



DASNY

ANDREW M. CUOMO
Governor

ALFONSO L. CARNEY, JR.
Chair

REUBEN R. MCDANIEL, III
President & CEO

SECTION B

ALBANY (HEADQUARTERS): 515 Broadway, Albany, NY 12207 | 518-257-3000
NEW YORK CITY: One Penn Plaza, 52nd Floor, New York, NY 10119 | 212-273-5000
BUFFALO: 539 Franklin Street, Buffalo, NY 14202 | 716-566-4400
ROCHESTER: 3495 Winton Place, Building C, Suite 1, Rochester, NY 14623 | 585-461-8400

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BID NO.: 687

PROJECT NAME & LOCATION:

Bronx Community College
2155 University Ave
Bronx, New York 10452

Description: Furnish and Provide Inside Delivery of Garage Tools and Equipment

Bid Open Location: DASNY

515 Broadway, Albany, NY 12207

Bid Open Date: April 5, 2021

Contact: Theresa Graffeo

Bid Open Time: 2:30 p.m.

Bid Breakdown & Schedule

FIRM SUBMITTING BID: _____

TYPE OF DELIVERY REQUIRED: Make Ready for Use

DELIVERY REQUIRED BY: June 2021

Basis for Award: The basis for contract award is "GRAND TOTAL" lump sum price. Vendor shall be responsible for the complete scope of work at the "GRAND TOTAL" lump sum price. Further, vendor is responsible for examining the Contract Documents carefully before quoting, including making a written Request for Information for an interpretation or correction of any ambiguity, inconsistency, or error noted in the documents.

Item No.	Description	Extended Price
1	Furnish Items 1-221, as specified, per the attached Detailed Specifications. See attached pricing spreadsheet .	\$
2	Inside Delivery	\$
TOTAL BID:		\$

Bid Submittal Requirements:

Bidder shall Provide the following information with Bid:

1. Manufacturer & Model Number
2. Manufacturer's cut sheets
3. Construction specifications, (note Marketing materials are not specifications)
4. Installation specifications (if applicable)
5. Attachment Details (if applicable)
6. Warranty Information
7. Listing of deviations for each item, including sizes, dimensions, profiles, materials, finishes,
8. Construction methods and functions, on company letterhead. (if applicable)
9. Samples, if Requested



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The burden of proof equality is on the bidder, and only complete submittals, as requested, will be considered and evaluated by DASNY. Failure to comply with any or all above shall result in immediate disqualification.

(The below questions 1) and 2) need only be answered if the above total bid is for one million dollars or more)

1. Does your firm anticipate the use of subcontractors and outside suppliers specific to this procurement?
Yes ☐ No ☐
2. Does your firm anticipate the creation of employment opportunities arising from this procurement?
Yes ☐ No ☐

(The below information must be completed for all bids.)

Identify all subcontractors, if any: _____

STATE, PROVINCE FOR FOREIGN COUNTRY
THAT YOUR FIRM'S PRINCIPAL PLACE OF
BUSINESS IS LOCATED:

ADDRESS OF FACTORY OR PLANT WHERE
ITEMS ARE MANUFACTURED AND/OR
ASSEMBLED. *(Attach additional sheet(s) if more
than one manufacturer)*

BIDDER (FIRM NAME)

SIGNATURE

NAME (TYPE/PRINTED)

