

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

SECTION I – GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:
4300 Roosevelt LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☒ the Applicant
OR

2. ☐ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: _____

OR

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

B. Business address of the Disclosing Party: 350 W. Hubbard St., Suite 300
Chicago, IL 60654

C. Telephone: 312-595-7400 Fax: 312-595-1898 Email: mhittinger@relatedmidwest.com

D. Name of contact person: Matthew Hittinger

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

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable): *SEE BELOW

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave.

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

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

Specification # _____ and Contract # _____

SECTION II – DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Illinois

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

☐ Yes

☐ No

☒ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
LR Development Company LLC	Managing Member
Curt R. Bailey	President of Managing Member of Disclosing Party

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **It is anticipated that within six (6) months following City Council action on the Matter, Roosevelt & Kostner GP, LLC and New York Life/REEP-IND Cubes Roosevelt LLC will acquire approximately 10% and 90% ownership interests, respectively, in the Applicant.

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
LR Development Company LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	75%
LRD Group LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	7.95%
Sundance 2, LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	12%
Related LR Development LLC	30 Hudson Yards, 72nd Floor New York, NY 10001	-55.05%
The Related Companies, L.P.	30 Hudson Yards, 72nd Floord New York, NY 10001	49.55%
548 Development LLC	700 N. Larrabee St., 1301 Chicago, IL 60654	25%

SECTION III – INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (<u>indicate whether paid or estimated.</u>) NOTE: "hourly rate" or "t.b.d." is not an acceptable response.
DLA Piper - 444 W. Lake St. #900 Chicago, IL 60606 - Attorney			\$78,000 paid

(Add sheets if necessary)

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

SECTION V – CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

N/A

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

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

N/A

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐ is

☒ is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

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

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

4300 Roosevelt LLC

(Print or type exact legal name of Disclosing Party)

By: _____

(Sign here)

Curt Bailey

(Print or type name of person signing)

President of LR Development Company, the Managing Member of Disclosing Party

(Print or type title of person signing)

Signed and sworn to before me on (date) 5/16/25,

at Cook County, IL (state).

[Signature]
Notary Public

Commission expires: 8/26/25



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☒ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

LR Development Company LLC (d/b/a Related Midwest LLC)

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant
OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party: 350 W. Hubbard St., Suite 300

Chicago, IL 60654

C. Telephone: 312-595-7400 Fax: 312-595-1898 Email: mhittinger@relatedmidwest.com

D. Name of contact person: Matthew Hittinger

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

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable): *SEE BELOW

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave.)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

☒ Yes ☐ No ☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
Related LR Development LLC	Managing Member
Curt R. Bailey	President of Disclosing Party

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
LRD Group LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	7.95%
Sundance 2, LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	12%
Related LR Development LLC	30 Hudson Yards, 72nd Floor New York, NY 10001	55.05%
The Related Companies, L.P.	30 Hudson Yards, 72nd Floord New York, NY 10001	49.55%

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

N/A

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

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

N/A

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

N/A

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐

is

☒

is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

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

N/A

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

LR Development Company LLC

(Print or type exact legal name of Disclosing Party)

By: _____

(Sign here)

Curt Bailey

(Print or type name of person signing)

President

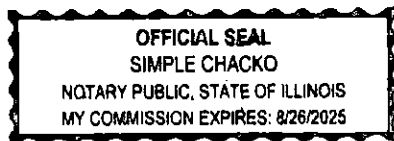
(Print or type title of person signing)

Signed and sworn to before me on (date) 5/16/25,

at Cook County, IL (state).

Simple Chacko
Notary Public

Commission expires: 8/26/2025



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
APPENDIX C

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☒ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant
OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party: 350 W. Hubbard St., Suite 300
Chicago, IL 60654

C. Telephone: (312) 595-7400 Fax: N/A Email: mhittinger@relatedmidwest.com

D. Name of contact person: Matthew Hittinger

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



F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

☒ Yes ☐ No ☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
Donald M. Biernacki	Executive Vice President
David K. Zussman	Executive Vice President
Jeff T. Blau	CEO

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
LRD Group LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	7.95%
Sundance 2, LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	12%
Related LR Development LLC	30 Hudson Yards, 72nd Floor New York, NY 10001	55.05%
The Related Companies, L.P.	30 Hudson Yards, 72nd Floor New York, NY 10001	49.55%

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

3. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II(B)(1) of this EDS:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
 - b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
 - c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
 - d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
 - e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.
4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).
5. Certifications (5), (6) and (7) concern:
- the Disclosing Party;
 - any "Contractor" (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");
 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;
 - any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐

is

☒

is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

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

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.

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

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

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

CERTIFICATION

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

LRD Group LLC

(Print or type exact legal name of Disclosing Party)

By: [Signature]

(Sign here)

Donald M. Biernacki

(Print or type name of person signing)

Executive Vice President of the Disclosing Party

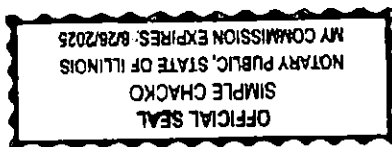
(Print or type title of person signing)

Signed and sworn to before me on (date) 5/16/25.

at Cook County, IL (state).

[Signature]
Notary Public

Commission expires: 8/26/25



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☐ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☐ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☐ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:
Sundance 2, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party: 350 W. Hubbard St., Suite 300
Chicago, IL 60654

C. Telephone: (312) 595-7400 Fax: N/A Email: mhittinger@relatedmidwest.com

D. Name of contact person: Matthew Hittinger

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

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave.)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

☒ Yes ☐ No ☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
Curt R. Bailey	Manager

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
LRD Group LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	7.95%
Sundance 2, LLC	350 W. Hubbard St., STE 300 Chicago, IL 60654	12%
Related LR Development LLC	30 Hudson Yards, 72nd Floor New York, NY 10001	55.05%
The Related Companies, L.P.	30 Hudson Yards, 72nd Floord New York, NY 10001	49.55%

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐ is

☒ is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

☐ Yes ☒ No

☐ Yes ☐ No

∂_{μ}	∂_{μ}

Page 8 of 15

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Sundance 2, LLC

(Print or type exact legal name of Disclosing Party)

By: _____

(Sign here)

Curt R. Bailey

(Print or type name of person signing)

Manager of Disclosing Party

(Print or type title of person signing)

Signed and sworn to before me on (date) 5/16/25,

at Cook County, IL (state).

[Signature]
Notary Public

Commission expires: 8/26/25



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☐ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☐ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☐ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

Related LR Development LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party:

30 Hudson Yards

New York, NY 10001

C. Telephone: 212-421-5333

Fax: 212-801-3781

Email: david.zussman@related.com

D. Name of contact person: David Zussman

E. Federal Employer Identification No. (if you have one): [REDACTED]

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave.)

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

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

Specification # _____ and Contract # _____

SECTION II – DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

☒ Yes

☐ No

☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
Jeff T. Blau	President
Bruce A. Beal Jr.	Vice President
David K. Zussman	Executive Vice President
The Related Companies, L.P.	Member

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
The Related Companies, L.P.	30 Hudson Yards, New York, NY 10001	49.5%

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party? ☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐ is



is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

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

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

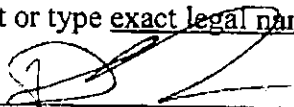
- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

Related LR Development LLC

(Print or type exact legal name of Disclosing Party)

By: 

(Sign here)

David Zussman

(Print or type name of person signing)

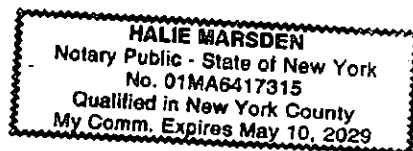
Executive Vice President of Disclosing Party

(Print or type title of person signing)

Signed and sworn to before me on (date) May 16 2025,

at New York County, New York (state).


Notary Public



Commission expires: 5/10/2029

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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☒ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

SECTION I – GENERAL INFORMATION

The Related Companies, L.P.

1. ☐ the Applicant

OR

OR

30 Hudson Yards

New York, NY 10001

D. Name of contact person: David Zussman

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

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1163 S. Kostner Ave. & 4363 W. 5th Ave.)

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

Specification # _____ and Contract # _____

SECTION II – DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

New York

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

☒ Yes

☐ No

☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
The Related Realty Group, Inc. ("RRG")	General Partner
Jeff T. Blau	Chief Executive Officer of RRG
Bruce A. Beal Jr.	President of RRG
David Zussman	CFO EVP & Treasurer of RRG

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
None		

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

(Add sheets if necessary)

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

SECTION V – CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
 - b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
 - d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐ is

☒ is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in MCC Section 2-32-455(b)) is a predatory lender within the meaning of MCC Chapter 2-32, explain here (attach additional pages if necessary):
None

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI – CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

The Related Companies LP
(Print or type exact legal name of Disclosing Party)

By: [Signature]
(Sign here)

David Zussman

(Print or type name of person signing)

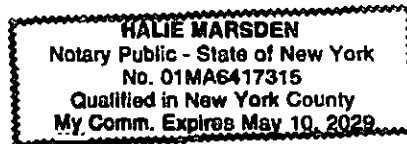
Executive Vice President of the general partner of Disclosing Party

(Print or type title of person signing)

Signed and sworn to before me on (date) May 16, 2025,

at New York County, New York (state).

