campbell (Albert, Westley, Edward, Isaac, Stephen); W. C. M. Ghee (Henry); Dr. J. S. Tendleton (William); Charles A. Floyd (Jordan); Nancy Edgar (Davy); C. E. Webb (Daniel); Robert Gibany; Sally M. Lynch; James C. Slaughter (Mason); Ann E. Dangerfield (Jam, Bob, Dick); George P. Luck (Henry); R. W. Conner (Wyatt); John Goode (Buck, Aaron, Martin, Booker, Zack); W. A. Hardy (Henry); Joseph Wilson (William, Briston, Philip, Frederick, Sam); Sam Miller (Jepee); J. J. Blanton; John Deckerson; December 21 I. H. Wilson (William); W. A. Gilliam; R. A. Coghill (Moses, Alexander); T. T. Saunders (Robert); I. W. Wilson (Sam, Frederick); Seth Haley (Henry, Bob); Washington Hunter (Tom); John Dickerson (Smith); William Leftwich (Jim, William, Hanibal, Jac); J. J. Saunders; James Saunders (Tom); John R. Daniel (Henry); Thomas Trunt (Stephen); Robert Geboning (Hays); December 22 William Hunt (Randal); Thomas Buah (Ben); H. H. Wallace (Pampey); F. G. Morreson (Ned); W. B. Preston (Bob); I. S. Pendleton (Moses); M. R. Hurt (Peter, Tom); John Kay (Tharnton); December 25 G. A. Saunders (Ben, Stephen); W. Waller (George); Mrs. A. M. Saunders (Frank); G. B. Wallace (William, Richard); December 27 J. M. Odgen; J. L. Walker; William Gibboney (Jac); R. A. Hurst (Tom); Kirkwood Otey (Sawney); E. S. Hutter (Bob); N. L. McGinnis (Balis, Sandy, Chat); December 29 T. E. Reynolds; J. D. Pierce; Marc Murrell

No names of owners or slaves: December 3; December 18; December 21; December 22

1861 – January 1 R. C. Gary (John, Dick); R. C. L. Moncuro (Henry, James); John Deckerson (Henry); C. E. Webb (Daniel); W. Waller (Charles); T. Tunt (Stephen); T. Moseley (Archy); H. F. Bocock (Nixon, Jac); R. O. Doj (Bob, Randal, Tom); Col. James A. Hammer (Momot); Daniel Stratton (Patrick); Mrs. E. D. Frazier (Madison); C. P. North (Henry); H. D. Flood; I. B. Cruso (Charles); James N. Gordon (John, Jim); . . A. Bagbio (Ben); W. A. Leftwich (Sam); D. F. Patterson (Jepes); G. B. Wallace (Henry); Paul Hull (Sam, Jim); I. I. Blanton (Mitchell, Cooper); Robb Tensly (Coleman, Nat, Peter); R. A. Lee; R. Perkins; W. Hunters; J. M. White; J. Metcalf; C. A. Floyd; J. S. Pendleton; January 2 L. A. Boggie; C. E. Webb; Thomas Trent; James A. Hammer; I. L. Stiff; I. D. Watthall; I. H. Burns; I. A. Gordon; Clifton Webb; Nancy Conner; James Metcalf; I. S. Pendleton; Thomas Tunt; C. A. Floyd; C. E. Webb; F. S. Thomas; J. M. Cobb; January 3 John N. Jane; J. J. Cocke; A. Nude; S. M. Shepherd; Susan Spiller; W. W. Hanson; Dr. John Minor; Rich Dearing; Seth Halsey; Charles W. Christian; J. M. Cobbs; I. M. Patterson; I. M. Nelson; I. W. Jones; D. Couch; I. T. Hughes; William Tucker; Thomas Mosley; M. L. Harris; John Stone; L. F. Gordon; M. L. Harris; January 5 E. G. Hill; A. B. White; I. B. Layne; I. I. Switman; I. W. Jones; James Franklin; I. I. Blanton; I. L. Steptoe; Withers Wallace; John Goode; R. C. Gary; Thomas Wallace; W. E. Patterson; Robert Tinsley; January 7 W. D. Tucker; D. A. Langhorne; W. O. Owen; C. F. Harris; A. E. Dangerfield; A. A. Hudson; John Dickson; H. V. Thompson; John Guy; Paul C. Cabell; R. I. Burney; F. L. Ballard; P. H. Gilmer; A. M. D. Smith; Dr. Charles Wright; Maria Wright; January 8 F. G. Morrison; Joseph Crevos; I. I. Saunders; P. Noell; Geo P. Luck; January 9 Paul Hill; I. W. Barnett; William Daniel; C. Dabney; Martha Puggle; E. M. Clayton; Paul Hull; January 10 C. S. Mosby; W. A. Gillian; John S. Cauldwill; Kirkwood W. Otey; Hector Harris; January 11 J. C. Shearus; January 14 E. D. Frazer; D. W. Price; I. F. Gordon; January 15 L. F. Johnson; Elijah Heally; Nancy Edgar; John Hancock; January 16 C. M. Lynch; R. M. Tuliaferro; January 18 D. Stratton; G. P. Locke; I. R. McDaniel; January 19; A. C. Harrison; January 22 I. H. Stone;