TITLE

Date

Line	Qty	Part #	Description	UOM	Unit Price	Extended Price
1	1	CTS54BUBK	54" ProSeries Cab-Blk	EA		
2	1	CTSPSLUBK	ProSeries Locker-Blk	EA		
3	1	CTS54HUBK	54" Hutch-Black	EA		
4	1	CBP1KIT	1/4" Dr Deep/Shallow/Metric/SAE Socket Set	EA		
5	1	CBP2KIT	3/8" Dr Deep/Shallow/Metric/SAE Socket Set	EA		
6	1	HN02PS	Rigid Spin Handle 1/4" dr	EA		
7	1	KDT80600	1/2" UNIVERSAL SOCKET	EA		
8	1	KDT81363	24" Full Polish 1/2" Drive Locking Flex Ratchet	EA		
9	1	KDT81307	1/2" BREAKER BAR	EA		
10	1	KDT81300	3pc 1/2" Dr Extension Set	EA		
11	1	KDT81011F	84 Tooth 1/4" Drive Full Polish Teardrop Ratchet	EA		
12	1	GP1412MD	SKT SET 1/2" DR 14 PC DP LNGTH IM	EA		
13	1	GP1412M	SKT SET 1/2 "DR 14 PC STD METRIC IM	EA		
14	1	GP1312	1/2" Drive Standard Length Pipe Plug Impact Set	EA		
15	1	GP1312D	1/2" Drive Deep Length Impact Set	EA		
16	1	GP2228A	1/2" TO 3/8" ADAPTOR	EA		
17	1	GP1243RD	SET 43PC STD/DP/MET IMPACT 3/8" DR	EA		
18	1	GP1212U	SKT SET 3/8"DR 12 PC UNIVERSAL IM	EA		
19	1	KDT80100	1/4" Drive Universal Joint	EA		
20	1	KDT81224	1/4"DR ROUND SWIVEL RATCHET	EA		
21	1	KDT81002	5pc 1/4" Dr Extension Set	EA		
22	1	KDT81281	24" 3/8 dr Extension	EA		
23	1	KDT81200	4 PC 3/8in EXTENSION SET	EA		
24	1	KDT81219	3/8 in. Drive Teardrop Quick Release Flex Ratchet	EA		
25	1	KDT81211F	84 Tooth 3/8" Drive Full Polish Teardrop Ratchet	EA		
26	1	KDT81014	1/4 in. Drive Teardrop Quick Release Ratchet	EA		
27	1	KDT80549	3/8" UNIVERSAL SOCKET	EA		
28	1	STA6ST	6pc Adaptor Set	EA		

29	1	MY62006	SCRAPER 1" DOMINATOR CARBON	EA		
30	1	BH12137	13PC Hex Wrench Set SAE	EA		
31	1	LIS46200	Snap Ring Pliers	EA		
32	1	T2226SP	3/8" x 13/16" Sp Plg Skt. (@)	EA		
33	1	WLMW1262C	Telescoping Swivel Insp Mirror	EA		
34	1	T2220SPA	3/8" x 5/8" S.P. Socket	EA		
35	1	CL526	\$PLIER SLIP JOINT 6"	EA		
36	1	CL420	CHANNELLOCK 9" PLIERS	EA		
37	1	CL317	PLIER LONG NOSE 7.5" W/SIDE CUTTER	EA		
38	1	ATD-714	14 PC Punch and Chisel Set	EA		
39	1	TL41228	BRUSH STAINLESS STEEL SHOE HORN WIRE	EA		
40	1	GWR82260	16 oz. Soft Face Hammer	EA		
41	1	SUN9915	15 Piece Combination Wrench Set 3/8 - 1 1/4"	EA		
42	1	LUFL625	LUFKIN 25FT TAPE MEASURE	EA		
43	1	WLM1925	HD Hacksaw	EA		
44	1	VAUTC016	13-3/4" 16 oz Commercial Ball Peen Hammer	EA		
45	1	CL337	PLIER DIAG LAP JOINT 7" CUTTER	EA		
46	1	CL812W	12" Chrome Adjustable Wrench	EA		
47	1	HR668	Ltd Rat SD w/Pstl Grp	EA		
48	1	EZRBMK914	Battery Service Kit	EA		
49	1	ULLHT-5	TELESCOPIC MAG PICK UP TOOL W/POWERCAP	EA		
50	1	RBF35A	Full-Range Feeler Gauge	EA		
51	1	LIS67800	SPARK PLUG GAPPER	EA		
52	1	CBSTX1302S	13pc Star Bit Socket Set	EA		
53	1	MAY40152	Mayhew™ 9/16 in. x 16 in. Lady Foot Pry Bar	EA		
54	1	CBS1402S	14pc 1/4x3/8 HxBt SAE/Mt St	EA		
55	1	VIMSS702	2" scraper	EA		
56	1	LI28400	HD CIRCUIT TESTER	EA		
57	1	SUN9917MPR	25-Piece FULL POLISH Wrench SET 8MM-32MM	EA		
58	1	AST1718	Rubber Tip Blow Gun	EA		
59	1	MAY600003	Dominator 4-Piece Mini Hook and Pick Set	EA		
60	1	KTI73201	24 x 33" Deluxe Fender Cover (Black)	EA		

