REQUEST FOR QUALIFICATIONS

NEIGHBORHOOD ENTREPRENEURS PROGRAM

(ROUNDS 3 & 4)

ISSUE DATE: May 1, 1997

Department of Housing Preservation and Development
and
New York City Housing Partnership

City of New York

Rudolph W. Giuliani, Mayor

Richard T. Roberts, Commissioner

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The Neighborhood Entrepreneurs Program

Request for Qualifications

This Request for Qualifications (RFQ) is issued by the New York City Department of Housing Preservation and Development (HPD) in conjunction with the not-for-profit New York City Housing Partnership (the Partnership), to select neighborhood based property owners and managers (Neighborhood Entrepreneurs) under the Neighborhood Entrepreneurs Program (NEP or the Program).

I. INTRODUCTION

The Department of Housing Preservation and Development currently manages 22,921 housing units in 2,326 occupied buildings in the five boroughs of New York City. These buildings are small, averaging ten units each. Eighty percent of these buildings are concentrated in the City's low income communities which have suffered disproportionately from abandonment by former property owners.

NEP is part of a broader initiative, "Building Blocks!", in which HPD targets and coordinates resources to stabilize and redevelop clusters of buildings on a block or within a several block area, in order to anchor communities which require significant public investment. Significant public and private funds will be invested in rehabilitating selected buildings for long term viability. Neighborhood Task Forces comprised of local real estate and business professionals, Community Board representatives, community residents, and not-for-profit organizations have been convened to work with HPD and the Partnership on the design and implementation of "Building Blocks!" as it relates to specific communities. Additional Neighborhood Task Forces will be convened in communities as necessary. The Partnership provides technical assistance to designated owner/managers and contracts with not-for-profit organizations to provide transitional support for tenants.

A. The Program

Applicants will be selected to participate as Neighborhood Entrepreneurs in the third and fourth rounds of NEP. The Program is designed to attract local business proprietors who have property management experience in communities with high concentrations of City-owned property (See Section II A). After designation, the Neighborhood Entrepreneur will assume responsibility for the management, maintenance and rehabilitation of the buildings for a transitional period of up to three years, pursuant to an agreement with the Partnership. During this transitional period, title to the property will be held by a not-for-profit Housing Development Fund Company established by the Partnership. The Neighborhood Entrepreneur will be allowed to purchase the property if performance requirements are met.

The Partnership will continue to contract with not-for-profit community organizations to provide tenant support and referral services during the transition period and will seek additional not-for-profit organizations as necessary. These services will include: building assessment and stabilization, community building, linking tenants to services and monitoring the Neighborhood Entrepreneurs' interaction with tenants and the planning for construction. Under a privately-funded Employment Program, the Partnership is also working with Neighborhood Entrepreneurs, home builders, contractors, not-for-profit organizations, and other employers to place eligible building and area residents into private sector jobs.

The oversight of the entrepreneur, technical assistance and training package is coordinated by the Partnership, which utilizes experienced private not-for-profit and for-profit property managers. The Partnership assists with access to financing and other support services tailored to the entrepreneurs' business development needs. Several community development banks may provide construction loans, with the permanent financing provided by HPD. Additionally, HPD maintains compliance review over the Program.

These projects are subject to the Rent Stabilization Code. Continued affordability of a portion of the units will result from income restrictions implicit in the funding sources, which may include any combination of City capital, Federal HOME funds and equity raised through the Low Income Housing Tax Credit Program.

B. Description of Sites

Sites being considered for the third and/or fourth rounds of the Program are located in the Bronx, Washington Heights, Harlem, Bedford Stuyvesant, Crown Heights, Bushwick and Oceanhill. Each Neighborhood Entrepreneur selected to participate in these rounds of the program will be awarded sites of approximately 50 to 150 units comprised of several buildings, both vacant and occupied, on the same block or neighboring blocks.

C. Pre-submission Conference

Submission of the application included in this RFQ package is due by 4:00 p.m. on Monday, August 4, 1997.

A pre-submission conference will be held on Wednesday, July 16, 1997 at 10:00 a.m. at the Department of Housing Preservation and Development at 100 Gold Street, Auditorium, New York, New York.

The remainder of this RFQ details the requirements of the Program and the submission requirements. Questions regarding the pick-up of this RFQ should be directed to the Housing Partnership staff at (212) 493-7431.

Prior to the pre-submission conference, any other questions may be submitted in writing to David A. Jackson, Director, Neighborhood Entrepreneurs Program, NYC Department of Housing Preservation and Development, 100 Gold Street, New York, N.Y. 10038 or faxed to (212) 386-7439. Questions will be answered at the pre-submission conference with interested parties present.

II. REQUEST FOR QUALIFICATIONS PROCESS

A. Submission of Applications

On or before the submission deadline, applicants must submit their qualifications in accordance with the instructions and attachments contained in Section V, pages 9 and 10.

Eligible applicants are experienced for-profit property managers doing business or residing in the following Community Board districts ("Target Neighborhoods"): Bronx Community Boards 1, 2, 3, 4, 5 and 9, Manhattan Community Boards 9, 10, 11 and 12, and Brooklyn Community Boards 2, 3, 4, 5, 8, and 16. **Applicants are encouraged to submit applications and establish their qualifications for consideration for current and future rounds.**

Submission of qualifications shall be deemed to be permission by the applicant for HPD and the Partnership to make inquiries concerning the applicant as deemed necessary.

B. Review and Selection

Applicants must meet the threshold requirements for the Program specified in Section IV, pages 7 and 8, in order to be considered. **FAILURE TO MEET THRESHOLD REQUIREMENTS OR TO PROVIDE THE COMPLETE INFORMATION REQUIRED WILL DISQUALIFY THE APPLICANT FROM CONSIDERATION FOR THE PROGRAM.**

All applicants who pass the threshold requirements will be rated according to competitive selection criteria also described in Section IV. Upon selection, sites and Neighborhood Entrepreneurs will be matched, and an official negotiation letter will be issued by HPD.

However, HPD and the Partnership reserve the right to disapprove the inclusion of any or all members of the applicant's team and to require selected applicants to substitute other individuals or firms.

C. Disposition

The properties selected for the Program will be transferred from the City to a not-for- profit Housing Development Fund Company (HDFC), established by the Partnership, that will hold title during rehabilitation and which will enter into a Site Development and Management Agreement (SDMA) with the Neighborhood Entrepreneur to manage, develop and assume other rights and obligations associated with management and rehabilitation of the property. The property will remain in the ownership of the HDFC until it is sold to the selected Neighborhood Entrepreneur or to an alternative Neighborhood Entrepreneur, or at HPD's option, it reverts to the City because of the Neighborhood Entrepreneur's failure to meet Program requirements during the transition period. HPD reserves the right to approve subsequent re-sales of the property by the Neighborhood Entrepreneur.

III. PROGRAM GUIDELINES

The following sections state the general requirements that apply to all sites.