Halie Marsden
Notary Public



Commission expires: May 10, 2029

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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☒ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

The Related Realty Group, Inc.

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☐ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: _____

OR

3. ☒ a legal entity with a direct or indirect right of control of the Applicant (see Section II(B)(1))

State the legal name of the entity in which the Disclosing Party holds a right of control:

The Related Companies, L.P.

B. Business address of the Disclosing Party:

30 Hudson Yards

New York, NY 10001

C. Telephone: 212-421-5333 Fax: 212-801-3781 Email: david.zussman@related.com

D. Name of contact person: David Zussman

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

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave.)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

☒ Yes

☐ No

☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
Jeff T. Blau	Chief Executive Officer
Bruce A. Beal, Jr.	President
David Zussman	CFO, EVP, Treasurer

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
None		

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐ is

☒ is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

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

N/A

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.

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

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

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

CERTIFICATION

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

The Related Realty Group, Inc.

(Print or type exact legal name of Disclosing Party)

By: [Signature]

(Sign here)

David Zussman

(Print or type name of person signing)

Executive Vice President Disclosing Party

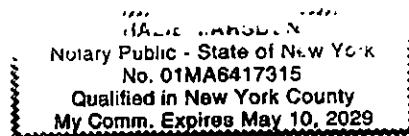
(Print or type title of person signing)

Signed and sworn to before me on (date) May 16 2025,

at New York County, New York (state).

[Signature]
Notary Public

Commission expires: 5/10/2029



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☐ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☐ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☐ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

548 Development LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party: 700 N. Larrabee St., 1301
Chicago, IL 60654

C. Telephone: (812) 841-3139 Fax: Email: ajpatton@548capital.com

D. Name of contact person: Robert "A.J." Patton

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

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave.)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Illinois

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

☐ Yes ☐ No ☒ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
Robert "A.J." Patton	Chief Executive Officer & Owner

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
Robert "A.J." Patton	700 N. Larrabee St., 1301, Chicago, IL 60654	100%

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If "yes" to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party's knowledge after reasonable inquiry, any City elected official's spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago ("MCC")) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

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

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

☐ Yes ☐ No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City's Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

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

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
 - b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
 - d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).
6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.
8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any "controlling person" [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any "sister agency"; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article's permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.
9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management ("SAM").
10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such

contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a "gift" does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with "N/A" or "none"). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

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

☐

is

☒

is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

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

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

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☒ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee

of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If "Yes," answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

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

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.

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

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

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

CERTIFICATION

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

548 Development LLC

(Print or type exact legal name of Disclosing Party)

By: *Robert A. Patton*

(Sign here)

Robert "A.J." Patton

(Print or type name of person signing)

CEO, Owner of Disclosing Party

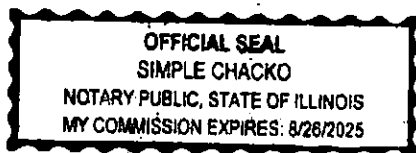
(Print or type title of person signing)

Signed and sworn to before me on (date) 5/16/25,

at Cook County, IL (state).

Shirley Chene
Notary Public

Commission expires: 8/26/2025



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

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

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services); or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☒ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

Roosevelt & Kostner GP, LLC

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant
OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party:

35 E. Wacker Drive, Suite 1300
Chicago, Illinois 60601

C. Telephone: 312-919-4575 Fax: n/a Email: nicholsj@realcrg.com; notice@realcrg.com

D. Name of contact person: Jennifer E. Nichols

E. Federal Employer Identification No. (if you have one): [REDACTED]

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 5b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

☐ Yes ☒ No ☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

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

REEP-IN Cubes Roosevelt LLC, managing member	
--	--

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state ANone.@

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
REEP-IND Cubes Roosevelt LLC	51 Madison Avenue, New York, NY 10010	90%
Roosevelt & Kostner GP, LLC (Disclosing Party)	35 E. Wacker Drive, Suite 1300, Chicago, IL 60601	10%

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If Ayes@ to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party=s knowledge after reasonable inquiry, any City elected official=s spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago (AMCC@)) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (<u>indicate whether paid or estimated.</u>) NOTE: Hourly rate@ or At.b.d.@ is not an acceptable response.
--	------------------	--	--

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

[] Yes [] No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City=s Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;

d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

§ the Disclosing Party;

§ any AContractor@ (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, ADisclosure of Subcontractors and Other Retained Parties@);

§ any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;

§ any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

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

d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any Acontrolling person@ [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any Asister agency@; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article=s permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management (ASAM@).

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired

or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party's knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a Gift@ does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with AN/A@ or Anone@). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)
[] is [X] is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in

MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

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

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes ☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes ☐ No

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

Name	Business Address	Nature of Financial Interest
_____	_____	_____
_____	_____	_____
_____	_____	_____

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay

any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes ☐ No

If AYes, answer the three questions below:

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

☐ Yes ☐ No

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

☐ Yes ☐ No ☐ Reports not required

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

☐ Yes ☐ No

If you checked ANo to question (1) or (2) above, please provide an explanation:

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.

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

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

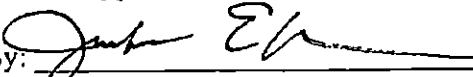
E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must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

CERTIFICATION

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

Roosevelt & Kostner GP, LLC

(Print or type exact legal name of Disclosing Party)

By: 
(Sign here)

Jennifer E. Nichols

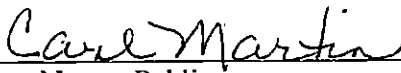
(Print or type name of person signing)

Secretary of Manager of Manager

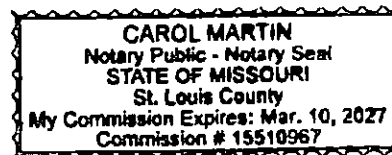
(Print or type title of person signing)

Signed and sworn to before me on (date) 5-14-25,

at St. Louis County, Missouri (state).


Notary Public

Commission expires: 3-10-27



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

Does the Disclosing Party or any AApplicable Party@ or any Spouse or Domestic Partner thereof currently have a Afamilial relationship@ with an elected city official or department head?

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes ☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes ☐ No ☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☐ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

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

REEP-IND Cubes Roosevelt LLC, a Delaware limited liability company

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant

OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party: 51 Madison Avenue
New York, NY 10010

C. Telephone: 646-539-8701 Fax: n/a Email: lillith_e_shilton@newyorklife.com

D. Name of contact person: Lilly Shilton

E. Federal Employer Identification No. (if you have one): [REDACTED]

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

Delaware

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

- ☐ Yes ☒ No ☐ Organized in Illinois

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name	Title
REEP-IN Cubes Roosevelt LLC, managing member [see officers list for officers]	

New York Life Insurance Company

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

EXHIBIT A

SCHEDULE OF OFFICERS FOR REAL ESTATE EQUITY SUBSIDIARIES

Docusign Envelope ID: 688BF43B-A3dE-4BF7-Q2CD-45EF1A0953B9

SCHEDULE OF OFFICERS FOR REAL ESTATE EQUITY SUBSIDIARIES OF NEW YORK LIFE INSURANCE COMPANY

This Schedule of Officers for Real Estate Equity Subsidiaries of NEW YORK LIFE INSURANCE COMPANY is hereby adopted by the undersigned and effective as of April 7, 2025.

Name	Office
Mark W. Talgo	President
Carter Anatole	Vice President
Patrick Andal	Vice President
Ross Berry	Vice President
Lauren Bobben	Vice President
Robert Boyd	Vice President
Daniel Davitt	Vice President
Thomas Delaney	Vice President
Peter Fisco	Vice President
Daniel Gazzola	Vice President
Page Gostling	Vice President
Michael Hamilton	Vice President
Christopher Hunt	Vice President
Thomas Hwang	Vice President
Dennis Morris	Vice President
Brian Murphy	Vice President
Paul Nigido	Vice President, Controller
Thomas O'Hanlon	Vice President
James Nearon	Vice President
Tom Paulsen	Vice President
Erik M. Pentland	Vice President
Jeffrey J. Perpich	Vice President
Albert Pura	Vice President
Megan Quann	Vice President
Steve Repertinger	Vice President
Alan Rubenstein	Vice President
Brian Seaman	Vice President
Kevin M. Smith	Vice President
Joseph Thomas	Vice President
Nikki Tran	Vice President
Jesse Velten	Vice President
Amanda Voetsch	Vice President
Crystal Wilson	Vice President
David Chan	Secretary
George Espinal	Assistant Secretary
Lilith Shulton	Assistant Secretary

The foregoing list of officers supersedes any and all Schedules of Officers for Real Estate Equity Subsidiaries of New York Life Insurance Company previously adopted by the undersigned. Furthermore, any and all authority granted to persons who may have been elected previously or otherwise identified on any prior Schedule of Officers for Real Estate Equity Subsidiaries of New York Life Insurance Company and who are not named in the above list of officers is hereby revoked.