January 24 W. B. Preston; January 25 W. W. Stickley; I. Monchard; I. C. Slaughter; January 28 J. H. Buford; Sam Newton; H. F. Bocock; January 30 E. Wooduff; February 1 P. Smith; February 4 S. L. Dearing; Sally M. Lynch; February 6 M. N. Buchanan; G. B. Wallace; R. L. Woodson; John Bodkin; I. I. Kegley; A. Thompkins; Johnson Fitzhugh; H. H. Wallace; E. M. Garock; E. B. Halloway; William Gibboney; February 11 Alex Wade; J. J. Moorman; February 14 H. Cunningham; R. W. Conner; February 19 M. Gaddie; February 20 J. H. Smith; February 22 W. F. Luckady; February 26 A. Pettyjohn; Robert Coghill (Henry); J. B. Wallace (Pat); March 1 I. H. Davidson; William Kent; March 13 W. A. Hardy; G. A. Saunders; March 29 William Tucker; W. W. Roberts; April 1 A. C. White; April 2 T. D. Watthall; F. B. Dear; Wyndham Roberts; M. L. Hardy; I. W. Callahan; I. I. Burke; C. O. Willis; April 4 Mary R. Willy; James B. Taylor; James P. Scott; April 6 A. A. Hudson; D. G. Hedgman; I. W. Utz; April 8 I. W. Wilson; William Owen; April 13 A. B. White; I. Merchant; S. D. Rice; April 17 W. C. Perrow; April 24 Catherine Gatewood; May 2 Elsey Burke; John T. Davis; T. D. Watthall; July 2 M. L. Harry; Samuel Garland; Emma Crenshaw; July 5 William Daniel; July 8 Jane Ficklin; F. B. Dean; July 12 Lucy Derkins; July 20 G. W. Grounds; W. C. Perno; July 25 W. A. Payne; August 1 P. F. Camden; August 13 P. B. Tunstell; P. H. Gilmore; September 2 Rich Dearing; September 20 R. D. Moore; October 1 A. G. Cox; October 3 C. Gatewood; October 17 P. D. Cofer; November 11 David Pointdexter (Gabriel); I. I. Saunders (Henry); John W. Barnett (Doc); James C. Slaughter (Mason); November 22 Samuel D. Rico (Booker); H. W. Hill (Randolph); John Guy (George); December 9 G. B. Wallace (Alex); Charles Henderson (Jerry); C. A. Floyd (James); Seth Halsey (Henry, Winston, Rilly, Bill); C. A. Floyd (Jim, Joshua); William Leftwich (Cagy, Jac, David, Bob, John, Isaac, Edmond, Stephen, Charles); James A. Buchanan (James); December 10 A. M. Pennings (James); Thomas N. Langhorne (Lewis); December 14 John Coats (Abram); December 16 Mrs. Jane Pecklin (Henry); Sally M. Lynch (Daniel); John S. Bah (Jordan, Steve); John Minor (John, Thornton); J. K. Jones (Riland); Charles Henderson (Caster); R. A. Coghill (John, Bill); December 17 N. W. Floyd (Dick); I. F. Camden (Caliborne); H. D. Flood (Ed, Peter, Dick, Wesley, Lewis); Paul C. Cabell (Tom); Archy Wade (Peter); I. H. Miller (Dan); W. Tucker (Frederick); James L. Campbell (Albert, Wesley); E. B. Wallace (Emanuel); R. Charles Wingfield (Clifton); W. H. Trunt (Stephen); Catherine Gatewood (Nennor); I. I. Burks (Henry); Richard Dearing (Fountam); D. C. Dunn (John, Adam); Michael Wallace (Ewing, Henderson); December 21 Seth Halsey (Vince); R. W. Withers (Flemming); John Dickerson (Calvin, Bob, Smith); R. B. Tunstall (John); T. Smiler (Morris); James Stewart (Claiborne); December 26 John H. Smith (James); Wyndham Robinson (Gilbert); John B. McDaniel (Harry); J. S. Caldwell (Henry); Samuel Miller (King, Rice); N. I. McGinnis (Dan, Penn); I. B. Layne (Martin); December 30 J. C. Walker (Bondurach); J. J. Flicklin (Henry); H. D. Flood (Brunella); A. Boutwell (Warner); J. D. Pierce (Joe); W. C. Perrow (Luke); A. C. White (William); W. W. Roberts (William); Beny Williams (Jacob); M. O. Buchanan (Jack, Wren); R. Tinsly (Abner, Peter, Nat); December 31 H. W. Hill (Randolph); James Franklin (John); John Guy (William, George); I. H. Stone (George)