A. Income Limits/Rents

Existing legal tenants will receive rental assistance to the extent that restructured rents, instituted during the transition period, exceed 30% of their income. To the greatest extent possible, cross subsidies created by renting vacant units at area market rates and funding of operating reserves through the syndication of Low Income Housing Tax Credits will be assembled to prevent displacement of existing legal tenants. Vacant apartments may be rented to families earning no more than 165% of the current HUD area median income standard adjusted for family size.

To the extent that Federal HOME funds and/or proceeds of Low Income Housing Tax Credits are used for rehabilitation or operating expenses, income limits and maximum rents will be subject to Federal requirements for at least 15 years.

B. Tenant Selection

Tenant selection must comply with Affirmative Fair Housing Marketing Procedures as required by HUD.

C. Obligations of the Neighborhood Entrepreneur

The management and development agreements will require the following, among other, obligations:

1. Management Services

- Neighborhood Entrepreneurs must be prepared to assume management and rehabilitation responsibilities beginning in early 1998, if selected for Round Three or early 1999, if selected for Round Four.

- In conjunction with the selected not-for-profit community organization, Neighborhood Entrepreneurs will be required to begin working with the tenants during the transition period, keeping tenants informed of rehabilitation plans and providing necessary services. Neighborhood Entrepreneurs must fully cooperate in all efforts to provide notices and information to tenants.

- Neighborhood Entrepreneurs will be required to work with a not-for-profit community organization in developing a temporary relocation plan prior to construction and in coordinating any relocation necessitated by the rehabilitation work.

- Neighborhood Entrepreneurs and their contractors will be expected to participate in an Employment Program for tenants.

2. Rehabilitation Services

- The Neighborhood Entrepreneurs will have overall development responsibility for the properties they manage. The Neighborhood Entrepreneur must enter into a contract with a general contractor selected from a short list of approximately six qualified contractors submitted by the Neighborhood Entrepreneur. HPD, the Partnership and a private lender will evaluate and approve the list. Neighborhood Entrepreneurs are required to work with the general contractor to plan, implement and complete the rehabilitation work in a professional and timely manner. Every effort should be made to utilize the skills and experience of the neighborhood's workforce.

- Neighborhood Entrepreneurs shall be responsible for developing a scope of work and completing timely plans and specifications in consultation with, and subject to the approval of, the Partnership, HPD and the private lender. Neighborhood Entrepreneurs shall monitor the quality of work and timeliness of performance of the general contractor.

- Neighborhood Entrepreneurs will be required to obtain all or a portion of the construction financing from a private lender which may require an equity contribution and personal guarantees.

- The management and development agreement will set forth total project costs, including operating costs during rehabilitation and the amount of subsidy available. Neighborhood Entrepreneurs must be prepared to guarantee rehabilitation costs that are within approved cost parameters consistent with industry standards.

3. Reporting Requirements

- Financial and status reports regarding building management, rehabilitation, tenant relations, marketing and lease-up will be required. Monitoring to ensure compliance with applicable Federal and City requirements is an integral aspect of this program. Applicants should therefore anticipate the need for appropriate allocation of staff time for this purpose. Required reports include but are not necessarily limited to the following:

  ⇒ Monthly Fiscal Report, listing: a.) Rent billings, collection, legal actions, occupancy and total income for each building; and b.) Expense and disbursements for each building, including bank statements and reconciliation reports.

  ⇒ Monthly Management Report for each building with information about tenant issues and resolution of complaints.

  ⇒ Reports required by federal funding sources.

  ⇒ Reports outlining tenant relocation and building rehabilitation plans

  ⇒ Annual audited financial statements.

In addition, Neighborhood Entrepreneurs will be expected to maintain necessary records and back-up documentation for all reports. All records and reports are subject to review and audit by the Partnership, HPD, HUD and the Comptroller of the City of New York.

D. Neighborhood Entrepreneur Fee

Neighborhood Entrepreneurs will be permitted to earn a development fee estimated at approximately 10% of the project costs. A portion of this fee may be drawn down according to a predetermined schedule; the remaining portion will be credited towards the purchase of the site. Neighborhood Entrepreneurs will also be entitled to receive an administrative cost allowance for management during the transition period. Development fees, management fees, general contractor fees and acquisition price will be negotiated as part of the project budget based on the needs and conditions of the assemblage of buildings selected for each Neighborhood Entrepreneur.

E. Financing

HPD and/or private lenders intend to make available the funds necessary to complete rehabilitation. HPD will also restructure rents and provide advances against the development budget to support building operations, before and during construction. The Partnership, acting as financial and technical assistance intermediary, will package public and private resources for the housing sites. It is anticipated that a combination of City Capital Budget funds, Federal HOME funds and proceeds from the sale of Low Income Housing Tax Credits will be available to take-out the construction loan.

Real property tax exemption with respect to these properties may be available under Section 11-243 (formerly Section J-51) of the Administrative Code of the City of New York or under Article 16 of the New York State General Municipal Law.

IV. SELECTION CRITERIA

A. Threshold Criteria

1. **Neighborhood-Based, Private, For Profit Business** (applies to the principal, or principals collectively, holding majority ownership and control of at least 51%):

   Primary business is located in one of the communities listed in Section II A. (Target Neighborhood); or
   Principal has lived in a Target Neighborhood for at least 3 years; or
   Business generated at least 75% of its gross revenues from Target Neighborhoods during the last 3 years.

2. **Residential Management Experience and Capacity**

Applicant must currently manage at least 50 residential units, or have managed an average of 50 units over the last 3 years; and

The applicant cannot own or have a substantial interest (greater than 10%) in ownership of more than 250 units of housing. (The units owned by each principal will be counted cumulatively to arrive at the total units owned by the applicant.)

Relevant experience may include multi-family housing owned and managed by the applicant, or managed for private owners, or under contract with or employment by government agencies or pursuant to Court appointment.

3. **In-Place Rehabilitation Experience or Capacity** (cumulative for all principals)

Applicant must have experience with rehabilitation or repair of occupied multi-family housing. Relevant experience may include the use of in-house rehabilitation crews and/or experience in sub-contracting for or overseeing the installation of major systems such as windows, boiler, electrical, plumbing or other rehabilitation work.

4. **Financial Resources** (cumulative total for all principals)

Applicant must meet one of the following criteria in full and not exceed the maximum limit for the other criterion by more than 50%:

i. Gross annual business revenue (most recent 3 year average) cannot exceed $1.5 million; and

ii. Combined personal and corporate net worth (exclusive of primary personal residence) cannot exceed $1.5 million; and

Ability to commit $50,000 cash or credit to the project. The Partnership will provide access to financial institutions, if necessary.