61	1	KDT81906COMBO	KDT81906 and KDT81907 METRIC AND SAE FLARE NUT SET	EA		
62	1	EK10509	9 pc. Met. Hex Key Set	EA		
63	1	OTC4503	Double Flaring Tool Kit	EA		
64	1	MY13228	Pick Cotter pin puller	EA		
65	1	NIC22040HN	File Set 5Pc W/Ergo Handle	EA		
66	1	CL718	PLIER FLAT NOSE LONG REACH 8"	EA		
67	1	ULLPD-11	Phillips Screw Starter	EA		
68	1	ULLD-3	Slotted screw starter	EA		
69	1	KTI74956	Padded creeper	EA		
70	1	KDT82241	24 oz Dead Blow Hammer	EA		
71	1	HAN11119	10 pc Extractor Set	EA		
72	1	CL810W	10" ADJUSTABLE WRENCH	EA		
73	1	CI808W	8" Chrome adjustable wr	EA		
74	1	CL449	PLIER HIGH LEVEL CUTTING 9.54"	EA		
75	1	CBPU2	7pc 3/8" Dr. U Skt St	EA		
76	1	CSD5s	10 pc Pro Scrwdrvr St	EA		
77	1	PJSP30850	UTILITY KNIFE	EA		
78	1	MLW48-22-2606	Precision Screwdriver Set	EA		
79	1	CL460	PLIER BIG AZZ T & G 16"	EA		
80	1	A20	3/8" -1/4" Adaptor	EA		
81	1	A23	3/8"-1/2" Adaptor	EA		
82	1	KTI72986	5/8" Brass Punch	EA		
83	1	WLMM7248	48oz Ball Pein Dead Blow	EA		
84	1	VAUTC224	15-1/4 in. 24 oz. Commercial Ball Peen Hammer	EA		
85	1	MAY14173	1" GASKET SCRAPER	EA		
86	1	HAN26317	40 pc Metric Tap and Die Set	EA		
87	1	HAN24640	40 pc SAE Tap and Die Set	EA		
88	1	KDT81909	10 PIECE METRIC CROWFOOT SET	EA		
89	1	KDT81908	11 PIECE SAE CROWFOOT SE	EA		
90	1	AST9401	10 Pc Snap Ring Plier Set	EA		
91	1	VGP5CR	Vise-Grip® 5 in. The Original™ Curved Jaw	EA		
92	1	VGP10CR	Vise-Grip® 10 in. Adjustable Curved Jaw Locking	EA		
93	1	PTW30681	Pliers 10Pc SAE Ignition Wrench Set 10Pc SAE Ignition	EA		