No names of owners or slaves: January 1; January 2; January 3; January 5; January 7; January 9; January 10; January 11; January 15; January 18; January 19; January 25; January 28; January 30; February 4; February 6; February 11; February 14; February 20; February 22; February 26; March 5; March 13; March 29; April 1; April 2; April 4; April 6; April 8; April 13; April 22; April 24; April 30; May 1; May 6; May 8; May 13; May 16; May 20; May 24; May 29; June 1; June 4; June 22; June 29; July 1; July 2; July 3; July 5; July 8; July 10; July 12; July 17; July 18; July 20; July 27; July 31; August 1; August 5; August 8; August 15;

August 26; August 31; September 2; September 6; September 11; September 18; September 20; October 1; October 2; October 3; October 4; October 5; October 9; October 11; October 12; October 15; October 17; October 19; October 23; October 26; October 30; November 11; November 14; November 15; November 19; November 22; November 26; December 9; December 10; December 16; December 17; December 21; December 25; December 26; December 30; December 31

1862 – January 2 I. B. Layne; Ann E. Eubanks; January 3 C. F. Harry; A. M. Purning; J. A. Watkins; January 4 Paul C. Caleb; Alice Murrell; M. M. Williams; January 7 H. B. Bucker; Sam Garland; January 10 H. V. Thompson; January 14 Henry Dunnington; January 16 W. F. Yingling; January 18 John Smelson; Lucy Pirkins; W. M. McCoy; January 24 I. W. Basnett; January 28 William Owen; W. A. Payne; W. A. Cump; H. H. Lewis; January 30 R. W. Brown; February 1 H. G. Mglue; A. M. Glapell; April 7 M. Ruark; April 12 J. H. DeJarnett; April 16 J. B. Jopling; April 19 A. Cohn; June 2 A. A. Legrand; July 1 I. Yonce; July 3 S. O. Yewell; August 1 N. N. Floyd (Dick, Jack); August 21; S. Butterford; L. Poatoright; W. E. Eakin; November 10 H. H. Wallace (William); James M. Ogden (Baubin); W. H. Trent (Stephen); P. C. Cabett (Willis); Charles A. Floyd (Henry); John Woodson (Pauph); C. Dabney (Sullivan, Sam); R. A. Coghill (Charles); Paul Hull (James, Sam); Thomas Mosley (Archy); W. N. Isbell (Nash); R. P. Jenny (James); G. W. Clement (John); J. R. Tinsley (Cain); John Minor (Barney); Henry L. Tuggle (Philip); John H. Smith (Jim); H. D. Akee (Isaac); H. D. Flood (Brunella, Thompson); W. A. Gillian (Charles); F. O. Thompkins (Abraham); Mary D. Buchannan (James, Henry, William); George D. Davis (Ambrose, Booker, Steve); I. E. Bale (Joshua); J. S. Harris (Ned); Allen Ogden (Jodran); I. A. Fingerson (William); Tammy A. Stipler (Farley); Charles Henderson (Henry); Jim I. Finkle (Henry, Bob, Jack, Charles); Robert Peter (Elem); R. A. Rucker (Moses, Giles); W. A. Houff (Lewis); A. Cohn (Charles); John C. Washington (William); December 16 R. C. Sutton (Sam); December 20 I. L. Schoolguild (George); R. Mitchell (Polk)