NEW YORK LIFE INSURANCE COMPANY,
as sole member

By: Brian Seaman
Name: Brian Seaman
Title: Vice President

700875, V1538963 V1

limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state ANone.@

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
REEP-IND Cubes Roosevelt LLC,	51 Madison Avenue, New York, NY 10010	90% (direct)
Roosevelt & Kostner GP, LLC	35 E. Wacker Drive, Suite 1300, Chicago, IL 60601	10% (direct)
New York Life Insurance Company,	51 Madison Avenue, New York, NY 10010	90% (indirect)

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If Ayes@ to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party=s knowledge after reasonable inquiry, any City elected official=s spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago (AMCC@)) in the Disclosing Party? ☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated.) NOTE: A hourly rate@ or At.b.d.@ is not an acceptable response.
None			

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

[] Yes [] No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City=s Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;

b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;

c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;

d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and

e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

§ the Disclosing Party;

§ any AContractor@ (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, ADisclosure of Subcontractors and Other Retained Parties@);

§ any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;

§ any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any Acontrolling person@ [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any Asister agency@; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article=s permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S! EPA on the federal System for Award Management (ASAM@).

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired

or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party=s knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a Agift@ does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with AN/A@ or Anone@). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)
[] is [X] is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in

MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

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

None

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name

Business Address

Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

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

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay

any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If AYes,@ answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

If you checked ANo@ to question (1) or (2) above, please provide an explanation:

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.
- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other City transactions. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided in, and appended to, this EDS may be made publicly available on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- E. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires. **NOTE:** With respect to Matters subject to MCC Chapter 1-23, Article I (imposing **PERMANENT INELIGIBILITY** for certain specified offenses), the information provided herein regarding eligibility must be kept current for a longer period, as required by MCC Chapter 1-23 and Section 2-154-020.

CERTIFICATION

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

REEP-IND Cubes Roosevelt LLC

(Print or type exact legal name of Disclosing Party)

By: B. Murphy
(Sign here)

Brian Murphy

(Print or type name of person signing)

Vice President

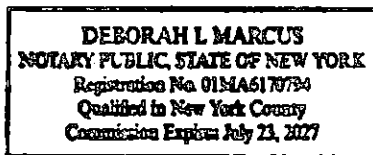
(Print or type title of person signing)

Signed and sworn to before me on (date) May 14, 2025,

at New York County, New York (state).

Deborah L. Marcus
Notary Public

Commission expires: _____



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

Does the Disclosing Party or any AApplicable Party@ or any Spouse or Domestic Partner thereof currently have a Afamilial relationship@ with an elected city official or department head?

[] Yes

[X] No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes

☐ No

☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☐ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

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

SECTION I -- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting this EDS. Include d/b/a/ if applicable:
New York Life Insurance Company, a New York mutual insurance company

Check ONE of the following three boxes:

Indicate whether the Disclosing Party submitting this EDS is:

1. ☐ the Applicant
OR

2. ☒ a legal entity currently holding, or anticipated to hold within six months after City action on the contract, transaction or other undertaking to which this EDS pertains (referred to below as the "Matter"), a direct or indirect interest in excess of 7.5% in the Applicant. State the Applicant's legal name: 4300 Roosevelt LLC

OR

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

B. Business address of the Disclosing Party: 51 Madison Avenue
New York, NY 10010

C. Telephone: 646-539-8701 Fax: n/a Email: lilly_e_shilton@newyorklife.com

D. Name of contact person: Lilly Shilton

E. Federal Employer Identification No. (if you have one): [REDACTED]

F. Brief description of the Matter to which this EDS pertains. (Include project number and location of property, if applicable):

Applying for class 6b (applicable to the following project addresses: 4304 & 4356 W. Roosevelt Rd., 1153 S. Kostner Ave. & 4363 W. 5th Ave)

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

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

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

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

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

New York

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

☐ Yes ☐ No ☒ N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1. List below the full names and titles, if applicable, of: (i) all executive officers and all directors of the entity; (ii) **for not-for-profit corporations**, all members, if any, which are legal entities (if there are no such members, write "no members which are legal entities"); (iii) **for trusts, estates or other similar entities**, the trustee, executor, administrator, or similarly situated party; (iv) **for general or limited partnerships, limited liability companies, limited liability partnerships or joint ventures**, each general partner, managing member, manager or any other person or legal entity that directly or indirectly controls the day-to-day management of the Applicant.

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

Name

Title

See attached officers list

2. Please provide the following information concerning each person or legal entity having a direct or indirect, current or prospective (i.e. within 6 months after City action) beneficial interest (including ownership) in excess of 7.5% of the Applicant. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a

New York Life Insurance Company – Executive Officers List

Craig L. DeSanto

Chair, President & CEO

Aaron C. Ball

Executive Vice President and Head of the Foundational Business

Alexander I. Cook

Senior Vice President and Head of Strategic Capabilities

Eric A. Feldstein

Executive Vice President and Chief Financial Officer

Alain M. Karaoglan

Executive Vice President and Head of the Strategic Businesses

Anthony R. Malloy

Executive Vice President and Chief Investment Officer

Mike McDonnell

Senior Vice President and General Counsel

Amy Miller

Senior Vice President, Deputy General Counsel and Secretary

Joanne H. Rodgers

Senior Vice President and Chief Human Resources Officer

Sonali Virendra

Senior Vice President and Head of Agency

Ralph de la Vega

Elected a director in 2009, is chairman of the De la Vega Group LLC, and was the vice chairman of AT&T Inc. and chief executive of AT&T Business Solutions and AT&T International LLC. Mr. de la Vega is a member of the Governance Committee and the Insurance & Operations Committee.

Barbara G. Novick

Elected a director in 2021, is a co-founder and former vice chairman of BlackRock. Ms. Novick serves as the chair of the Investment Committee and is a member of the Insurance & Operations Committee.

Craig L. DeSanto

Elected a director in 2021, is New York Life's Chair, President & CEO.

Robert B. Carter

Elected a director in 2016, was chief information officer of FedEx Corporation, executive vice president of FedEx Information Services, and co-chief executive of FedEx Services. Mr. Carter is a member of the Audit Committee, the Insurance & Operations Committee and the Talent, Diversity & Compensation Committee.

Robert F. Friel

Elected a director in 2019, was the chairman & chief executive of PerkinElmer Inc. Mr. Friel serves as chair of the Governance Committee and is a member of the Audit Committee and the Talent, Diversity & Compensation Committee.

Claire L. Babineaux-Fontenot

Elected a director in 2021, is chief executive of Feeding America. Ms. Babineaux-Fontenot is a member of the Audit Committee, the Governance Committee and the Investment Committee.

Thomas C. Schievelbein

Elected a director in 2006, was the chairman, president, and chief executive of the Brink's Company and was also the president of Northrop Grumman Newport News. Mr. Schievelbein serves as lead director and is a member of the Governance Committee, the Investment Committee and the Talent, Diversity & Compensation Committee.

Donna H. Kinnaird

Elected a director in 2017, was the chief operating officer and senior executive vice president of

Reinsurance Group of America Inc. Ms. Kinnaird serves as chair of the Audit Committee and is a member of the Insurance & Operations Committee and the Investment Committee.

Paula A. Steiner

Elected a director in 2021, was the chief executive of Health Care Service Corporation. Ms. Steiner serves as chair of the Insurance & Operations Committee and is a member of the Governance Committee and the Talent, Diversity & Compensation Committee.

Mark L. Feidler

Elected a director in 2006, is a founding partner of MSouth Equity Partners and was the president, chief operating officer, and a director of BellSouth Corporation. Mr. Feidler serves as chair of the Talent, Diversity & Compensation Committee and is a member of the Governance Committee and the Investment Committee.

Christopher D. Kastner

Elected a director in 2025, is president and chief executive officer of Huntington Ingalls Industries, Inc. Mr. Kastner is a member of the Audit Committee and the Investment Committee.

NEW YORK LIFE INSURANCE COMPANY

ASSISTANT SECRETARY'S CERTIFICATE

I, Colleen A. Meade, do hereby certify as follows:

1. I am a duly elected Associate General Counsel and Assistant Secretary of New York Life Insurance Company, a New York mutual life insurance company (the "Company"), and I am authorized to make and deliver this Certificate and to affix the Company's seal hereto; and,
2. The following person is the duly appointed and qualified incumbent of the office of the Company set forth opposite his name and is empowered and authorized to execute documents on behalf of the Company in the normal course of his duties:

Name

Title

Brian Seaman

Vice President

IN WITNESS WHEREOF, I have hereunto affixed the seal of the Company and set my hand this 21st day of May 2025.



Colleen A. Meade

Associate General Counsel & Assistant Secretary



limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state ANone.©

NOTE: Each legal entity listed below may be required to submit an EDS on its own behalf.

Name	Business Address	Percentage Interest in the Applicant
REEP-IND Cubes Roosevelt LLC,	51 Madison Avenue, New York, NY 10010	90% (direct)
Roosevelt & Kostner GP, LLC	35 E. Wacker Drive, Suite 1300, Chicago, IL 60601	10% (direct)
New York Life Insurance Company,	51 Madison Avenue, New York, NY 10010	90% (indirect)

SECTION III -- INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

Has the Disclosing Party provided any income or compensation to any City elected official during the 12-month period preceding the date of this EDS? ☐ Yes ☒ No

Does the Disclosing Party reasonably expect to provide any income or compensation to any City elected official during the 12-month period following the date of this EDS? ☐ Yes ☒ No

If Ayes© to either of the above, please identify below the name(s) of such City elected official(s) and describe such income or compensation:

Does any City elected official or, to the best of the Disclosing Party=s knowledge after reasonable inquiry, any City elected official=s spouse or domestic partner, have a financial interest (as defined in Chapter 2-156 of the Municipal Code of Chicago (AMCC©)) in the Disclosing Party?