94	1	IRT7803RAKC	Wrench Set 1/2 in. Heavy Duty Air Reversible Drill with	EA		
95	1	HAN3018006B	Keyless Chuck 29 Piece Turbomax Metal Index Drill Bit Set	EA		
96	1	IR2235QTIMAX	1/2" Dr Super Duty Impact	EA		
97	1	IR118MAXK	HAMMER AIR MAX LONG BARREL W/KIT	EA		
98	1	IRT2115QXPA	Composite Quiet 3/8 in. Drive Impact Wrench	EA		
99	1	VGP1773390	Vise-Grip 11 in. Long Reach 20 Degree Bent Nose	EA		
100	1	WCXS110ST	Pliers 10 pc. Xtra Sh Cb Wr St 12 pt	EA		
101	1	SUN9914MA	14-Piece Metric Angle Head 6mm-19mm Wrench	EA		
102	1	KDT85998	Set, Full Polish 9-Piece XL GearBox Double Box Ratcheting	EA		
103	1	CRW8SSA	Wrench Set - SAE 8pc Stby Rat Wr Comb St	EA		
104	1	CRW12MSA	12pc. Met Rat Wr Set	EA		
105	1	MY61366	PRY BAR CURVED DOMINATOR 5 pc SET	EA		
106	1	KDT87802	3/8IN DR Breaker Bar, 18"	EA		
107	1	CL959	PLIER WIRE STRIPPER	EA		
108	1	CE97351A	TORQ WRENCH 3/8" 25- 250IN/LB	EA		
109	1	CE97352A	3/8" Dr 10-100 Ft Lb Torque Wrench	EA		
110	1	CE97353A	TORQUE WRENCH 1/2" DR 30-250 FT LBS	EA		
111	1	CE97355A	3/4" 600FT LB TORQUE WRENCH	EA		
112	1	GRE8029	3/4" 29 PIECE FRACTIONAL SOCKET SET	EA		
113	1	GP3304E	3/4" EXTENSION SET	EA		
114	1	GWR8926D	Ratcheting Screwdriver w/Bit Set	EA		
115	1	JA2053	53pc Universal Rethread Set	EA		
116	1	KTI71714	16 oz. Brass hammer with Wooden Hickory Handle	EA		
117	1	MY60150	3 pc Lady Slipper Bar Set	EA		
118	1	CL440	12" Adjustable Pliers	EA		
119	1	KNP8701-7	7" Cobra Pliers	EA		

120	1	OT4534	Multipurpose Bearing and Pulley Puller Set	EA		
121	2	CSU6100000	Headgear Only without Face Shield	EA		
122	1	OTC6512	HD Tubing Cutter	EA		
123	1	MSC70027	Mini Tubing Cutter	EA		
124	1	KTI01671	FUSE PULLER	EA		
125	1	WLMW1219	SEAL PULLER	EA		
126	1	OTC464	OTC 3 JAW GRIP TIGHT PULLER/2 TON	EA		
127	1	OTC1028	2 JAW BEARING PULLER	EA		
128	1	OTC4518	Puller/Bearing Separator Kit	EA		
129	5	UVXS4200	Safety Eyewear, Metallic Black Frame, Clear	EA		
130	2	SAS6105	Ultra-Dura Hardcoat Lens SAS Safety® Standard Earmuff Hearing Protection	EA		
131	1	CPT7763	3/4" Drive Heavy Duty High Power Impact Wrench	EA		
132	1	IRT301BK	Die Grinder Kit	EA		
133	1	CTG15E	Multi Purpose Elec Plier	EA		
134	2	CSU22761	CLEAR FACESHIELD REPL	EA		
135	1	MLW2554-20	M12 FUEL Stubby 3/8 in. Impact Wrench	EA		
136	1	MLW2893-22CX	Milwaukee M18 Brushless Hammer Drill/Impact	EA		
137	1	MLW2313-21	Driver 2-Tool Combo Video Inspection Camera, Milwaukee	EA		
138	1	MLW2767-22GG	M18 FUEL 1/2 Impact Wrench and Frict Ring w/	EA		
139	1	MLW2446-20	(2) Batteries Kit M12 Cordless Grease Gun	EA		
140	1	MLW2475-21CX	Compact Tire Inflator	EA		
141	1	MLW2267-20	Milwaukee 10:1 Infrared Temp-Gun w/ LCD display	EA		
142	1	LIS20300	Vacuum / Fuel Pressure Gauge	EA		
143	1	STATU24APB	Three Way Exhaust Back Pressure Kit	EA		
144	1	SUN97010A	10-Piece SAE Jumbo Combination Wrench Set	EA		
145	1	ES585K	1/5/16"-2" Automotive Graphing Multi Meter w/temp	EA		
146	1	KDT835	Mechanics Stethoscope	EA		