5. **Applicants will be disqualified for adverse findings with respect to:**

- City mortgage foreclosure proceedings or arrears;
- In Rem foreclosure or substantial tax arrears;
- a record of substantial building code violations or litigation against properties owned by the Respondent or by any entity or individual that comprises the Respondent;
- tenant harassment conviction or pending case;
- arson, fraud, bribery, or grand larceny conviction or pending case;
- previous record of default on work done under government contract;
- formal debarment or suspension from entering into contracts with any governmental agency or other notification of ineligibility for or prohibition against bidding or proposing on government contracts;
- denial of a contract despite being a low bidder or highest ranked proposing entity;
- record of default on any obligation to, or unsatisfied judgment or lien held by, a governmental agency;
- subject of any voluntary or involuntary bankruptcy proceeding; or
- a negative history with HPD.

B. **Competitive Criteria**

1. **Management Experience and Capacity**

Nature and extent of successful management experience, including the number and type of projects, the role played (i.e. owner, manager, employee of management company, etc.), strength of the management team, the quality of the work, and condition of buildings managed.

Track record and current capacity to provide effective tenant service in a timely and responsive manner, including handling tenant complaints. Staff should be able to communicate with tenants, supervise building employees and maintain the required records.

Extent to which the applicant demonstrates the ability to take responsibility for the management and rehabilitation services required in the Program. The Neighborhood Entrepreneur must demonstrate ability to begin management services in early 1998.

2. **Financial Ability and Capacity**

With access to financial institutions provided by the Partnership, ability to obtain private financing and ability to provide some working capital as evidenced by credit history and net worth. Capacity as determined by financial and other references, extent of successful experience as a loan borrower, if any, and company financial trends.

3. **Rehabilitation Experience**

Applicants will be evaluated on the extent of their experience with rehabilitation of occupied housing of the type proposed.

4. **Ability to Work with Government and Community Organizations**

Experience in working with not-for-profit community based housing and/or social service organizations, and demonstrated ability to work successfully with public agencies.

5. **Other Considerations**

In order to promote the overall Neighborhood Entrepreneur Program effort, additional weight will be given to applicants:

- Who have long term residential or business ties to Target Neighborhoods;
- Whose principals and/or workforce include residents of Target Neighborhoods;
- Who demonstrate a history of commitment to hiring local residents, and are willing to participate in an Employment Program for tenants and other area residents;
- Whose principals, if the applicant is a joint venture, have a prior history of working together.

V. SUBMISSION REQUIREMENTS

One fastened original and two (2) fastened copies of the applicant's qualifications, including all documentation requested, as described below, must be submitted by ALL APPLICANTS in response to this RFQ. Submission of an incomplete application may be grounds for disqualification of the applicant.

Copies may be fastened with either staples, prong paper fasteners, or organized in a three ring binder. Each copy of the qualifications must be clearly labeled with tabs as indicated below. The tabs should run down the right hand side of the submission. Also each copy must be clearly labeled with the name of the applicant on the cover.

PLEASE NOTE THAT EACH COPY OF THE APPLICANT'S QUALIFICATIONS MUST CONTAIN THE FOLLOWING FORMS AND SUPPORTING DOCUMENTATION AS STATED BELOW:

A. Contents of Submission

TAB A - Application Summary and Entrepreneur Questionnaire

A completed Application Summary and Entrepreneur Questionnaire; these forms are contained in Attachment A.

- If the applicant is a joint venture or a newly formed business partnership, provide a separate Entrepreneur Questionnaire for each entity that comprises the joint venture.
- For applicants that are newly formed business entities, the forms and documentation listed below should be completed or provided for the entity or entities providing the management and rehabilitation experience.

TAB B - Assets Statement

A current financial statement for the applicant and each principal, (i.e. within 12 months of the date of submission of this application) and the two most recent years. This statement may be provided on the form included in Attachment B, or in another format provided that all required information is included.

TAB C - Residential Management Experience

A completed Residential Management Experience form (contained in Attachment C) for each entity that comprises the applicant. If any principal listed in the Entrepreneur Questionnaire for that entity has other experience that the applicant wishes to be considered, a separate form should be completed for that individual. List all projects that have been managed by the applicant in the last three years.

TAB D - Residential Building Experience

A completed Residential Building Experience form (Attachment D) for each entity. List all projects that have been completed within the last 3 years or that are in construction, in pre-development or have otherwise been committed.

TAB E - Principal's Property Listing

A completed Property Listing Form (Attachment E) for the applicant and each principal of the development team, listing all properties owned within the last 3 years, either directly by the principal, or by an organization in which the principal was a corporate officer, general partner, or held more than a 10% interest.

TAB F - Credit Authorization Form

Completed and signed credit authorization form for each principal and applicant. The form is contained in Attachment F.

TAB G - Income and Expense Statements

The applicant's income and expense statements for the three most recent fiscal years.

TAB H - Tax Returns

Individual and corporate federal tax returns for the last three years for each principal (individual or corporation) of the applicant.

B. Submission Due Date

All submissions become the property of the Partnership and HPD. Submissions shall be delivered by hand no later than 4 p.m. on Thursday, August 4, 1997 to:

New York City Housing Partnership
24 Whitehall Street, a.k.a.
One Battery Park Plaza 4th Floor
New York, NY 10004-1479
(212) 493-7431

Each application requires a non-refundable fee of $25.00. This fee must be in the form of a certified check, cashier's check, or money order payable to the Housing Partnership Development Corporation.

Submissions will be promptly reviewed by the Partnership and HPD. Interviews, site visits and/or additional information may be requested.

VI. TERMS AND CONDITIONS

This RFQ is subject to the specific conditions, terms and limitations stated below:

A. The proposed project shall conform to, and be subject to, the provisions of the Zoning Resolution, and all other applicable laws, rules, regulations and ordinances of all Federal, State, and City authorities having jurisdiction, as the same may be amended from time to time.

B. The City and the Partnership are not obligated to pay nor shall in fact pay any costs or losses incurred by any applicant at any time including the cost of responding to the RFQ.

C. The City and the Partnership reserve the right to reject at any time any or all proposals and/or to withdraw this RFQ in whole or in part, to negotiate with one or more applicants, and/or dispose of the sites on terms other than those set forth herein. The Partnership and the City likewise reserve the right, at any time, to waive compliance with, or change any of the terms and conditions of this RFQ, to entertain modifications and additions to the selected proposals, selected Target Neighborhoods, or to withdraw Target Neighborhoods from this RFQ.

D. Designation of an applicant as Neighborhood Entrepreneur for this Program will not create any rights on the applicant's part, including without limitation, rights of enforcement , equity, or reimbursement, until after all required governmental approvals are received, and until the Site Development and Management Agreement, Land Disposition Agreement, Deed and any other project documents are fully approved and executed.

E. This RFQ and any agreement or other documents resulting therefrom are subject to all applicable laws, rules and regulations promulgated by any Federal, State or Municipal authority having jurisdiction over the subject matter thereof, as the same may be amended from time to time.

VII. CONFLICTS OF INTEREST

Employees of the City of New York may respond to this RFQ only in accordance with Chapter 68 of the New York City Charter governing ethics and conflicts of interest affecting City personnel. Section 2604(c)(7) of the City Charter contains specific prohibitions that exclude enumerated groups of employees from participating in the sales process.