☐ Yes ☒ No

If "yes," please identify below the name(s) of such City elected official(s) and/or spouse(s)/domestic partner(s) and describe the financial interest(s).

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist (as defined in MCC Chapter 2-156), accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll. If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (<u>indicate whether paid or estimated.</u>) NOTE: Hourly rate@ or At.b.d.@ is not an acceptable response.
None			

(Add sheets if necessary)

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

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

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

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

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

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

[] Yes [] No

B. FURTHER CERTIFICATIONS

1. [This paragraph 1 applies only if the Matter is a contract being handled by the City=s Department of Procurement Services.] In the 5-year period preceding the date of this EDS, neither the Disclosing Party nor any Affiliated Entity [see definition in (5) below] has engaged, in connection with the performance of any public contract, the services of an integrity monitor, independent private sector inspector general, or integrity compliance consultant (i.e., an individual or entity with legal, auditing, investigative, or other similar skills, designated by a public agency to help the agency monitor the activity of specified agency vendors as well as help the vendors reform their business practices so they can be considered for agency contracts in the future, or continue with a contract in progress).

2. The Disclosing Party and its Affiliated Entities are not delinquent in the payment of any fine, fee, tax or other source of indebtedness owed to the City of Chicago, including, but not limited to, water and sewer charges, license fees, parking tickets, property taxes and sales taxes, nor is the Disclosing Party delinquent in the payment of any tax administered by the Illinois Department of Revenue.

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

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, during the 5 years before the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for, or criminally or civilly charged by, a governmental entity (federal, state or local) with committing any of the offenses set forth in subparagraph (b) above;
- d. have not, during the 5 years before the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, during the 5 years before the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

4. The Disclosing Party understands and shall comply with the applicable requirements of MCC Chapters 2-56 (Inspector General) and 2-156 (Governmental Ethics).

5. Certifications (5), (6) and (7) concern:

§ the Disclosing Party;

§ any AContractor@ (meaning any contractor or subcontractor used by the Disclosing Party in connection with the Matter, including but not limited to all persons or legal entities disclosed under Section IV, ADisclosure of Subcontractors and Other Retained Parties@);

§ any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity). Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity. With respect to Contractors, the term Affiliated Entity means a person or entity that directly or indirectly controls the Contractor, is controlled by it, or, with the Contractor, is under common control of another person or entity;

§ any responsible official of the Disclosing Party, any Contractor or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Contractor or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Contractor or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Contractor, nor any Affiliated Entity of either the Disclosing Party or any Contractor, nor any Agents have, during the 5 years before the date of this EDS, or, with respect to a Contractor, an Affiliated Entity, or an Affiliated Entity of a Contractor during the 5 years before the date of such Contractor's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in subparagraph (a) or (b) above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions referenced in MCC Subsection 2-92-320(a)(4)(Contracts Requiring a Base Wage); (a)(5)(Debarment Regulations); or (a)(6)(Minimum Wage Ordinance).

6. Neither the Disclosing Party, nor any Affiliated Entity or Contractor, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

7. Neither the Disclosing Party nor any Affiliated Entity is listed on a Sanctions List maintained by the United States Department of Commerce, State, or Treasury, or any successor federal agency.

8. [FOR APPLICANT ONLY] (i) Neither the Applicant nor any Acontrolling person@ [see MCC Chapter 1-23, Article I for applicability and defined terms] of the Applicant is currently indicted or charged with, or has admitted guilt of, or has ever been convicted of, or placed under supervision for, any criminal offense involving actual, attempted, or conspiracy to commit bribery, theft, fraud, forgery, perjury, dishonesty or deceit against an officer or employee of the City or any Asister agency@; and (ii) the Applicant understands and acknowledges that compliance with Article I is a continuing requirement for doing business with the City. NOTE: If MCC Chapter 1-23, Article I applies to the Applicant, that Article=s permanent compliance timeframe supersedes 5-year compliance timeframes in this Section V.

9. [FOR APPLICANT ONLY] The Applicant and its Affiliated Entities will not use, nor permit their subcontractors to use, any facility listed as having an active exclusion by the U.S. EPA on the federal System for Award Management (ASAM@).

10. [FOR APPLICANT ONLY] The Applicant will obtain from any contractors/subcontractors hired

or to be hired in connection with the Matter certifications equal in form and substance to those in Certifications (2) and (9) above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Applicant has reason to believe has not provided or cannot provide truthful certifications.

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

None

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

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

None

13. To the best of the Disclosing Party=s knowledge after reasonable inquiry, the following is a complete list of all gifts that the Disclosing Party has given or caused to be given, at any time during the 12-month period preceding the execution date of this EDS, to an employee, or elected or appointed official, of the City of Chicago. For purposes of this statement, a Agift@ does not include: (i) anything made generally available to City employees or to the general public, or (ii) food or drink provided in the course of official City business and having a retail value of less than \$25 per recipient, or (iii) a political contribution otherwise duly reported as required by law (if none, indicate with AN/A@ or Anone@). As to any gift listed below, please also list the name of the City recipient.

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

1. The Disclosing Party certifies that the Disclosing Party (check one)
[] is [X] is not

a "financial institution" as defined in MCC Section 2-32-455(b).

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

"We are not and will not become a predatory lender as defined in MCC Chapter 2-32. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in

MCC Chapter 2-32. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

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

None

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

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party=s knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

☐ Yes

☒ No

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

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

Does the Matter involve a City Property Sale?

☐ Yes

☐ No

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

Name	Business Address	Nature of Financial Interest

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

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

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

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

 X 2. The Disclosing Party verifies that, as a result of conducting the search in step (1) above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing Party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records:
See Exhibit E2

SECTION VI -- CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

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

A. CERTIFICATION REGARDING LOBBYING

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

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

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay

any person or entity listed in paragraph A(1) above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

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

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities," as that term is defined in the Lobbying Disclosure Act of 1995, as amended.

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

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

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

Is the Disclosing Party the Applicant?

☐ Yes

☐ No

If AYes, answer the three questions below:

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

☐ Yes

☐ No

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

☐ Yes

☐ No

☐ Reports not required

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

☐ Yes

☐ No

If you checked ANo to question (1) or (2) above, please provide an explanation:

SECTION VII -- FURTHER ACKNOWLEDGMENTS AND CERTIFICATION

The Disclosing Party understands and agrees that:

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

B. The City's Governmental Ethics Ordinance, MCC Chapter 2-156, imposes certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of this ordinance and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with this ordinance.

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

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

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

CERTIFICATION

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

New York Life Insurance Company

(Print or type exact legal name of Disclosing Party)

By: Brian Seaman
(Sign here)

Brian Seaman

(Print or type name of person signing)

Vice President

(Print or type title of person signing)

Signed and sworn to before me on (date) _____,

at _____ County, _____ (state).

See attached
Notary Public

Commission expires: _____

ACKNOWLEDGMENT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

County of San Francisco

On May 21, 2025 before me, Joan Atkinson, Notary Public
(insert name and title of the officer)

personally appeared Brian Seaman
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature



(Seal)



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

**FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS
AND DEPARTMENT HEADS**

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

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

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

Does the Disclosing Party or any AApplicable Party@ or any Spouse or Domestic Partner thereof currently have a Afamilial relationship@ with an elected city official or department head?

☐ Yes

☒ No

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

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

BUILDING CODE SCOFFLAW/PROBLEM LANDLORD CERTIFICATION

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

1. Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes ☒ No

2. If the Applicant is a legal entity publicly traded on any exchange, is any officer or director of the Applicant identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416?

☐ Yes ☐ No ☒ The Applicant is not publicly traded on any exchange.

3. If yes to (1) or (2) above, please identify below the name of each person or legal entity identified as a building code scofflaw or problem landlord and the address of each building or buildings to which the pertinent code violations apply.

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

PROHIBITION ON WAGE & SALARY HISTORY SCREENING - CERTIFICATION

This Appendix is to be completed only by an Applicant that is completing this EDS as a “contractor” as defined in MCC Section 2-92-385. That section, which should be consulted (www.amlegal.com), generally covers a party to any agreement pursuant to which they: (i) receive City of Chicago funds in consideration for services, work or goods provided (including for legal or other professional services), or (ii) pay the City money for a license, grant or concession allowing them to conduct a business on City premises.

On behalf of an Applicant that is a contractor pursuant to MCC Section 2-92-385, I hereby certify that the Applicant is in compliance with MCC Section 2-92-385(b)(1) and (2), which prohibit: (i) screening job applicants based on their wage or salary history, or (ii) seeking job applicants’ wage or salary history from current or former employers. I also certify that the Applicant has adopted a policy that includes those prohibitions.