147	1	HAN3101010	48 pc Master Extreactor Set	EA		
148	1	MITMV5535	Diesel Compression Gauge Kit	EA		
149	16	CTBMM500BK	ProSeries 5 Dr Cart	EA		
150	16	SUN9917m	12pc Metric Comb wrench set	EA		
151	16	SUN9915	15 Piece Combination Wrench Set 3/8 - 1 1/4"	EA		
152	16	CBP1KIT	Blue Power 1/4" dr Met/SAE Deep/Shallow	EA		
153	16	KDT81117	10" 1/4" Dr Extension	EA		
154	16	KDT81116	1/4" Drive 6" Chrome Socket Extension	EA		
155	16	KDT81101	1/4" Drive 2" Chrome Extension	EA		
156	16	KDT80100	1/4" Drive Universal Joint	EA		
157	16	HN02PS	Rigid Spin Handle	EA		
158	16	KDT81014	1/4 in. Drive Teardrop Quick Release Ratchet	EA		
159	16	CBP2KIT	Blue Power 3/8"" dr Met/SAE Deep/Shallow	EA		
160	16	KDT81218	3/8 in. Drive Teardrop Quick Release Ratchet	EA		
161	16	KDT81200	4 PC 3/8in EXTENSION SET	EA		
162	16	KDT80549	3/8" UNIVERSAL SOCKET	EA		
163	16	ESI480A	Autoranging Digital Multi Meter CATIII	EA		
164	16	NUP.13120	2LB RUBBER Mallet H GRIP	EA		
165	16	LI71200	STUD REMOVER	EA		
166	16	LI28400	HD CIRCUIT TESTER	EA		
167	16	CL810W	10" ADJUSTABLE WRENCH	EA		
168	16	CBS702S	7pc. 1/4" & 3/8" Hx Bit Skt St	EA		
169	16	CBS7162	3/8" X 7/16" Hex Bit Skt.	EA		
170	16	CBS123	1/2" X 1/2" Hex Bit Skt.	EA		
171	16	CBS9163	1/2" X 9/16" Hex Bit Skt.	EA		
172	16	CBSMTX34S	34 Pc Mstr Star Bit/Hex Bit St	EA		
173	16	A20	3/8" -1/4" Adaptor	EA		
174	16	A23	3/8"-1/2" Adaptor	EA		
175	16	KDT81304F	1/2" Drive 84 Tooth Full Polish Teardrop Ratchet	EA		
176	16	CBPI3	1/2" 15pc Pow Skt Set	EA		
177	16	CBPI3L	1/2" 15pc Dp Pow Skt Set	EA		
178	16	EK10213	13 Piece SAE Long Hex-L Hex Key Set	EA		
179	16	EK10509	9 pc. Met. Hex Key Set	EA		
180	16	CL738	PLIER LONG REACH LONG NOSE 8"	EA		