Former employees of the City of New York are also advised that the City Charter imposes certain restrictions on employment and business relationships with the City. Such individuals should consult the specific provisions on this issue contained in the City Charter.

APPLICATION SUMMARY

NEIGHBORHOOD ENTREPRENEUR PROGRAM RFQ

ALL APPLICANTS SHALL COMPLETE THIS FORM AS WELL AS THE ENTREPRENEUR QUESTIONNAIRE THAT IS ATTACHED.

If the applicant is a joint venture, a separate Entrepreneur Questionnaire, shall be provided for each entity that comprises, the joint venture, as identified in Section 2 below. If the applicant is a newly formed joint venture or business, information on the entity with the management and rehabilitation experience must be provided.

If additional space is needed, please submit separate sheet(s), identifying the question(s) being answered on each sheet.

See Section V, pages 8 & 9, of the Request for Qualifications (RFQ) for detailed submission requirements.

1. NAME OF APPLICANT: _____

   ADDRESS: _____

   _____

   Name of CONTACT PERSON: _____
   (for the Applicant)
   Address: _____

   _____

   Telephone Number: _____

   Fax Number: _____

2. IS THE APPLICANT A JOINT VENTURE? YES [ ] NO [ ]
   If yes, list below the name, address, and phone number of each entity which comprises the applicant entity stated above, and the percentage of ownership interest in the joint venture.

Name of Entity	Address	% of Ownership

NEIGHBORHOOD ENTREPRENEUR QUESTIONNAIRE
NEIGHBORHOOD ENTREPRENEURS PROGRAM RFQ

NAME OF APPLICANT: _____

NAME OF ENTITY COMPLETING THIS QUESTIONNAIRE: _____
(If other than applicant, i.e. joint venture)

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1. **PRINCIPALS**

(a) Provide the following information about all principals of this entity. For corporations: provide the names of the officers and controlling shareholders (those owning 30% or more). For partnerships, provide the names of all general partners. Also state the role that each would play in the management/ownership of a Neighborhood Entrepreneur project using categories specified below. Provide resumes for all principals.

Name/ Position/Title	Home Address	Role*	SS#	% Owned

*Role Categories: AR = Architect, GP = General/Managing Partners; G = General Contractor, F = Provides Financing, I = Inactive; M = Manager; A = Accountant; H = Housing Consultant; L = Legal Services; 0 = Other (specify)

(b) Provide evidence of or principal's residence for last three years or provide evidence of primary business location, if either is in a Target Neighborhood. Please attach written documentation.

(c) Do you have any preference for a specific Target Neighborhood? If so, please state which Target Neighborhood.

2. **ORGANIZATIONAL CAPACITY**

(a) Provide firm resumes or any brochures describing your firm or projects which it manages.

(b) State number of years business has been in operation.

(c) State number and type of professional employees and describe their experience.

(d) Does your organization generally or most efficiently operate as a member of a management team that includes other entities? If yes, identify the other individuals and/or organizations and their respective roles.

(e) If the applicant is a joint venture or a newly formed business entity, has any member of the joint venture or principals of the new business entity jointly carried out another project? If so, state the name(s) and location(s) of each project. Indicate which members of the joint venture or principals of the new business participated in each project.

(f) Identify accountants, managers, contractors and/or other management and development professionals that you have worked with in the past and would work with if designated to develop a Neighborhood Entrepreneur Program site.

(g) Describe any experience or other factors that would demonstrate knowledge of New York City Building Code and/or Housing Maintenance Code and the rehabilitation process.

(h) Describe how your firm handles complaints by tenants of buildings. What is your firm's turn around time for responding to complaints? How do you monitor service provided?

(i) Is your firm a minority or female owned enterprise?* Yes [ ] No [ ]

Has your firm been certified by the N.Y.C. Department of Business Services. the Port Authority, or the N.Y.S. Economic Development Agency as a:

-Minority Based Enterprise (MBE)? Yes [ ] No [ ]

-Woman Based Enterprise (WBE)? Yes [ ] No [ ]

* (PROVISION OF THIS INFORMATION IS OPTIONAL AND WILL BE USED FOR INFORMATIONAL PURPOSES ONLY.)

3. ORGANIZATIONAL STRUCTURE

(a) Type of Organization: Sole proprietorship [ ] Partnership [ ]
Corporation [ ]

(b) For corporations or partnerships: provide the following information about all partners, officers, and shareholders:

Name Position/Title	Percentage of Ownership	Date of Ownership

(c) Describe voting privileges of each category of share, i.e., does each share have equal voting power?

(d) Do any principals and/or officers maintain a business relationship with or have an ownership interest in another company?
Yes [ ] No [ ]

If yes, provide the following information:

Name of Principal/Officer	Name, Address, Tel. # of Affiliated Company	Position with and % Interest with Company

(e) Is company owned in full or in part by another firm or investor(s)? Yes [ ] No [ ]
If yes, provide the following information:

Name of Firm/Investor	Address and Phone	% of Ownership

(f) Are any of your employees residents of Target Neighborhoods for which you have expressed interest? Yes [ ] No [ ]
If yes, state number and % of total number of employees.

(g) Describe your method of monitoring management costs. Do you employ an accountant? If so, please indicate name, address and phone number. Do you employ a bookkeeper?

4. FINANCIAL CAPACITY

(a) State gross business revenue and revenues derived from property management if different: (This information must be provided for the entity with the management and rehabilitation experience.)

	1993	1994	1995	1996
Property Mgmt Fees	$	$	$	
Construction Contracts	$	$	$	$
Other	$	$	$	$
Total	$	$	$	$
Gross Revenue From Target Neighborhood	$	$	$	$

(b) State the amount of a cash loan that your firm could commit for working capital needs. Identify the institution that can provide a reference and/or an indication of willingness to provide you with financing. Include the name and phone number of the contact person.

Amount Name of Lender Name and Phone No. of Contact Person

(c) Would you be prepared to provide risk capital for a project, prior to commitment of the rehabilitation loan?

(d) If required by the construction lender, would each principal be willing to personally guarantee the construction loan?

(e.) Is your company bonded? Yes [ ] No [ ]
If yes, state name of bonding company, amount of bond, type of bond, and contact person.

5. EXPERIENCE

(a) Complete the following forms for your firm. If any key member has had other experience that you consider relevant to your firm's qualifications, provide a separate form for each such individual:

-"Residential Management Experience"
-"Residential Building Experience"
-"Property Listing"

(b) Are you a licensed real estate broker?

(c) Describe any experience working with community based organizations, including social service organizations, and indicate your willingness to work with local groups including the Neighborhood Task Force in the Neighborhood Entrepreneur Program.

(d) Are you willing to participate in an Employment Program for eligible tenants?

(e) Describe any experience managing difficult sites (e.g. sites with special needs tenancies, buildings in poor physical condition or in high crime areas).

(f) Describe any experience relocating tenants to facilitate rehabilitation of occupied apartments. State number of tenants relocated; include checker-boarding within a building and relocation to other properties.