No names of owners or slaves: January 2; January 3; January 4; January 7; January 8; January 10; January 14; January 15; January 16; January 18; January 20; January 24; January 28; January 30; January 31; February 1; February 4; February 8; February 11; February 13; February 17; February 19; February 22; February 28; March 14; March 17; March 18; March 25; March 28; March 31; April 1; April 3; April 7; April 9; April 11; April 12; April 16; April 19; April 21; April 24; April 28; April 29; May 1; May 5; May 8; May 10; May 12; May 13; May 14; May 16; May 19; May 21; June 2; June 16; June 27; July 1; July 3; July 8; July 14; July 16; July 19; July 28; July 31; August 1; August 9; August 12; August 15; August 21; August 27; August 30; September 1; September 6; September 14; September 19; September 30; October 1; October 3; October 7; October 13; October 17; October 21; October 24; October 29; October 31; November 1; November 4; November 8; November 10; November 11; November 13; November 15; November 17; November 22; November 27; December 1; December 6; December 16; November 20; December 23; December 25; December 26; December 29; December 31

1863 – January 2 C. P. Hort; March 14 Henry Dunnington; November 2 Mrs. E. H. Withers

No names of owners or slaves: January 1; January 2; January 6; January 9; January 13; January 16; January 19; January 23; January 30; February 16; February 20; February 24; February 28; March 4; March 11; March 20; March 31; April 3; April 10; April 15; April 20; May 6; May 9; May 23; June 6; June 13; June 20; July 1; July 7; July 13; July 17; July 24; July 31; August 5; August 11; August 17; August 25; September 1; September 11; September

14; September 19; September 30; October 9; October 24; October 27; November 6;
November 19; November 28; December 1

1864 – January 2 F. A. Deaton (Henry); Rich Dennis (Cole, Alex); Daniel Hage (Dennis); H.
D. Flood (Edmond); January 23 C. E. Gary (Richard); January 25 William Kent (Randal);
January 28 L. Stiff (Allen); March 18 Laura Anderson; March 28 J. W. Isabell

No names of owners or slaves: January 1; January 5; January 7; January 12; January 15;
January 19; January 23; January 28; January 29 January 31; February 9; February 17;
February 29; March 18; March 28; March 31

Journal, 1861-1864

July 1, 1861 – January 1862: W. Wingfield to Francis J. Morrison for negro hire.

No names of slaves or owners or slaves: March, July, May, September 1863; January 1864.

Journal, 1861-1864

1861 - July 1 John W. Wingfield; John P. Hurley; John Muse

No names of owners or slaves: August 31, September 3; September 26; October 12; October
28; November 1; December 31

1862- A. Pettyjohn; James C. Deyule; Mayo David; William B. Byrnes; David Graham; John
Wygall; Henry Clark; William P. Bilbo; T. B. Lane; James Broady; Hayman L. Lange; John
June; Isaac Harrison; Thomas W. Daist; John W. Holt; James W. Williams; E. H. Erons;
Joseph Corrim; Solomon Buck; Andrew J. Deyanlo; Joseph James; Joshua P. Davidson; H.
H. Chitton; October 1 Richard H. Larry; Joseph H. Bendolph; Smith J. Herwood; John B.
Davis; John H. Phelps

No names of owners or slaves: January 1; January 31; February 28; March 31; June 30; July
1; October 1