181	16	MAY66302	Mayhew 4-Piece Pry Bar Set	EA		
182	16	RBFG30MM	Full-Range Metric Gauge	EA		
183	16	ML12RA	R.R. Plier/.038/Strght	EA		
184	16	CTG3890	R.R. Plier/.038/90 deg	EA		
185	16	MAY40152	Mayhew™ 9/16 in. x 16 in. Lady Foot Pry Bar	EA		
186	16	RBFG35A	Full-Range Feeler Gauge	EA		
187	16	XMM2A116	MINI MAG AA FLASHLIGHT BLUE	EA		
188	16	TMRFELCC307	WIRE BRUSH	EA		
189	16	LUFL625	LUFKIN 25FT TAPE MEASURE	EA		
190	16	ULHT5R	Pocket Magnetic Pickup Tool	EA		
191	16	ULK2	Insp. Mirror 2-1/8" x 3-1/2"	EA		
192	16	MAY600003	Dominator 4-Piece Mini Hook and Pick Set	EA		
193	16	CS5	Scraper	EA		
194	16	CTG700	1-1/4" Scraper	EA		
195	16	PE274102	14" PIPE WRENCH	EA		
196	16	MLW48-22-1901	Milwaukee® FastBack Flip Utility Metal Knife	EA		
197	16	SCA805	Scratch Awl	EA		
198	16	CTG56EB	Wire Cutter/Stripper	EA		
199	16	CHA460	16" Adjustable Pliers	EA		
200	16	CTA4325	OIL FILTER WRENCH SET	EA		
201	16	VG10R	10" Straight Jaw Lckng Pliers	EA		
202	16	VG7R	7" Straight Jaw Lckng Pliers	EA		
203	16	CE6514	6" Pocket Rule	EA		
204	16	KDT81219	3/8 in. Drive Teardrop Quick Release Flex Ratchet	EA		
205	16	CSD5S	5pc Scrdrvr Set	EA		
206	16	ATD-714	14 PC Punch and Chisel Set	EA		
207	16	KTI72986	5/8" Brass Punch	EA		
208	16	RB6523	5/16" GM Side Term Batt Wr	EA		
209	16	CPL303	5pc Multi-Purp Plrs Set	EA		
210	16	CBSD410S	41 pc. Bit Set w/Rat Dr	EA		
211	16	CE97353A1	1/2" Dr Torque Wrench 25- 250lb	EA		
212	16	CAT231	1/2" Impact Wrench	EA		
213	16	ZZF6S	6 pc. File Set	EA		
214	16	CTHTC3	Dead Blow Hammer 45 oz.	EA		
215	16	CPP5	Cotter Pin Puller	EA		

216	16	ZZVB3TCS	3 pc. Ball Pein Hammer Set	EA		
217	3	RAAC12344	1234YF AC RRR Mch w/Ind	EA		
218	3	RAC34288NI	R-134 Recovery, Recycling and Charging Station	EA		
219	12	SUN8005SC	Tool Cart, 30" 350lb Capacity	EA		
220	1	LAU301190659	X-431 Turbo Scan Tool	EA		
221	15	LAU301050139	Launch CReader VII	EA		

Request for Taxpayer Identification Number and Certification

Give Form to the
requester. Do not
send to the IRS.

Print or type
See Specific Instructions on page 2.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
2 Business name/disregarded entity name, if different from above	
3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
6 City, state, and ZIP code	
7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number									
				-				-	
or									
Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state.

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ³ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor ⁴
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

***Note.** Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

DORMITORY AUTHORITY OF THE STATE OF NEW YORK
OMNIBUS PROCUREMENT
CERTIFICATION

I, the undersigned, an authorized signatory of _____, (the “**Firm**”) hereby represent and certify to the Dormitory Authority of the State of New York (“**DASNY**”) under penalty of perjury as follows with respect to certain actions taken and to be taken in connection with the Firm’s submission of a bid and the execution of any resulting contract (the “**Contract**”) in response to DASNY’s [notice to bidders/request for proposal] for Project # 3452609999 as follows:

A. Non-Collusive Bidding Certification

1. The prices in the bid, have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in the bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person, partnership, or corporation to submit or not to submit a bid for the purpose of restricting competition.

B. Non-Segregated Facilities

The Firm does not, nor shall not, maintain or provide for the employees of such Firm any segregated facilities at any establishments, and that the Firm does not, nor shall not, permit the employees of such Firm to perform the services of such employees at any location under the control of such Firm where segregated facilities are maintained. The Firm agrees that a breach of this certification is a violation of the nondiscrimination clauses of the Contract.

C. Non-discrimination in Employment in Northern Ireland

The Firm stipulates that it, and any individual or legal entity in which the Firm holds a ten percent (10%) or greater ownership interest, and any such entity that holds such an interest in the Firm, either:

1. Has no business operations in Northern Ireland; or
2. Shall take all lawful steps in good faith to conduct any business operations it has or in which it has such an interest in Northern Ireland in accordance with the MacBride Fair Employment Principles as set forth in Chapter 807 of the Laws of 1992 and shall permit any independent monitoring of its compliance with said Principles.

D. Federal Equal Employment Opportunity Act

The Firm is compliant with the Federal Equal Employment Opportunity Act of 1972 (P.L. 92-261), as amended.