(g) Describe any experience relocating rehabilitating occupied buildings or installing systems in occupied apartments. Also indicate any experience rehabilitating properties in historic districts.

6. REFERENCES

A. Management and Marketing Experience: please provide the name, address and phone number of at least two business references who have detailed knowledge of your performance in managing property whom we may contact.

B. Building (Rehabilitation) Experience: please provide the name, address and phone number of three subcontractors and three suppliers with whom you have worked.

C. Financial Capacity: please provide the name, address and phone number of at least one financial institution that is familiar with your current financial status and past experience.

D. Community Organizations: please provide the name, address and phone number of at least one community organization with which you have worked.

7. TECHNICAL SUPPORT REQUIRED

The Partnership will assist Neighborhood Entrepreneurs with packaging public subsidies and private financing, and obtaining regulatory approvals. The Partnership is prepared to assemble an extensive technical assistance package for small locally-based owner/managers in an effort to provide the skills required to complete a project successfully. Assistance may be provided in areas including but not limited to: management, maintenance, business planning, marketing, accounting, including budgeting; field operations and equipment/suppliers; office systems; tax credit compliance; access to industry professionals and legal. Please provide a candid assessment of the areas in which you would require assistance.

8. OTHER:

Has any principal identified on page 1, or any organization in which the principal is or was a general partner, or corporate officer, or owned more than 10% of the shares of the corporation, been the subject of any of the following:

	YES	NO
A. Arson conviction, or pending case;		
B. Harassment complaint filed by the New York State Division of Rent Control or the New York State Division of Housing and Community Renewal;		
C. HPD's Housing Litigation Bureau pending or active case or negative history;		
D. Had an ownership or management interest in a property that was taken In Rem by the City or assigned by a Judge of Landlord and Tenant Court to a 7A Administrator or Receiver;		
E. City Mortgage foreclosure or currently more than 90 days in arrears on any City loan;		
F. Defaulted on any contract obligation or agreement of any kind or nature whatsoever entered into with the City of New York or of its agencies;		
G. In the last 5 years, failed to qualify as a responsible bidder, or refused to enter into a contract after an award has been made, privately or with any government agency?		
H. In the last 7 years, filed a bankruptcy petition or been the subject of involuntary bankruptcy proceedings?		
I. In the last 5 years, failed to file any required tax returns, or failed to pay any applicable Federal, State or New York City taxes or other charges?		
J. Been convicted of fraud, bribery, or grand larceny?		

If yes, please state the following information:

(1) Name of principals:_____

(2) Name of organization/corporation and if an officer, state title:

_____

(3) Date of action:_____

(4) Current status of action:_____

(5) Explanation of Circumstances:_____

_____

ALL APPLICANTS MUST SIGN:

Name of Applicant	**Signature**
Date	**Print or Type Name**

ASSETS STATEMENT

Assets Statement must be dated and signed on PAGE THREE
Assets Statement must describe financial status within the last twelve months

Financial Statement is submitted for (check one):

- ☐ INDIVIDUAL
- ☐ CORPORATION
- ☐ LIMITED PARTNERSHIP
- ☐ NOT-FOR-PROFIT
- ☐ OTHER (Specify): _____

SECTION 1 - PERSONAL INFORMATION	
Name:	
Business Name:	
Business Phone/Fax:	
Marital Status:	
Residence Address:	
City, State, Zip Code:	
Business Address:	
City, State, Zip Code:	
Position (Title):	
Years of Service:	Bonus/Commission:
Other Income:	Source:
Gross Life Insurance:	
Beneficiaries:	
Are you a defendant in any lawsuits or legal action? If so, describe below:	
Have you ever declared bankruptcy? If so, describe below:	
Do you have any contingent liabilities? If so, describe below	

SECTION 2 - STATEMENT OF FINANCIAL CONDITION AS OF:			19
ASSETS	DOLLARS (Omit Cents)	LIABILITIES	DOLLARS (Omit Cents)
Cash on Hand and in Banks		Notes Payable to Banks - Secured	
		Notes payable to Banks - Unsecured	
Notes Receivable		Notes Payable to Others - Secured	
Real Estate (See Schedule A)			
Mortgages Owned		Notes Payable to Others - Unsecured	
indicate primary residence			
(list separately and check		Debt Balances in Margin	
those pledged as collateral)		Accounts with Brokers	
Marketable Securities			
(list separately and check		Loans Against Life Insurances	
those pledged as collateral)		Mortgages on Real Estate	
		(See Schedule A)	
		Other Liabilities (Itemize)	
Cash-Value Life Insurance			
Other Assets *(Itemize)			
		Total Liabilities	
		Net Worth	
TOTAL ASSETS		TOTAL LIABILITIES + NET WORTH	

* ANY INTEREST IN A CLOSELY HELD BUSINESS MUST BE DOCUMENTED BY PROVIDING A CURRENT BALANCE SHEET FOR THAT BUSINESS AND STATING THE PERCENT INTEREST THAT THE APPLICANT HOLDS.

SCHEDULE A

No.	Address/Borough	*Title In Name Of	% of Ownership	Date Acquired	Market Value	Purchase Price	Original Mortgage Amt.	Present Mortgage Amt.	Maturity Date

*IF ANY TITLE TO REAL ESTATE IS IN ANY NAME OTHER THAN YOUR OWN, STATE EXTENT OF YOUR INTEREST, EXPLAINING ALL ACTIONS, CLAIMS OR DEBTS AGAINST NAME.

SCHEDULE B INCOME FROM PROPERTIES

Property No. (Refer to Schedule A)	1	2	3	4	5
Present Annual Gross Income Not Including Vacancies & Concessions					
Less Total Operating Expenses & Property Taxes					
Net Income					
Less Amortization & Interest Payments					
Net Profit					
Net Rental Value of Present Vacancies					
Annual Rental Value of Space on which lease expires during next six months					
Net Profit Last Year					
Amount & Classes of Insurance Carried					

List Other Encumbrances, Debits, Taxes, Mortgage Installments or Interest past due:

By whom are Present Mortgage(s) on Property held?

Any Mortgages endorsed or guaranteed? If so, by whom?