☐ Yes

☐ No

☐ N/A – I am not an Applicant that is a “contractor” as defined in MCC Section 2-92-385.

This certification shall serve as the affidavit required by MCC Section 2-92-385(c)(1).

If you checked “no” to the above, please explain.

Exhibit E-2

New York Life Insurance Company's predecessor, Nautilus Insurance Company, began writing life

insurance policies in 1845 and sold slaveholder life insurance policies for approximately two years in the 1840's until the Trustees voted to end the sale of such policies in 1848. Pursuant to Public Act 93-0333, New York Life provided a list of the names of slaves and slaveholders to Illinois Insurance Department In 2004.

New York Life abhors the practice of slavery and profoundly regrets that its predecessor was associated in any way with that contemptible practice for even a brief period of time.

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Caroline Richards	Mobile, AL	Pol. #: 1006	Jacob	Mobile, AL	Steam boat hand
Catharine Harper	Lexington, KY	Pol. #: 646	William	Lexington, KY	Cook on steamboat KY to LA
Catharine Harper	Lexington, KY	Pol. #: 647	George Blackston	Lexington, KY	Waiter on Louisville steamboat
Catherine Robeson	Wilmington, NC	Pol. #: 1629	William	Wilmington, NC	Turpentine distiller
Charles Coelgren	Charleston, SC	Pol. #: 353 (976)	Sarah	Charleston, SC	**
Charles Hubert	Charleston, SC	Pol. #: 613 (1314)	Anthony	Charleston, SC	House servant
Charles Hubert	Charleston, SC	Pol. #: 615 (1316)	Bella	Charleston, SC	House servant
Charles Hubert	Charleston, SC	Pol. #: 614 (1315)	Daniel	Charleston, SC	House servant
Charles Hubert	Charleston, SC	Pol. #: 612 (1313)	Chloe	Charleston, SC	House servant
Charles Mills	Richmond, VA	Pol. #: 449	Nelson Fuley	Chesterfield County, VA	Miner
Charles Platt	Augusta, GA	Pol. #: 1125 (1913)	William	Augusta, GA	In furniture store
Charles Platt	Augusta, GA	Pol. #: 1124	Camille	Augusta, GA	Seamstress
Charles Platt	Augusta, GA	Pol. #: 1123	James	Augusta, GA	House servant
Charles Platt	Augusta, GA	Pol. #: 1350	Cecilia	Augusta, GA	Servant
Charles Walker	Edgefield, SC	Pol. #: 313	Romero	Edgefield County, SC	rice field hand
Charles Walker	Edgefield, SC	Pol. #: 312	Daniel	Edgefield County, SC	rice field
Chesterfield Mining Co., William Benton as Agent	Black Heath Chesterfield, VA	Pol. #: 311	Daniel Hall	Chesterfield County, VA	Miner
Chesterfield Mining Co., William Benton as Agent	Black Heath Chesterfield, VA	Pol. #: 312	Bartlett	Chesterfield County, VA	Miner
Chesterfield Mining Co., William Benton as Agent	Black Heath Chesterfield, VA	Pol. #: 313	Charles Hall	Chesterfield County, VA	Miner
CS Ricks	Natchez, MS	Pol. #: 1885	Anthony	Natchez, MS	saw mill handling lumber

**information unknown

Page 4 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
CW Bradley	Wilmington, NC	Pol. #: 1317	Murray	Wilmington, NC	Saw mill, turpentine distillery
Daniel Fleeming	Wilmington, NC	Pol. #: 1259	Toney	Wilmington, NC	Turpentine Farm
Daniel Fleeming	Wilmington, NC	Pol. #: 1260	Abram	Wilmington, NC	Employed on a Turpentine Farm
Daniel Fleeming	Wilmington, NC	Pol. #: 1258	Stephen	Wilmington, NC	Laborer at a Turpentine farm
Daniel Fleeming	Wilmington, NC	Pol. #: 1257	Simon	Wilmington, NC	Laborer on a turpentine farm
Daniel Fleeming	Wilmington, NC	Pol. #: 530 (1424)	David Cutler	Wilmington, NC	Carpenter
Daniel Fleeming	Wilmington, NC	Pol. #: 1425	Rachel	Wilmington, NC	**
Daniel Graves	Charleston, SC	Pol. #: 549	Jack	Wachville Point, SC	Carpenter
Daniel Graves	Charleston, SC	Pol. #: 531	Joe	Charleston, SC	Cigar maker
Daniel Wooldridge	Chesterfield County, VA	Pol. #: 893	Henry	Chesterfield County, VA	Miner
Daniel Wooldridge	Chesterfield County, VA	Pol. #: 894	David	Clover Hill, VA	Miner in the pits - Kriese
Daniel Wooldridge	Chesterfield County, VA	Pol. #: 892	Congo	Clover Hill, VA	Miner at the Coal Mines
David Jowell Jr.	Louisville, KY	Pol. #: 1174	Isaac	Louisville, KY	Steam Boat Chancellor
David Moody	Chesterfield County, VA	Pol. #: 248 (919)	Phill Moody	**, **	**
David Moody	Chesterfield County, VA	Pol. #: 549 (921)	Henry Moody	**, **	**
David Roy	Fayetteville, NC	Pol. #: 1777	Harry	Fayetteville, NC	Blacksmith
David Van Meter	Mead County, KY	Pol. #: 1615	Cato	Mead County, KY	Fireman
David Victor	Louisville, KY	Pol. #: 1715 Date of Death 06/27/48	Isbana	Louisville, KY	Hand on a steam boat
DD Freeman	Franklin County, KY	Pol. #: 1656	Dick	Franklin County, KY	Farmer
De Loache & Wilkerson	Macon, GA	Pol. #: 1066	Dick	Macon, GA	Coch maker
De Loache & Wilkerson	Macon, GA	Pol. #: 1202	Sandford	Macon, GA	Apprentice to smith

** information unknown

Page 5 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
ED Sayre	Louisville, KY	Pol. #: 373	Eurias	Louisville, KY	Running on the river
EC Bradley	Wilmington, NC	Pol. #: 1866	Sam	Savannah, GA	Laborer
EC Bradley	Wilmington, NC	Pol. #: 1365	Jacob	Savannah, GA	Laborer
Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA	Pol. #: 1101	Henry Lockett	Chesterfield County, VA	Miner at the Mid Lothian
Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA	Pol. #: 1099	Jim Lockett	Chesterfield County, VA	Miner at Coal
Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA	Pol. #: 1100	Ned Lockett	Chesterfield County, VA	Miner at coal mines
Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA	Pol. #: 1102	Jordan Lockett	Chesterfield County, VA	Miner
Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA	Pol. #: 1098	Joe Lockett	Chesterfield County, VA	Mid Mines - Chesterfield
Edward McBride	Henderson County, KY	Pol. #: 1532	Lymas	Henderson County, KY	Fireman
Elias Burnette	Albemarle County, VA	Pol. #: 1217	Dabney Burnette	Chesterfield County, VA	Mid Lothian mines
Elizabeth Poyas	Charleston, SC	Pol. #: 335 (975)	Julius	Charleston, SC	**
Ellie Roy; John W. Roy, agent	Louisville, KY	Pol. #: 1766	Daniel	Louisville, KY	Fireman
EN Hill	Wilmington, NC	Pol. #: 746 (1546)	Betsy	Wilmington, NC	House Servant
EN Hill	Wilmington, NC	Pol. #: 765 (1547)	Harriet	Wilmington, NC	Cook
EN Hill	Wilmington, NC	Pol. #: 745 (1545)	John	Wilmington, NC	Waiter on board U.S.M.S.
FA Clarke	Chesterfield County, VA	Pol. #: 228 Date of Death 08/28/46	Philip Swann	Chesterfield County, VA	Miner
Frederick Stewart	Mobile, AL	Pol. #: 1774	Mary Ann	Mobile, AL	House servant
Frederick Stewart	Mobile, AL	Pol. #: 1773	Jerry	Mobile, AL	House servant
Frederick Swann	Chatham County, NC	Pol. #: 205	Joe	Wilmington, NC	Common laborer
Frederick Swann	Chatham County, NC	Pol. #: 206	Mary	Wilmington, NC	**
Frederick Swann	Chatham County, NC	Pol. #: 204	Kelly	Wilmington, NC	**

