

NEW ENTITY STATEMENT

An entity that has never owned real property or engaged in any transaction may complete this New Entity Statement in lieu of completing a Disclosure Statement, but its Principals and Officers must complete Disclosure Statements.

DEFINITIONS

“Entity” means the entity identified below.

“HDC” means the New York City Housing Development Corporation, all of its subsidiaries, and their respective successors and/or assigns.

“HPD” means the Department of Housing Preservation and Development of the City of New York .

“Principal” means (i) any person or entity (other than a limited partner) owning or controlling twenty percent or more of the ownership interest or twenty percent or more of the profits or losses, (ii) all persons related by blood or marriage (other than limited partners), who, in the aggregate, own or control twenty percent or more of the ownership interest or twenty percent or more of the profits or losses, (iii) all persons acting as agents, fiduciaries or nominees, together with or on behalf of a single person or family (other than a limited partners), who, in the aggregate, own or control twenty percent or more of the ownership interest or twenty percent or more of the profits or losses, and (iv) any current general partner, managing member, or managing manager, or (v) any current Joint Venturer.

“Officer” means (i) any other person with signatory authority to legally bind the Entity, (ii) any president, vice president, secretary, treasurer, chief executive officer, chief operating officer, or chief financial officer, by whatever titles known, or (iii) any board chair, director, or trustee, by whatever titles known.

“Joint Venture” means a one-time grouping of two or more persons or entities (or any combination thereof) engaged in the joint conduct of a particular transaction or specific undertaking.

“Transaction” means the matter with respect to which the Entity will interact with HPD and/or HDC, and the Entity's role in that matter, including, but not limited to, (i) purchasing City-owned property, (ii) receiving an HPD or HDC loan, (iii) being retained as a general contractor by the purchaser of City-owned property or the recipient of an HPD or HDC loan, (iv) entering into a regulatory agreement with HPD or HDC, (v) being retained as a general contractor or administering agent by a party which has entered into a regulatory agreement with HPD, (vi) entering into a site development agreement, site development and management agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD or HDC program, (vii) being retained as a general contractor by a party which has entered into a site development agreement, site development and management agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD or HDC program, (viii) leasing or net leasing City-owned property, (ix) being retained as a managing agent by the net lessee of City-owned property or by a Mitchell-Lama housing company, (x) acquiring an ownership interest in property which is encumbered by a City mortgage and/or owned by a Mitchell-Lama housing company or a Redevelopment Company, or (xi) licensing City-owned property.

TRANSACTION

PROGRAM:	PROJECT:
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ENTITY

ENTITY:	EIN:
CONTACT:	ADDRESS:
PHONE:	E-MAIL:
STATE OF FORMATION:	FORMATION DATE:

TYPE OF ENTITY: *(Check all that apply)*

- | | |
|---|--|
| <input type="checkbox"/> Not-for-Profit Corporation | <input type="checkbox"/> Business Corporation |
| <input type="checkbox"/> General Partnership | <input type="checkbox"/> Limited Partnership |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Limited Liability Partnership |
| <input type="checkbox"/> HDFC | <input type="checkbox"/> 501(c)(3) |
| <input type="checkbox"/> Joint Venture | <input type="checkbox"/> Other (Describe: _____) |

ROLE IN PROJECT: *(Check all that apply):*

- | | |
|--|--|
| <input type="checkbox"/> Property Owner | <input type="checkbox"/> Part of Property Owner (Describe Role: _____) |
| <input type="checkbox"/> Borrower | <input type="checkbox"/> Part of Borrower (Describe Role: _____) |
| <input type="checkbox"/> Other (Describe: _____) | |

OWNERSHIP

List all Principals and Officers of the Entity. *If the space below is insufficient, attach additional pages with the relevant information.; see the list of definitions in Appendix B)*

Individual/Entity Name	Role ¹	% Interest ²	SSN/EIN ³

1: Enter role in Entity (e.g., shareholder, general partner, limited partner, member, managing member, etc.).

2: Enter percentage interest (owned or controlled) in the Entity.

3: The Federal Privacy Act of 1974, as amended, requires agencies requesting Social Security Numbers to disclose whether compliance with the request is voluntary or mandatory, why the information is requested, and how it will be used. Providing Social Security Numbers and/or Employer Identification Numbers on this form is mandatory. Social Security Numbers and Employer Identification Numbers will be used only to perform a background check, will be kept in a secure location, and will not be used or disclosed for any other purpose.

ATTACHMENTS

Submit the following documents:

- An organization chart showing the entity's current structure (follow format specified in attached template).
- Certificate of Incorporation, Certificate of Limited Partnership, Articles of Organization, or equivalent document, plus the Partnership Agreement for any general or limited partnership.