1863 – January 1 H. H. Stickley; W. W. Robberts; Charles Wingfield; October 16 Richard P.
Gillian; Robert A. Paid; Mason H. Jarench; John P. Steptoe; William F. Lowns; December 11
Benjamin P. Browning

No names of owners or slaves: January 1; March 31; April 30; May 30; June 30; October 16;
December 11

1864 – January 11 Charles A. Floyd; May 31 Robert O. Brayson; Carlisle Henderson;
Rhodes Hilton; Thomas D. Jellis; Milton M. Lowry;

No names of owners or slaves: June 30

Journal, 1862 – 1868

December 31, 1864: James L. Campbell (Wesley, Isaac, Stephen); M. L. Harris; James
Johnson.

Journal No. 8, July 2, 1864 – June 30, 1867

No names of slaves.

Transactions from Negro Hire Account:

1864 - July 2 M. C. James Jr.; John W. Wingfield; Francis B. Deane Jr.; Justin K. Moore; James M. Kelp; Williams and Sowers; Johnston and Cassell; Williamd J. Swanson; Richard W. Robinson; William T. Granny; Samuel T. Williams; August 11 Saloman Herman; James Mearring; Richard W. Robinson; August 11 Colin Baseport; Beukin B. Davis; James C. Saughten; August 23 John W. Wingfield; Buefor Kent; B. S. Tinkle to John S. Hickey; October 28 Cobbs Mellingrice; M. B. Somey.

1865 - January 31 Clayton S. Filler.

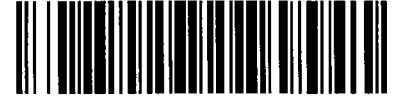
Ledger B, April 1864 – May 1868

No names of slaves. Combined entries for amounts paid to named owners and aggregate amounts paid.

April 6-8 George W. Clement; 9, 11, 12 James M. Williams; 13, 14, 18 Francis B. Winston; 19, 20, 21, 23 Martin Hollins; 25 J. McDearman; 26; May 2, 4, 5, J.B. Howlin; 6, 7, 10, 13 J.W. Pettygrew; 18 Edward Scott; 30 A.C. Harrison; June 4, 6 P.E. Caldwell; 9 J.B. McClung; 10 W.A. Hardy; 11, 27, 30; July 1, 2, 4-7 R. T. Saunders; 8 John R. McDaniel; 9, 11-16, 18, 22, 23 Ann M. Saunders; 25, 27-30; August 2-4 Jim Johnston; 5 Davis Poindexter; 6, 8, 10, 12, 15, 16, 18, 19, 22 T. Hardy; 27 William Perrow); 29; September 1 Thomas P. Mitchell; 8, 10, 20 James Campbell; 22, 23; October 1, 3-8, 11-13, 15, 17-19, 21, 22, 25, 28; November 1, 5, 9-11, 14 Ann E. Dangerfield; 18, 22 Nancy L. Jones; 24, 25, 29 A.G. Harrison; December 1-3 T. Dodamead; 7, 12-15, 19, 20, 26-28, 1864; January 2-7, 9-14, 16-21, 23, 25; February 6 J. D. Williamson; 11, 13, 17, 18, 20-24, 28; March 13 J.R. McDaniel; 20, 21, 23, 30, 1865; May 8, 1865 R. Pollard.



City of Chicago



O2013-4982

Office of the City Clerk

Document Tracking Sheet

Meeting Date:	6/26/2013
Sponsor(s):	O'Shea, Matthew J. (19)
Type:	Ordinance
Title:	Vacation of portion(s) S Millard Ave and W 100th St
Committee(s) Assignment:	Committee on Transportation and Public Way

NOT FOR PROFIT ORDINANCE

WHEREAS, the City of Chicago ("City") is a home rule unit of local government pursuant to Article VII, Section 6(a) of the 1970 Constitution of the State of Illinois, and, as such, may exercise any power and perform any function pertaining to its government and affairs; and

WHEREAS, the City wishes to support the charitable, educational and philanthropic activities of established Not for Profit Corporations and encourage the continued viability and growth of such activities; and