** information unknown

Page 6 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Frederick Swann	Chatham County, NC	Pol. #: 207	Sam	Wilmington, NC	Common Laborer
Frederick Swann	Chatham County, NC	Pol. #: 332	William	Brunswick County, NC	Laborer
G Walker	Hamburg, GA	Pol. #: 1349	Robert	Hamburg, GA	No particular occupation
Gabriel Jones	Louisville, KY	Pol. #: 1120	Willaby	Louisville, KY	Boatman steam boat
Garland Good	Mobile, AL	Pol. #: 980	Adam	Mobile, AL	Steam boat hand
George Adams	Savannah, GA	Pol. #: 590	Sarah	Savannah, GA	House servant
George Garmany	Hamburg, GA	Pol. #: 583	Jac	**, **	The Parrott Plantation
George Green	Frankfort, KY	Pol. #: 944 (1753)	Reuben Rucker	Owsley County, KY	Coal miner
George Green	Frankfort, KY	Pol. #: 943 (1754)	William Johnson	Owsley County, KY	Miner
George Green	Frankfort, KY	Pol. #: 947	James Willis	Owsley County, KY	Miner
George Green	Frankfort, KY	Pol. #: 946	Edmund Chapman	Owsley County, KY	Miner
George Koontz	Natchez, MS	Pol. #: 1129	Burrell	Natchez, MS	House servant
George Koontz	Natchez, MS	Pol. #: 1130	Elizabeth	Natchez, MS	House servant
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1244	Frank	Mobile, AL	Brick maker & laborer
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1246	Hackey	Mobile, AL	Brick maker & laborer
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1248	Ben	Mobile, AL	Laborer
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1247	Robin	Mobile, AL	carpenter
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1243	Robert	Mobile, AL	House servant
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1242	John	Mobile, AL	Laborer
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1261	Barbary	Mobile, AL	Carpenter
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1262	Sylvester	Mobile, AL	Female Slave
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1245	Fanny	Mobile, AL	Washer & ironer
George Owen; R. Hamilton admin	Mobile, AL	Pol. #: 1241	Isabel	Mobile, AL	Washer & ironer

** information unknown.

Page 7 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
George Stanwood	Natchez, MS	Pol. #: \$23 (1664)	Matuel	Natchez, MS	**
George Stanwood	Natchez, MS	Pol. #: \$24 (1665)	Sarah	Natchez, MS	**
George Summers	Augusta, GA	Pol. #: 622 (1401)	Elliot	Augusta, GA	Gunsmith
George Zummer	Louisville, KY	Pol. #: 1723	Nicholas	Louisville, KY	Cabin boy
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Ron	Charleston, SC	House servant
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Tartan	Charleston, SC	Carpenter
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Sam	Augusta, GA	Carriage painter
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Phyllis	Charleston, SC	House servant
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Apollo	Charleston, SC	Laborer
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Adelanti	Charleston, SC	Mantua maker
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Sam	Charleston, SC	Laborer
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Aliek	Savannah, GA	Waiter
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Jack	Augusta, GA	Wheelwright
Georgia Insurance & Trust Company re Insurance	Augusta, GA	Pol. #: 268	Letitia	Charleston, SC	House servant
H. Emerson	Natchez, MS	Pol. #: \$22	Jesse Davis	Natchez, MS	Barber
Wiley Cole	Chesterfield County, VA	Pol. #: 343 (996)	Lewis	Chesterfield County, VA	Miner
Hansford Rouse	Henderson County, KY	Pol. #: 1531 Date of Death 09/20/43	Jim	Henderson County, KY	Fireman
Harriet Sanders	Shelby County, KY	Pol. #: 1022	Basil	**	agriculturalist
Harriet Sanders	Shelby County, KY	Pol. #: 1021	Jim	Louisville, KY	logging factory
Harriet Saunders	Louisville, KY	Pol. #: 360	Jim	Louisville, KY	Manufacturer

** information unknown

Page 8 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Harriet Saunders	Louisville, KY.	Pol. #: 379	Basil	Louisville, KY	Manufacturer
Haviland, Risley & Co.	Augusta, GA	Pol. #: 1142	Jack	Augusta, GA	Hand on a steam boat
Henry Phillips	Jefferson County, KY	Pol. #: 986	Alfred	**, **	**
Henry Phillips	Jefferson County, KY	Pol. #: 984	Charles	**, **	Farmer-New M. Co.
Henry Phillips	Jefferson County, KY	Pol. #: 983	Sally	Jefferson County, KY	House servant on farm at New M.
Henry Phillips	Jefferson County, KY	Pol. #: 983	Edward	**, **	Farmer-New M. Co.
Henry Phillips	Jefferson County, KY	Pol. #: 987	Ben	**, **	S.B. Uncle Sam / farming
Henry Secced	Franklin County, KY	Pol. #: 1692	Stephen	Franklin County, KY	Fireman
Higginson Hancock	Chesterfield County, VA	Pol. #: 826	Ben Jones	Chesterfield County, VA	Carpenter
Higginson Hancock	Chesterfield County, VA	Pol. #: 974	Hewlett	Chesterfield County, VA	Miner at Mid. Lothian
Higginson Hancock	Chesterfield County, VA	Pol. #: 333	Tom Pollard	Chesterfield County, VA	Miner
Higginson Hancock	Chesterfield County, VA	Pol. #: 333	Pleasant	Chesterfield County, VA	Blacksmith
Hubbard Taylor, George W. Wicks for	**, **	Pol. #: 1671	Jerry	Louisville, KY	Cabin boy
Ignatius Reynolds	Charleston, SC	Pol. #: 1682	Theorsten	Charleston, SC	**
Ignatius Reynolds	Charleston, SC	Pol. #: 1683	John	Charleston, SC	**
IS Winter	Montgomery, AL	Pol. #: 1825	George	Montgomery, AL	Carpenter
IS Winter	Montgomery, AL	Pol. #: 1822	Bob	Montgomery, AL	House servant
IS Winter	Montgomery, AL	Pol. #: 1824	Henry	Montgomery, AL	Laborer
IS Winter	Montgomery, AL	Pol. #: 1819	Hampton	Montgomery, AL	Carpenter
IS Winter	Montgomery, AL	Pol. #: 1823	Nassau	Montgomery, AL	Carpenter
IS Winter	Montgomery, AL	Pol. #: 1826	Jenkins	Montgomery, AL	Carpenter
IS Winter	Montgomery, AL	Pol. #: 1828	Richard	Montgomery, AL	General servant
IS Winter	Montgomery, AL	Pol. #: 1818	Dick	Montgomery, AL	Carpenter

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
IS Winter	Montgomery, AL	Pol. #: 1317	March	Montgomery, AL	Carpenter
IS Winter	Montgomery, AL	Pol. #: 1321	Luan	Montgomery, AL	smith
IS Winter	Montgomery, AL	Pol. #: 1330	Abraham	Montgomery, AL	Carpenter
IS Winter	Montgomery, AL	Pol. #: 1320	William	Montgomery, AL	Laborer
IS Winter	Montgomery, AL	Pol. #: 1329	Les	Montgomery, AL	Laborer
IS Winter	Montgomery, AL	Pol. #: 1331	Charstepe	Montgomery, AL	Carpenter
IS Winter	Charleston, SC	Pol. #: 3:593	Jim	Charleston, SC	House servant
IS Winter	Montgomery, MS	Pol. #: 1276	Henry	Montgomery, MS	Montgomery Saw Mill
IS Winter	Montgomery, MS	Pol. #: 1277	John	Montgomery, MS	Montgomery saw mill
IS Winter	Montgomery, MS	Pol. #: 1272	Tom	Montgomery, MS	Montgomery saw mill
IS Winter	Montgomery, MS	Pol. #: 1275	Stephen	Montgomery, MS	Montgomery saw mill
IS Winter	Montgomery, MS	Pol. #: 1273	Dennis	Montgomery, MS	Montgomery saw mill
IS Winter	Montgomery, MS	Pol. #: 1274	Bill	Montgomery, MS	Montgomery saw mill
IS Winter	Augusta, GA	Pol. #: 261	Richard or Dick	Augusta, GA	**
IS Winter	Sturtevant, Georgia, Scott C, KY	Pol. #: 1253	John	Scott County, KY	Butcher
IS Winter	Whitington, NC	Pol. #: 1779	Caroline	Whitington, NC	**
IS Winter	Whitington, NC	Pol. #: 538	Mabel	Whitington, NC	House servant
IS Winter	King & Queens County, VA	Pol. #: 999	John Gwyn	King & Queens County, VA	Farmer on plantation
IS Winter	King & Queens County, VA	Pol. #: 993	Lewis Gwyn	King & Queens County, VA	farm hand
IS Winter	King & Queens County, VA	Pol. #: 997	Edward Gwyn	King & Queens County, VA	farm labor
IS Winter	Henderson County, KY	Pol. #: 1553	Paris	Henderson County, KY	Fireman