List (circumstances of) any Litigation or Judgment(s) pending in connection with the above listed Properties:

Date

Signature

Print or Type Name

Attachment C

NEIGHBORHOOD ENTREPRENEUR PROGRAM RFQ
RESIDENTIAL MANAGEMENT EXPERIENCE
(FOR LAST THREE YEARS)

NAME OF APPLICANT: _____ **NAME OF INDIVIDUAL/ORGANIZATION completing this form:** _____

please add "borough" as a column on this chart

PROJECT NAME, if any and ADDRESS(ES)	BORO	ZIP CODE	BLOCK/ LOT	PROJECT TYPE N/R/M (1)	PROJECT TYPE R/C/H/O (2)	NO. OF BLDGS	# OF DU'S	COMM* BD	INTEREST % OWNED	DATES MANAGED FROM - TO	PROPERTY OWNER (CONTACT & PHONE #)	GOVERNMENT PROGRAM (Program, Contact, & Phone #)

1) PROJECT TYPE
N = New Construction
R = Substantial Rehab
M = Moderate Rehab
S = SRO or Class B

(2) PROJECT TYPE
R = Rental
C = Co-op/Condo
H = 1-4 Family
O = Other (specify:)

(3) INTEREST
M = Manage
M/O = Manage/Own
7A

* Community Board or Planning District

Attachment D

NEIGHBORHOOD ENTREPRENEUR PROGRAM RFQ
RESIDENTIAL BUILDING EXPERIENCE
(New Construction or Rehabililation)

NAME OF APPLICANT: _____ **NAME OF INDIVIDUAL/ORGANIZATION completing this form:** _____

PROJECT NAME &/OR ADDRESS Bldg #, Street, City, State	ZIP CODE	COMM BD*	BLOCK/ LOT	ROLE (1)	PROJECT TYPE N/R/M (2)	PROJECT TYPE R/C/H/O (3)	NO OF DU'S	# OF BLDGS	TOTAL DEV. COST	GOV'T PROGRAM	STATUS O/V (4)	STATUS P/I/M/C (5)	WORK TYPE (6)	MO/YR COMPL.	PUBLIC/PRIVATE LENDER (Contact Name & Phone No.)

(1) ROLE: Indicate the role you played in the development of each property listed above. If completed as part of a joint venture, indicate such by adding JV to the respective role. e.g. D/JV

D = Developer
B = Builder
GC = General Contractor/Construction Manager
O = Other (Specify:)
PM = Property Manager
M = Marketing Agent
C = Contractor

(2) PROJECT TYPE
N = New Construction
R = Substantial Rehab
M = Moderate Rehab

(3) PROJECT TYPE
R = Rental
C = Co-op/Condo
H = 1-4 Family
O = Other (Specify:)

(4) STATUS
O = Units occupied during rehab
V = Units vacant during rehab

(5) STATUS
P = Pre-development
I = In-construction
M = In - Marketing (Lease up or sales)
C = Completed

(6) WORK TYPE
R = Roof
P = Plumbing
E = Electric
H = Heating
W = Windows

*** Community Board or Planning District**

Attachment E

NEIGHBORHOOD ENTREPRENEUR PROGRAM RFQ

PRINCIPAL'S PROPERTY LISTING

APPLICANT:_____ **PRINCIPAL:**_____ **DATE:**_____

A separate form shall be completed for each principal identified on page 1 of the Entrepreneur Questionnaire. List below all properties owned and/or managed within the last 5 years, either directly by the principal, or by an organization in which the principal was a general partner, corporate officer, or owned more than 10% of the shares of the corporation.

PROPERTY ADDRESS Bldg. #, Street, City, State	ZIP CODE	CPD*	BLOCK/ LOT(S)	# OF DU'S	OWNERSHIP DATES FROM	TO	TYPE OF OWNERSHIP **

* **Community Planning District**

** **State whether corporate officer, general partner, etc.**

Attachment F

CREDIT AUTHORIZATION FORM

I authorize The Department of Housing Preservation and Development and/or the New York City Housing Partnership to obtain a credit report on:

ORGANIZATION NAME: _____

_____

Complete Section A for the Applicant and sign where indicated below:

Section A

Applicant's Employer Identification Number: _____

Date of Incorporation: _____

Date of Partnership or Joint Venture Formation _____

_____

Complete Section B for Each Principal of the Applicant and sign where indicated below:

Section B

PRINCIPAL'S NAME*: _____

ADDRESS: _____

_____
Zip Code

Social Security Number: _____

Date of Birth: _____

*Please indicate if you are a Jr., Sr. or III.

If you have been married less than two years, or if you have been known by another name, please indicate former name:

_____

If at the above address less than two years, indicate prior address:

_____

_____

_____

Signature: _____

BOUNDARIES OF THE BRONX COMMUNITY DISTRICTS

DISTRICT 1

North . . . 145th Street Bridge, East 149th Street, Park Avenue, East 159th Street, Third Avenue, East 161st Street
East . . . . Prospect Avenue, East 149th Street, East River
South . . . East River
West . . . Harlem River

DISTRICT 2

North . . . East 169th Street, East 167th Street, Westchester Avenue
East . . . . Bronx River
South . . . East River (includes North Brother Island, Brother Island)
West . . . East 149th Street, Prospect Avenue

DISTRICT 3

North . . . Cross Bronx Expressway, Park Avenue, East 174th Street, Washington Avenue, Cross-Bronx Expressway, Arthur Avenue, Crotona Park North, East 175th Street, Southern Boulevard, Cross-Bronx Expressway
East . . . . Sheridan Expressway
South . . . Westchester Avenue, East 167th Street, East 169th Street, Prospect Avenue, East 161st Street, Third Avenue, East 159th Street
West . . . Park Avenue, Webster Avenue

DISTRICT 4

North . . . Washington Bridge, Cross-Bronx Expressway
East . . . . Webster Avenue, Park Avenue
South . . . East 149th Street, East 145th Street Bridge
West . . . Harlem River