WHEREAS, many Not For Profit Corporations own property that adjoins streets and alleys that are no longer required for public use and might more productively be used in furtherance of such activities; and

WHEREAS, the City would benefit from the vacation of these streets and alleys by reducing City expenditures on maintenance, repair and replacement; by reducing fly-dumping, vandalism and other criminal activity; and by providing support for such charitable, educational and philanthropic activities; and

WHEREAS, the City can promote strong communities by facilitating services to the public, and increase the City's job base through the vacation of public street(s) and/or alley(s) for no compensation; and

WHEREAS, the properties adjacent to the rights of way to be vacated (and within the municipal city limits of the City of Chicago), are owned by Sisters of Mercy of the Americas West Midwest Community, Inc., a Missouri Not For Profit Corporation; and

WHEREAS, the Sisters of Mercy of the America's West Midwest Community Inc., a Missouri Not For Profit Corporation which is licensed to transact business in Illinois, uses the site as a business center and for limited nursing facilities for elderly religious; and

WHEREAS, the Sisters of Mercy of the America's West Midwest Community Inc., a Missouri Not For Profit Corporation, proposes to use the portion of the public streets to be vacated herein for a driveway and access in support of the construction of a proposed continuing-care retirement community for elderly religious staff members, to be constructed on the adjacent lots; and

WHEREAS, the City Council of the City of Chicago, after due investigation and consideration, has determined that the nature and extent of the public use and the public interest to be subserved is such as to warrant the vacation of parts of the public streets described in the following ordinance; now therefore,

SECTION 1. LEGAL DESCRIPTION

The East 33.00 feet of that part of the West 1/2 of the East 1/2 of the Northeast 1/4 of the Southwest 1/4 of Section 11, Township 37 North, Range 13 East of the 3rd Principal Meridian, lying south of the South line of the North 52.00 feet of the Southwest 1/4 of said Section 11 and lying north of a line 33.00 feet south of the South line of the Northeast 1/4 of the Northeast 1/4 of the Southwest 1/4 of said Section 11, as described in Dedication for Public Streets doc.#16279067 Recorded June 23, 1955, in Cook County, Illinois.

AND

The North 33.00 feet of the East 1/2 of the Southeast 1/4 of the Northeast 1/4 of the Southwest 1/4 of Section 11, Township 37 North, Range 13 East of the 3rd Principal Meridian, (except the East 52.00 feet thereof), as described in Dedication for Public Streets doc.#16279067 Recorded June 23, 1955, in Cook County, Illinois

SECTION 2. The Commissioner of Transportation is hereby authorized to accept and approve a redevelopment agreement or similar instrument restricting the use and improvement of the public way vacated in Section 1 of this ordinance to social service purposes which includes, but shall not be limited to: operation of a retirement community with 116 independent living units, 20 units of memory care, 41 units of assisted living and 35 units of skilled nursing care and for such use and improvements that are accessory, as that term is defined in the Chicago Zoning Ordinance, to such social service purposes, such uses and improvements to be owned and operated by a non-profit corporation, subject to the approval of the Corporation Counsel as to form and legality. The restriction on use and improvement in the covenant, agreement or instrument shall be for a term of 40 years and upon breach of such restriction the public way herein vacated shall revert to the City and be subject to the terms and conditions of the dedication by which it has been heretofore held by the City.

SECTION 3 The City of Chicago hereby reserves for the benefit of Commonwealth Edison its successors or assigns, a non-exclusive utility easement to operate, maintain, construct, replace and renew overhead wires, poles, and associated equipment and underground conduit, cables, and associated equipment for the transmission and distribution of electrical energy, telephonic and associated services under, over and along the streets herein vacated, with the right of ingress and egress.

The grade of the vacated public way shall not be altered in a manner so as to interfere with the operation and maintenance of Commonwealth Edison's facilities. No buildings, permanent structures or obstructions shall be placed over Commonwealth Edison's facilities without written release of easement by Commonwealth Edison. Any future vacation-beneficiary prompted relocation of Commonwealth Edison's facilities lying within the area being vacated will be accomplished by Commonwealth Edison and done at the expense of beneficiary of the vacation.