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
James McDowell	Louisville, KY	Pol. #: 1686	Henry Clay	Louisville, KY	Steam boat hand
James Millman	Wilmington, NC	Pol. #: 374	Washington	Wilmington, NC	Apprentice to a mason
James Millman	Wilmington, NC	Pol. #: 375	Woodley	Wilmington, NC	Apprentice to a mason
James Moody	Chesterfield County, VA	Pol. #: 271 (922)	Harry Montague	Chesterfield County, VA	Miner
James Moody	Chesterfield County, VA	Pol. #: 270 (920)	Sam Jones	Chesterfield County, VA	Miner
James Moody	Chesterfield County, VA	Pol. #: 272 (923)	Joe Moody	**	Miner
James Moody	Chesterfield County, VA	Pol. #: 925	Robert Moody	Clover Hill, VA	Miner at coal pits
James Porter	Richmond, VA	Pol. #: 1226	Frank Porter	Chesterfield County, VA	Clover Hill Pits
James Porter	Richmond, VA	Pol. #: 1227	Henry Porter	Chesterfield County, VA	Clover Hill Pits
James Rogers	Owensboro, KY	Pol. #: 981	Ellis	Owensboro, KY	In mill
James Shepherd	Mobile, AL	Pol. #: 763	Joe	Mobile, AL	On steam boat on river
Jefferson Cosby	Chesterfield County, VA	Pol. #: 898 Dead-Loss pd Oct 47	Isaac	Clover Hill, VA	Miner at the pits
Jefferson Hancock	Chesterfield County, VA	Pol. #: 834	Dick Giles	Chesterfield County, VA	Chesterfield & Clover Hill coal mines
Jeremiah King	Edisto Island, SC	Pol. #: 458	Frank	Edisto Island, SC	Blacksmith
Jesse Braddock	Henderson County, KY	Pol. #: 826 (1735)	Philip	Henderson County, KY	Fireman on Western River
Jesse Braddock	Henderson County, KY	Pol. #: 825	David	Henderson County, KY	Fireman on steamboat Empire
Jesse Braddock	Henderson County, KY	Pol. #: 1734	David	Henderson County, KY	Fireman
Jesse Griffin	Henderson County, KY	Pol. #: 902 (1539)	William	Henderson, KY	Fireman on boat
Jesse Kent	Augusta, GA	Pol. #: 846	Hester	Augusta, GA	House servant
Jesse Kent	Augusta, GA	Pol. #: 837	Susan	Augusta, GA	House servant
Jesse Kent	Augusta, GA	Pol. #: 838	Sellah	Augusta, GA	House servant
Jno Forbes	Scott County, KY	Pol. #: 843	Betty	Scott County, KY	Servant

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
John A. Lancaster and Edward Sinton	Richmond, VA	Pol. #: 314	James	Richmond, VA	Laborer
John A. Lancaster and Edward Sinton	Richmond, VA	Pol. #: 315	George	Richmond, VA	Laborer
John A. Lancaster and Edward Sinton	Richmond, VA	Pol. #: 316	Anderson	Richmond, VA	Laborer
John Adams	Augusta, GA	Pol. #: 338	Jacob	Augusta, GA	in printing office
John Buntai	Union County, KY	Pol. #: 799	Ralph	Union County, KY	Firemen on Bunker Hill
John Buntai	Union County, KY	Pol. #: 799	Tom	Union County, KY	Firemen on Bunker Hill
John Buntai	Union County, KY	Pol. #: 799	Abraham	Union County, KY	Firemen on Bunker Hill
John Dargcott	Richmond, VA	Pol. #: 396	Davy Dabney	Clover Hill, VA	Miner
John Dargcott	Richmond, VA	Pol. #: 395	London Dabney	Clover Hill, VA	Miner
John Elam	Henderson County, KY	Pol. #: 1510	Caswell	Henderson County, KY	Fireman
John Glendinning,	**, **	Pol. #: 522	John	Columbia County, GA	Laborer
John Hart	Henderson County, KY	Pol. #: 1679	Thomas	Henderson County, KY	Fireman
John Harvey, & Son	New Bern Craven County, NC	Pol. #: 1685	Charles	New Bern, NC	**
John Hobson	Powhatan County, VA	Pol. #: 462	Bartlett	Chesterfield County, VA	Miner
John Hobson	Powhatan County, VA	Pol. #: 463	Adam	Chesterfield County, VA	Miner
John Hobson	Powhatan County, VA	Pol. #: 461	Peter	Chesterfield County, VA	Miner
John Hyman	Williamston, NC	Pol. #: 810	Lilas	Martin County, NC	Farmer, Timber gatherer, Fishing
John Hyman	Williamston, NC	Pol. #: 808	Whitmel	Martin County, NC	Farmer, Timber gatherer, Fishing
John Hyman	Williamston, NC	Pol. #: 809	Sawney	Martin County, NC	Farmer, Timber gatherer, Fishing
John Hyman	Williamston, NC	Pol. #: 807	Richard	Martin County, NC	Farmer, Timber gatherer, Fishing
John Jones	Jefferson County, KY	Pol. #: 1179	Wallace	Jefferson County, KY	on steam boat Lung

** information unknown

Page 12 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
John Jones	Jefferson County, KY	Pol. #: 1141 Date of Death 06/47	Warwick	Jefferson County, KY	Fireman on Steam Boat Diane
John Kent; John B. Murphy for	Augusta, GA	Pol. #: 586	Hester	Augusta, GA	**
John King	Charleston, SC	Pol. #: 354 (1454)	Jim	Charleston, SC	**
John King	Charleston, SC	Pol. #: 592 (1268)	Providence	Charleston, SC	Tailor
John May	Charleston, SC	Pol. #: 477	Eugenia	Charleston, SC	Home's servant
John McFarland	Daviess County, KY	Pol. #: 780	Bill	Daviess County, KY	Fireman
John Munceaster	Henderson County, KY	Pol. #: 1578	Man	Henderson County, KY	Fireman
John Payne	Union County, KY	Pol. #: 938	Jackson	Union County, KY	steam boat Ambassador
John Priehell	Henderson County, KY	Pol. #: 1576	Frank	Henderson County, KY	Fireman
John Priehell	Henderson County, KY	Pol. #: 1575	Caia	Henderson County, KY	Fireman
John Randolph	Louisville, KY	Pol. #: 1540	Isiah	Louisville, KY	Fireman
John Ray	Union County, KY	Pol. #: 1651	Jerry	Union County, KY	Fireman
John Smith	Henderson County, KY	Pol. #: 1534	George	Henderson County, KY	Fireman
John Smith	Henderson County, KY	Pol. #: 1533	Lewis	Henderson County, KY	Fireman
John Speidle	Henderson County, KY	Pol. #: 910	William	**, KY	Fireman on steam boat
John Tyler	Wilmington, NC	Pol. #: 750	Richard Walker	Wilmington, NC	Common Laborer
John Tyler	Wilmington, NC	Pol. #: 748	Sam Walker	Wilmington, NC	Common Laborer
John Tyler	Wilmington, NC	Pol. #: 749 Date of Death 08/10/47	Daniel	Wilmington, NC	Common Laborer
John Tyler	Wilmington, NC	Pol. #: 751	Will	Wilmington, NC	Cooper
John Walker	Wilmington, NC	Pol. #: 334 (995, 1752)	Charles	Wilmington, NC	Servant on board a steamer
John Walker	Wilmington, NC	Pol. #: 335 (994, 1751)	William	Wilmington, NC	Servant on board a steamer
John Wooster	Wilmington, NC	Pol. #: 1647	Thomas	Wilmington, NC	A Slave
John Wooster	Wilmington, NC	Pol. #: 1648	Marcus	Wilmington, NC	A Slave

** information unknown.

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
John Wooster	Wilmington, NC	Pol. #: 1650	Ovid	Wilmington, NC	**
Joseph Brown	Henderson County, KY	Pol. #: 1589	Clairborne	Henderson County, KY	Fireman
Joseph Craig	Ghent, Carroll County, KY	Pol. #: 764	William	Ghent, KY	On steam boat Chancellor
Joseph Ellis	Goochland County, VA	Pol. #: 345 (899)	Peter Ellis	Chesterfield County, VA	Miner
Joseph Field	Mobile, AL	Pol. #: 1310	Letty	Mobile, AL	House servant
Joseph Mayo	Powhatan County, VA	Pol. #: 1078	Jack Ligou	Chesterfield County, VA	Miner
Joseph Robinson	Charleston, SC	Pol. #: 662 (1457)	Jack	Charleston, SC	House Servant
Joseph Robinson	Charleston, SC	Pol. #: 663 (1458)	Clara	Charleston, SC	House Servant
Joseph Robinson	Charleston, SC	Pol. #: 664	Eliza	Charleston, SC	House Servant
Joseph Robinson	Charleston, SC	Pol. #: 1453	Myra	Charleston, SC	House servant
Joseph Thompson	Savannah, GA	Pol. #: 513	Jim	Savannah, GA	Carpenter
JR McGowan	Lexington, KY	Pol. #: 450 (1165)	Clema	Lexington, KY	**
Leonard Robertsons	Henderson County, KY	Pol. #: 829	John	Henderson County, KY	Fireman on Boat Empire
LM Hill: John Hill trustee	Augusta, GA	Pol. #: 1012	Basil	Augusta, GA	Cabinet maker
Lucien Price	Hanover County, VA	Pol. #: 448	Joe Price	Crouch mines, VA	miner
Margaret Holton	Charleston, SC	Pol. #: 628 (1342)	Eliza	Charleston, SC	House servant
Margaret O'Hanlon	Fayetteville, NC	Pol. #: 190	George	Fayetteville, NC	Ship Carpenter
Margaret O'Hanlon	Fayetteville, NC	Pol. #: 189	Fatsey	Fayetteville, NC	Cook
Margaret O'Hanlon	Fayetteville, NC	Pol. #: 188	Alfred	Fayetteville, NC	Engineer
Marytha-Moderwell	Augusta, GA	Pol. #: 644	George	Augusta, GA	Servant in grocery
Mary Greenwell	Union County, KY	Pol. #: 939	Nace	Union County, KY	Hand on steam boat Ambassador
Mary Jane Maddux	Nelson County, KY	Pol. #: 757 (1636)	Vincent	Nelson County, KY	Blacksmith
Matilda Collier	Henderson County, KY	Pol. #: 1536	William	Henderson County, KY	Fireman
Maurice Langhorne	Louisville, KY	Pol. #: 735	Bartlett	Louisville, KY	Fireman running on river