DISTRICT 5

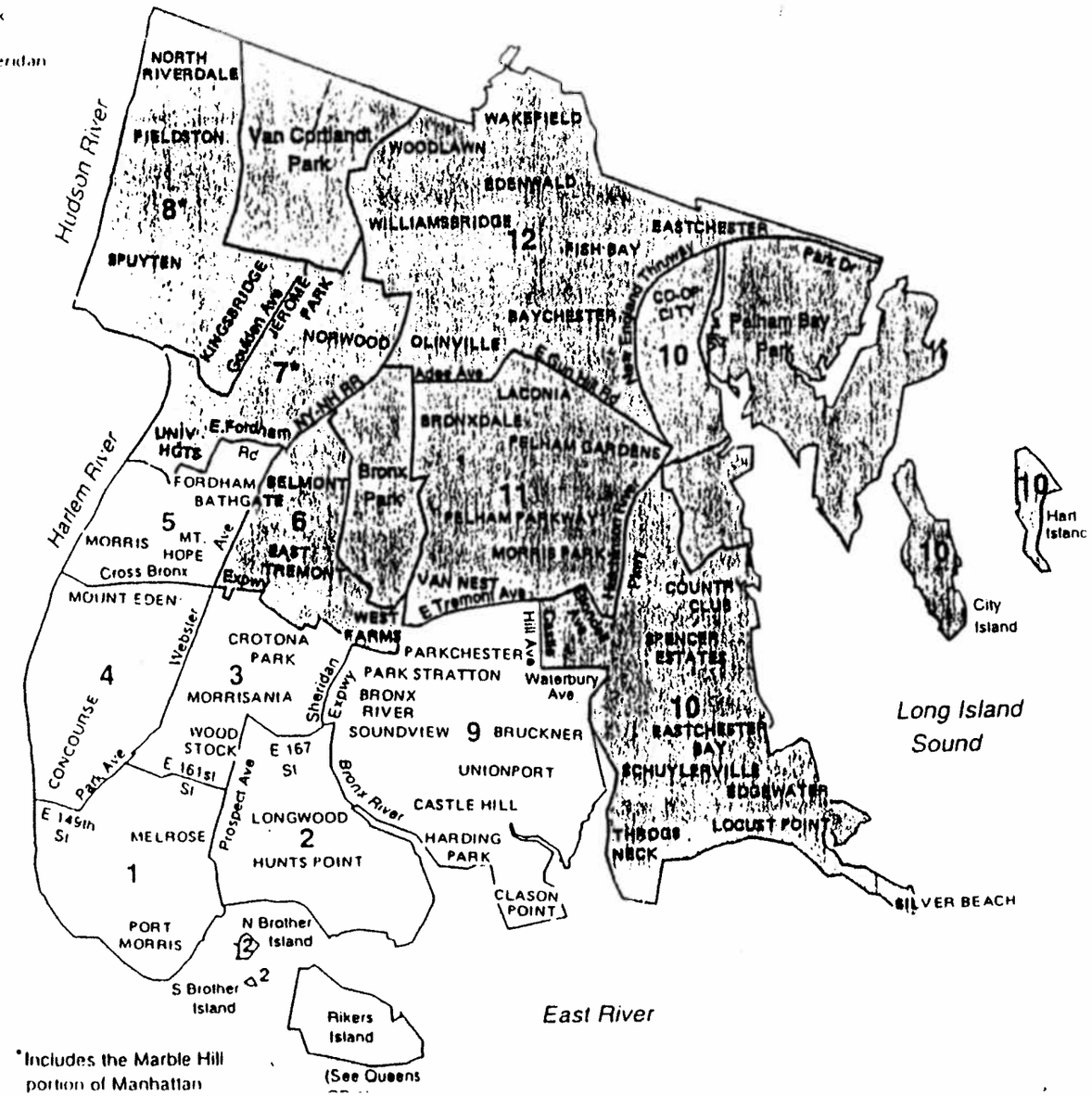
North . . . Western Prolongation to Harlem River of Hall of Fame Terrace, Hall of Fame Terrace, University Avenue, West 183rd Street, Jerome Avenue, East Fordham Road
East . . . . Webster Avenue
South . . . Cross-Bronx Expressway, Washington Bridge
West . . . Harlem River

DISTRICT 9

North . . . Cross-Bronx Expressway, Bronx River Parkway, East Tremont Avenue, Castle Hill Avenue, Westchester Avenue, Waterbury Avenue
East . . . . Northern Prolongation of Westchester Creek to Waterbury Avenue, Westchester Creek
South . . . East River
West . . . Bronx River, Westchester Avenue, Sheridan Expressway

Bronx

COMMUNITY DISTRICTS



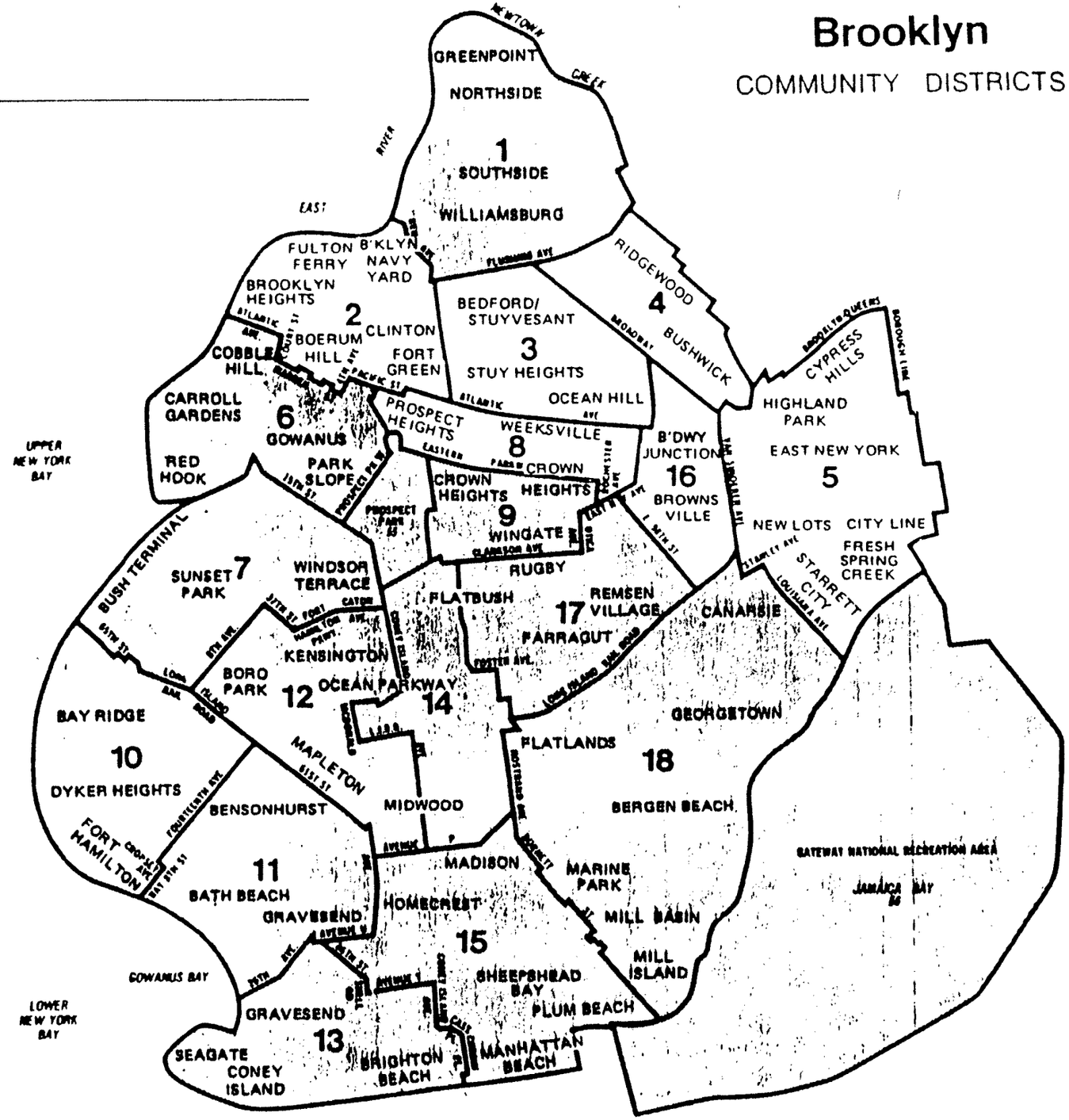
*Includes the Marble Hill portion of Manhattan