SECTION 4 The City of Chicago hereby reserves the streets as herein vacated, as a right of way for an existing Water Department main and appurtenances thereto, and for the installation of any additional water mains and appurtenances which in the future may located in the streets as herein vacated, and for the maintenance, renewal, and reconstruction of such facilities, with the right of ingress and egress at all times upon reasonable notice. It is also provided that no buildings or other structures shall be erected on the said right of way herein reserved or other use made of said area, which in the judgment of the municipal officials having control of the aforesaid service facilities would interfere with the use, maintenance, renewal, or reconstruction of said facilities, or the construction of additional municipally-owned service facilities. It is further provided that any vacation-beneficiary prompted adjustments to City water facilities in the area to be vacated; and the repair, renewal or replacement of any private materials, or private property damaged in the area to be vacated as a result of the City exercising its easement rights, shall be done at the beneficiary's expense.

SECTION 5. The vacation herein provided for is made upon the express condition that within 180 days after the passage of this ordinance, the Sisters of Mercy of the America's West Midwest Community Inc., a Missouri Not for Profit Corporation shall deposit in the City Treasury of the City of Chicago, a sum sufficient to defray the costs of removing paving and curb returns and constructing sidewalk and curb at the entrance to that part of the streets hereby vacated, similar to the adjacent and contiguous sidewalk and curb.

SECTION 6. The vacation herein provided for is made upon the express condition that within 180 days after the passage of this ordinance, the Sisters of Mercy of the America's West Midwest Community Inc., a Missouri Not For Profit Corporation, shall file or cause to be filed for record in the Office of the Recorder of Deeds of Cook County, Illinois, a certified copy of this ordinance, together with a redevelopment agreement complying with Section 2 of this ordinance and as approved by the Corporation Counsel, and the Plat of Vacation as approved by the Superintendent of Maps and Plats.

SECTION 7. This ordinance shall take effect and be in force from and after its passage. The vacation shall take effect and be in force from and after its recording.

Vacation Approved:

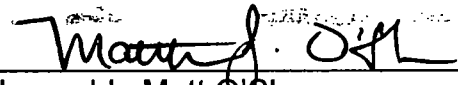


Gabe Klein
Commissioner of Transportation

Approved as to Form and Legality:



Richard Wendy
Deputy Corporation Counsel



Honorable Matt O'Shea
Alderman, 19th Ward

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Sisters of Mercy of the Americas West Midwest Community Inc.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant

OR

2. ☐ a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which the Disclosing Party holds an interest: _____

OR

3. ☐ a legal entity with a right of control (see Section II.B.1.) State the legal name of the entity in which the Disclosing Party holds a right of control: _____

B. Business address of the Disclosing Party: 7262 Mercy Rd.

Omaha, NE 68124

C. Telephone: 402-393-8225 Fax: 402-393-8145 Email: smegley@mercywnw.org

D. Name of contact person: Sister Sheila Megley

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Vacation application for South Millard Ave. and West 100th St.

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| ☐ Person | ☐ Limited liability company |
| ☐ Publicly registered business corporation | ☐ Limited liability partnership |
| ☐ Privately held business corporation | ☐ Joint venture |
| ☐ Sole proprietorship | ☒ Not-for-profit corporation |
| ☐ General partnership | (Is the not-for-profit corporation also a 501(c)(3))? |
| ☐ Limited partnership | ☐ Yes ☐ No |
| ☐ Trust | ☐ Other (please specify) |

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

Missouri

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

☒ Yes ☐ No ☐ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles of all executive officers and all directors of the entity.

NOTE: For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

If the entity is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture, list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party.

NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
Judith Frikker, RSM	President
Sheila Megley, RSM	Treasurer
Judy Cannon, RSM	Secretary
Michele Gorman, RSM	Director
Kathy Thornton, RSM	Director

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture,

interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
N/A		

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

☐ Yes

☒ No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

N/A

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
--	------------------	--	--

John J. George	120 N. Stetson, Suite 3700, Attorney		Est. \$5,000
	Chicago, IL 60601		

(Add sheets if necessary)

☐ Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the contract's term.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

☐ Yes ☒ No ☐ No person directly or indirectly owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. Pursuant to Municipal Code Chapter 1-23, Article I ("Article I")(which the Applicant should consult for defined terms (e.g., "doing business") and legal requirements), if the Disclosing Party submitting this EDS is the Applicant and is doing business with the City, then the Disclosing Party certifies as follows: (i) neither the Applicant nor any controlling person is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any sister agency; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. **NOTE:** If Article I applies to the Applicant, the permanent compliance timeframe in Article I supersedes some five-year compliance timeframes in certifications 2 and 3 below.

2. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in clause B.2.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

3. The certifications in subparts 3, 4 and 5 concern:

- the Disclosing Party;
- any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
- any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
- any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor nor any Agents have, during the five years before the date this EDS is signed, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the five years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

4. Neither the Disclosing Party, Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

5. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

6. The Disclosing Party understands and shall comply with the applicable requirements of Chapters 2-55 (Legislative Inspector General), 2-56 (Inspector General) and 2-156 (Governmental Ethics) of the Municipal Code.

7. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

N/A

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

8. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all current employees of the Disclosing Party who were, at any time during the 12-month period preceding the execution date of this EDS, an employee, or elected or appointed official, of the City of Chicago (if none, indicate with "N/A" or "none").

N/A

9. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$20 per recipient (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)

☐ is ☒ is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name

Business Address

Nature of Interest

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all information required by paragraph 2. Failure to

comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

 X 1. The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1 above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:

N/A

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII. For purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Add sheets if necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

☐ Yes

☐ No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

☐ Yes

☐ No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

☐ Yes

☐ No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

B. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N.

Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to Article I of Chapter 1-23 of the Municipal Code (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by Chapter 1-23 and Section 2-154-020 of the Municipal Code.

The Disclosing Party represents and warrants that:

F.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its Affiliated Entities delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

F.2 If the Disclosing Party is the Applicant, the Disclosing Party and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed by the U.S. E.P.A. on the federal Excluded Parties List System ("EPLS") maintained by the U. S. General Services Administration.

F.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in F.1. and F.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in F.1., F.2. or F.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS and Appendix A (if applicable) on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS and Appendix A (if applicable) are true, accurate and complete as of the date furnished to the City.

Sisters of Mercy of the Americas West Midwest Community Inc.

(Print or type name of Disclosing Party)

By: Sister Sheila E. Megley
(Sign here)

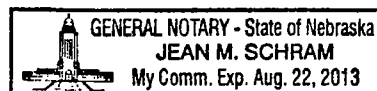
SISTER Sheila E. Megley
(Print or type name of person signing)

TREASURER
(Print or type title of person signing)

Signed and sworn to before me on (date) April 23, 2013,
at Douglas County, Nebraska (state).

Jean M. Schram Notary Public.

Commission expires: Aug. 22, 2013.



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX A**

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

This Appendix is to be completed only by (a) the Applicant, and (b) any legal entity which has a direct ownership interest in the Applicant exceeding 7.5 percent. It is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Under Municipal Code Section 2-154-015, the Disclosing Party must disclose whether such Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently has a "familial relationship" with any elected city official or department head. A "familial relationship" exists if, as of the date this EDS is signed, the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof is related to the mayor, any alderman, the city clerk, the city treasurer or any city department head as spouse or domestic partner or as any of the following, whether by blood or adoption: parent, child, brother or sister, aunt or uncle, niece or nephew, grandparent, grandchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, stepfather or stepmother, stepson or stepdaughter, stepbrother or stepsister or half-brother or half-sister.

"Applicable Party" means (1) all executive officers of the Disclosing Party listed in Section II.B.1.a., if the Disclosing Party is a corporation; all partners of the Disclosing Party, if the Disclosing Party is a general partnership; all general partners and limited partners of the Disclosing Party, if the Disclosing Party is a limited partnership; all managers, managing members and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

☐ Yes

☒ No

If yes, please identify below (1) the name and title of such person, (2) the name of the legal entity to which such person is connected; (3) the name and title of the elected city official or department head to whom such person has a familial relationship, and (4) the precise nature of such familial relationship.

N/A