DORMITORY AUTHORITY OF THE STATE OF NEW YORK
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CERTIFICATION

E. Commitment to Opportunity Programs

The Firm acknowledges and agrees to be bound in accordance with NYS Executive Law Article 15-A, and in conformance with regulations promulgated by the Division of Minority and Women's Business Development of the NYS Department of Economic Development. A list of NYS certified M/WBEs may be obtained from the ESDC directory of certified businesses located at www.nylovesmwbe.ny.gov.

F. Commitment to Service-Disabled Veteran-Owned Business (SDVOB)

The Firm acknowledges and agrees to be bound in accordance with NYS Executive Law Article 17-B, and in conformance with applicable regulations. A list of NYS certified SDVOB may be obtained from the NYS Office of General Services Division of Services-Disabled Veterans' Business Development located at <https://ogs.ny.gov/veterans>.

G. Transfer of Offset Credits

The Firm acknowledges notice that DASNY may assign or otherwise transfer offset credits created by the Contract to third parties located in New York State.

H. 2005 Procurement Lobbying Law

1. The Firm understands and has to date and agrees hereinafter to comply with DASNY's procedures relative to permissible contacts for this procurement as required by State Finance Law § 139-j (3) and § 139-k (6) (b);
2. No "governmental entity," as defined in State Finance Law § 139-j and § 139-k has made a finding in the last four years that the Firm was not responsible;
 - a. If yes, please note the governmental entity, the date of the finding and the basis of the finding regarding each finding of non-responsibility. Attach additional pages, if necessary.

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3. No "governmental entity" as defined in State Finance Law § 139-j and § 139-k has terminated or withheld a procurement contract with the Firm due to the intentional provision of false or incomplete

DORMITORY AUTHORITY OF THE STATE OF NEW YORK
OMNIBUS PROCUREMENT
CERTIFICATION

information required by such laws and/or the failure to comply with the requirements of State Finance Law § 139-k(3) relating to permissible contacts.

- a. If yes, please note the governmental entity, the date of the termination or withholding of contract and the basis of termination or withholding of contract. Attach additional pages, if necessary.

I. Code of Business Ethics

The Firm acknowledges notice of and has read DASNY's Code of Business Ethics attached as **Exhibit A** hereto and acknowledges that the Firm's failure to comply shall justify termination of the Contract by DASNY and may result in the rejection of the Firm's bid for future work with DASNY.

J. Iran Divestment

That to the best of its knowledge and belief, the Firm and each person and each person signing on behalf of any other party, that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law.

[Remainder of this page intentionally left blank]

DORMITORY AUTHORITY OF THE STATE OF NEW YORK
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CERTIFICATION

K. Certification

The Firm acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine of up to \$10,000 or imprisonment of up to five years under 18 U.S.C. Section 1001 and hereby represents that all information contained here provided to DASNY is complete, true and accurate.

By: _____

Name: _____

Title: _____

Date: _____

DORMITORY AUTHORITY OF THE STATE OF NEW YORK
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CERTIFICATION

Exhibit A: Dormitory Authority of the State of New York - Code of Business Ethics