BOUNDARIES OF THE BROOKLYN COMMUNITY DISTRICTS

	DISTRICT 2
North	East River
East	Wallabout Channel, Division Avenue, Kent Avenue, Williamsburgh Street, Flushing Avenue, Classon Avenue
South	Atlantic Avenue, Vanderbilt Avenue, Pacific Street, 4th Avenue, Warren Street, 3rd Avenue, Wyckoff Street, Nevins Street, Warren Street, Bond Street, Wyckoff Street, Hoyt Street, Warren Street, Court Street, Atlantic Avenue
West	East River
	DISTRICT 3
North	Flushing Avenue, Broadway
East	Saratoga Avenue
South	Atlantic Avenue
West	Classon Avenue
	DISTRICT 4
North	Flushing Avenue
East	Brooklyn-Queens Borough Line
South	Vermont Avenue, Highland Boulevard, Bushwick Avenue, Conway Street
West	Broadway
	DISTRICT 5
North	Conway Street, Bushwick Avenue, Highland Boulevard, Vermont Avenue, Brooklyn-Queens Borough Line
East	Brooklyn-Queens Borough Line
South	Gateway National Recreation Area
West	Prolongation of Louisiana Avenue to Gateway National Recreation Area, Louisiana Avenue, Stanley Avenue, Van Sinderen Avenue, Broadway
	DISTRICT 8
North	Pacific Street, Vanderbilt Avenue, Atlantic Avenue
East	Ralph Avenue, East New York Avenue, Rochester Avenue
South	Eastern Parkway
West	Plaza Street East, Flatbush Avenue, Bergen Street, Eastern and northern property line of 78th Precinct, Sixth Avenue
	DISTRICT 16
North	Broadway
East	Van Sinderen Avenue, New Lots Avenue
South	Long Island Rail Road
West	East 98th Street, East New York Avenue, Ralph Avenue, Atlantic Avenue, Saratoga Avenue

Brooklyn

COMMUNITY DISTRICTS



BOUNDARIES OF THE MANHATTAN COMMUNITY DISTRICTS

DISTRICT 9

North . . . West 155th Street
East . . . . Edgecombe Avenue, West 145th Street, Bradhurst Avenue, West 141st Street, St. Nicholas Avenue, Manhattan Avenue, West 123rd Street, Morningside Avenue, Manhattan Avenue
South . . . Cathedral Parkway
West . . . Hudson River

DISTRICT 10

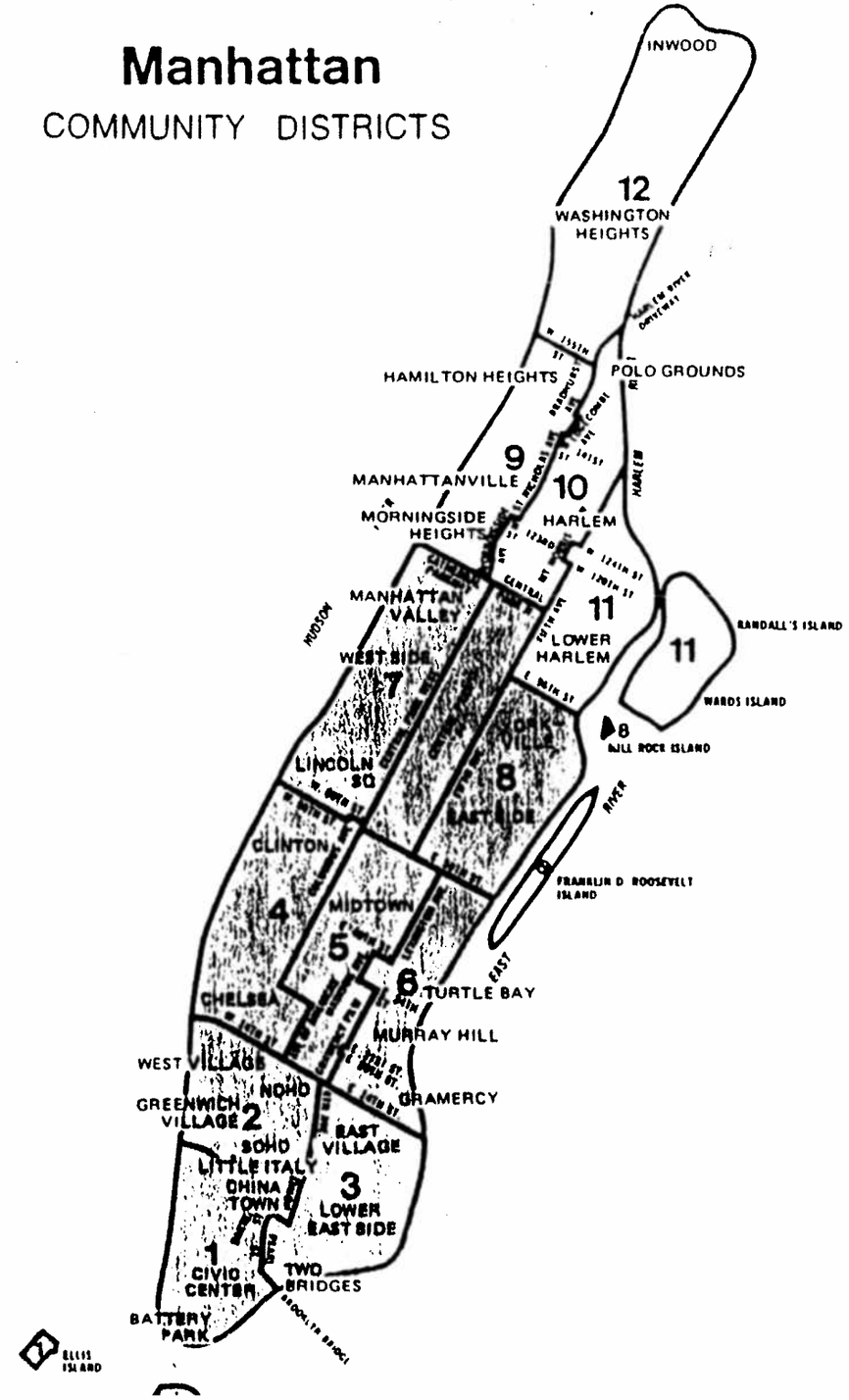
North . . . Harlem River
East . . . . Fifth Avenue, West 124th Street, Mount Morris Park West, West 120th Street, Fifth Avenue
South . . . Central Park North
West . . . Manhattan Avenue, Morningside Avenue, West 123rd Street, Manhattan Avenue, St. Nicholas Avenue, West 141st Street, Bradhurst Avenue, West 145th Street, Edgecombe Avenue, Harlem River Driveway

DISTRICT 11

North . . . Harlem River
East . . . . East River (including Randall's and Ward's Islands)
South . . . East 96th Street
West . . . Fifth Avenue, West 120th Street, Mt. Morris Park West, West 124th Street, Fifth Avenue

DISTRICT 12

North . . . Harlem River
East . . . . Harlem River, Harlem River Driveway
South . . . West 155th Street
West . . . Hudson River

Manhattan

COMMUNITY DISTRICTS