A. Ethics Programs

1. DASNY is a public-benefit corporation of the State of New York and expects the highest degree of ethical business conduct by its employees and the many contractors, consultants and vendors with whom it interacts on behalf of its clients, bondholders and the people of the State of New York. DASNY, by mandate of its Board of Directors, administers a comprehensive corporate integrity program to ensure that, as public officers, DASNY employees at all levels perform their official duties consistent with the requirements of the *New York State Public Officers Law*; other applicable laws, rules, and regulations; and policies of DASNY.
2. DASNY encourages and supports a fair, open and honest business relationship with its contractors, consultants and vendors based on quality, service and cost. Moreover, DASNY believes that a “level playing field” in the marketplace can only be achieved through adherence to ethical business practices by all participants involved in the process.
3. To promote a working relationship with DASNY based on ethical business practices, contractors, consultants and vendors are expected to:
 - a. furnish all goods, materials and services to DASNY as contractually required and specified;
 - b. submit complete and accurate reports to DASNY and its representatives as required;
 - c. not seek, solicit, demand or accept any information, verbal or written, from DASNY or its representatives that provides an unfair advantage over a competitor;
 - d. not engage in any activity or course of conduct that restricts open and fair competition on Authority-related projects and transactions;
 - e. not engage in any course of conduct with DASNY employees or representatives that constitutes a conflict of interest or creates the appearance of a conflict of interest;
 - f. not offer any unlawful gifts or gratuities to DASNY employees or representatives, or engage in bribery or other criminal activity; and
 - g. report to DASNY any activity by an DASNY employee or contractor, consultant or vendor of DASNY that is inconsistent with DASNY’s *Code of Business Ethics*.
4. DASNY encourages its contractors, consultants and vendors to advance and support ethical business conduct and practices among their respective directors, officers and employees, preferably through the adoption of corporate ethics awareness training programs and written codes of conduct. In addition to considering technical competence and financial stability, DASNY will consider the *corporate integrity* of all contractors, consultants and vendors prior to the awarding of contracts or issuing of purchase orders.

B. Conduct of DASNY Employees

DASNY employees are expected to conduct business with contractors, consultants and vendors in a fair, consistent and professional manner. DASNY’s Code of Business Ethics and Employee Conduct entitled *Serving Responsibly*, and other DASNY policies and procedures, guide the manner in which DASNY employees are required to interact with contractors, consultants and vendors. Additionally,

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the New York State Public Officers Law sets forth legal parameters within which DASNY employees must perform their official duties with respect to, among other things, conflicts of interest and the acceptance of gifts.

Limits on Gifts to DASNY Employees

1. Pursuant to Section 73(5) of the Public Officers Law, no person shall offer any gift having more than a nominal value to an DASNY employee under circumstances in which it:
 - a. could be reasonably inferred the gift was intended to influence the employee in the performance of his or her official duties;; or
 - b. could reasonably be expected to influence the employee in the performance of his or her official duties;; or
 - c. was intended as a reward for any official action on the part of the employee.
2. A gift is anything more than nominal in value, in any form, given to an DASNY employee. Gifts include, but are not limited to, money, service, loan, travel, lodging, meals, refreshments, entertainment, discount, forbearance or promise. Any firm or its agents, either doing business or seeking to do business with DASNY (contractors, consultants, vendors, etc.), is prohibited from directly or indirectly offering or giving any gifts, even gifts of nominal value, to DASNY employees as such gifts are deemed to be *per se* improper.
3. As is stated in the *Prohibited Interests* section of the Construction and Consultant Contract documents, violations of these gift provisions may be grounds for immediate contract termination and/or referral for civil action or criminal prosecution.

C. Employing Relatives of DASNY Employees

Although contractors, consultants and vendors may employ relatives of DASNY employees, DASNY must be made aware of such circumstances as soon as possible, preferably in writing, to ensure a conflict of interest situation does not arise. DASNY reserves the right to request that contractors, consultants and vendors modify the work assignment of an DASNY employee's relative where a conflict of interest, or the appearance thereof, is deemed to exist. Please be advised that DASNY employees are required to disclose information regarding the hiring of relatives by contractors, consultants and vendors and recuse themselves from matters that may present a conflict of interest. For purposes of this document, the term "relatives" refers to spouses, domestic partners, parents, children, sisters, brothers, sisters-in-law, brothers-in-law, parents-in-law, sons/daughters-in-law, stepparents, stepchildren, aunts, uncles, nieces, nephews, first cousins, grandparents by blood relationship or by marriage, or persons residing in the same household.

D. Hiring Former DASNY Employees

Contractors, consultants and vendors may hire former DASNY employees. However, as a general rule, former employees of DASNY may neither appear nor practice before DASNY, nor receive compensation for services rendered on a matter before DASNY, for a period of *two years* following their separation from DASNY service. In addition, former DASNY employees are subject to a

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“lifetime bar” from appearing before DASNY or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with DASNY. Violations will be referred to the New York State Commission on Public Integrity for appropriate action.