** information unknown

Page 14 of 31

Insurance Company: New York Life Insurance Company

Slave/Holder	Location	Policy Information	Slave Name	Location	Occupation
Maurice Langhorne	Louisville, KY	Pol. #: 1032	Lewis	**, **	Hand on Steam Boat Uncle Sam
Maurice Langhorne	Louisville, KY	Pol. #: 911	John	**, KY	Fireman on boat Uncle Sam
Maurice Langhorne	Louisville, KY	Pol. #: 912	Lewis	**, KY	Fireman on Steam Boat Uncle Sam
ME Carrere	Charleston, SC	Pol. #: 1312	Harry	Charleston, SC	Labourer
ME Carrere	Charleston, SC	Pol. #: 404	Suskey	Charleston, SC	Servant
ME Carrere	Charleston, SC	Pol. #: 403 (1317)	Saady	Charleston, SC	Laborer
Mess, Smith & Densford	Louisville, KY	Pol. #: 1437	Albert	On Island 36, Tipton County, TN	Farming & woodchopping
Mess, Smith & Densford	Louisville, KY	Pol. #: 1439	Squire	On Island 36, Tipton County, TN	Farming & Woodchopping
Mess, Smith & Densford	Louisville, KY	Pol. #: 1438 Date of Death 03/18/48	Abraham	On Island 36, Tipton County, TN	Farming & woodchopping
Michael Lomax	Louisville, KY	Pol. #: 470	Matilda	Louisville, KY	Servant
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 383	Joe Wright	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 391	**	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 392	Bob Hall	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 304 (877)	William Maston	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 305 (878)	Jim Wills	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 307	Richard Johnson	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 381	Randolph Wright	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 382	Henry Wright	Chesterfield County, VA	Miner
Mid Lothian Coal and Mining Co	Chesterfield County, VA	Pol. #: 308	Edgar Porter	Chesterfield County, VA	Miner
Monroe Quarrier	Louisville, KY	Pol. #: 1596	James	Louisville, KY	Barber
Monroe Quarrier	Louisville, KY	Pol. #: 1598	Scott	Louisville, KY	**
Monroe Quarrier	Louisville, KY	Pol. #: 1595	William	Louisville, KY	Cabin boy
Monroe Quarrier	Louisville, KY	Pol. #: 1597	Edward	Louisville, KY	Cabin boy

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Monroe Quarrier	Louisville, KY	Pol. #: 1594	Isaac	Louisville, KY	Fireman
Monroe Quarrier	Louisville, KY	Date of Death 06/43	Zach	Louisville, KY	Fireman
Nelson Alley	Frankfort, KY	Pol. #: 1657	Betty	Frankfort, KY	**
Nelson Anderson	Henderson County, KY	Pol. #: 1537	Benjamin	Henderson County, KY	Fireman
Nelson Turnly	Black Heath Chesterfield, VA	Pol. #: 244	Griffin	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 416 (1041)	Madison James	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 415 (1040)	Lewis Mills	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 423 (1046)	John Hunt	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 412 (1037)	Jim Mills	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 423 (1047)	Henry Hanes	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 423 (1050)	Henry Dickerson	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 417 (1042)	Harry Ficket	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 414 (1039)	Harry Mills	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 413 (1043)	George Mills	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 428 (1053)	Cyrus Mills	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 413 (1038)	Anderson Flourney	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 410 (1035)	Billy Harrod	Chesterfield County, VA	**
Nicholas Mills	Richmond, VA	Pol. #: 429 (1054)	Ben Nork	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 421 (1046)	Anthony Jones	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 427 (1052)	Godfrey	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 424 (1049)	Sam Kinier	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 425 (1051)	Reubenias Dutch	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 447 (1055)	Nathan Nork	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 407 (1033)	Wilson	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 411 (1036)	Phil Anderson	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 420 (1045)	Patrick Cusotham	Chesterfield County, VA	Miner

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Nicholas Mills	Richmond, VA	Pol. #: 408 (1034)	Ned Mills	Chesterfield County, VA	Miner
Nicholas Mills	Richmond, VA	Pol. #: 419 (1044)	Sam Rid.	Chesterfield County, VA	Miner
OH Dawson	Charleston, SC	Pol. #: 950	Jnnes	Aiken, SC	House servant
OH Dawson	Charleston, SC	Pol. #: 703	Dennis	Charleston, SC	**
Pamelia Bowman	Bullitt County, KY	Pol. #: 828	Anderson Bowman	Louisville, KY	Boatman
Patrick Adams	Columbus, GA	Pol. #: 830	Sam	Columbus, GA	Mason
Faty Stewart	Louisville, KY	Pol. #: 1087	Sampson	Louisville, KY	On board Steam Boat Ringold
Phoebe Beaumont	Natchez, MS	Pol. #: 1131	Abby Anderson	Natchez, MS	General house servant
PP Allen	Charleston, SC	Pol. #: 489	Sandy	Charleston, SC	Carpenter
Rebecca Averill	Anderson County, KY	Pol. #: 445 (698)	Tom	**, **	Running on the River
RH Cowan	Wilmington, NC	Pol. #: 351	Joe	**, **	Laborer at steam sawmill
RH Cowan	Wilmington, NC	Pol. #: 349 Date of Death 02/24/47	Anthony	Wilmington, NC	Laborer at steam sawmill
RH Cowan	Wilmington, NC	Pol. #: 352	Peter	**, **	Laborer at steam sawmill
RH Cowan	Wilmington, NC	Pol. #: 350	Thaddeus	**, **	Laborer at steam sawmill
RH Tatum	Chesterfield County, VA	Pol. #: 251	Ned	**, **	**
RH Tatum	Chesterfield County, VA	Pol. #: 233	Israel	**, **	**
RH Tatum	Chesterfield County, VA	Pol. #: 232	George	**, **	**
Richard Archer	Chesterfield County, VA	Pol. #: 1108	Jacob	Chesterfield County, VA	Coal Miner
Richard Archer	Chesterfield County, VA	Pol. #: 1107	Reuben	Chesterfield County, VA	Chesterfield Mines
Richard Bradley	Savannah, GA	Pol. #: 1982	Albert	Savannah, GA	Labourer
Richard Bradley	Savannah, GA	Pol. #: 1862	Jim Howard	Savannah, GA	Carpenter

** information unknown

Insurance Company: New YorkLife Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Richard Hall	Henrico County, VA	Pol. #: 973 Date of Death 03/22/47	Bob Hall	Chesterfield County, VA	Miner
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 286 (860)	Bill Hyman	Wilmington, NC	Laborer
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 1148 (1847)	Andrew	Wilmington, NC	Laborer in mill and distillery
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 284 (955)	Harley	Wilmington, NC	Laborer
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 1152 (1848)	Bill	Wilmington, NC	Laborer at mill
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 285 (957, 1816)	Ned Martin	Wilmington, NC	Cook
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 1149 (1850)	Alleck	Wilmington, NC	Employed in a mill
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 1931	Jim Dudley	Savannah, GA	Laborer
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 1151 (1849)	Peter	Wilmington, NC	mill hand
Richard William Burke Bradley Giles	Savannah-Wilmington, GA NC	Pol. #: 1150	Anthony	Wilmington, NC	saw mill
RL Dodge	Little Rock, AR	Pol. #: 2491	Luisa	Little Rock, AR	Servant woman
RL Dodge	Little Rock, AR	Pol. #: 2491	Gratior	Little Rock, AR	Servant man
RM Levy	Charleston, SC	Pol. #: 321 (931)	John	Charleston, SC	Laborer
Robert Bell	Louisville, KY	Pol. #: 1443	Conray Barbour	Jefferson County, KY	Cabin boy
Robert Beverly	Henderson County, KY	Pol. #: 1509	William	Henderson County, KY	Fireman
Robert Beverly	Henderson County, KY	Pol. #: 1508	Henry	Henderson County, KY	Fireman
Robert Glass	Shelbyville, KY	Pol. #: 1796	Anthony	Shelbyville, KY	Farmer
Robert Miller	Charleston, SC	Pol. #: 194 (\$47, 1700)	Joe	Charleston, SC	Baker
Robert Miller	Charleston, SC	Pol. #: 1456	Joe	Charleston, SC	Baker
Robert Miller	Charleston, SC	Pol. #: 196 (\$40, 1702)	Jim	Charleston, SC	Baker
Robert Miller	Charleston, SC	Pol. #: 197 (\$50, 1703)	John	Charleston, SC	Baker
Robert Miller	Charleston, SC	Pol. #: 195 (\$45, 1701)	James	Charleston, SC	Baker
Robert Miller	Charleston, SC	Pol. #: 198 (\$51, 1704)	Tommy	Charleston, SC	Baker
Robert Miller	Charleston, SC	Pol. #: 918 (1760)	Lewis	Charleston, SC	Baker

**Information unknown

Page 15 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Robert Miller	Charleston, SC	Pol. #: 1435	Jim	Charleston, SC	Baker
Robert Monroe Bell Quarrier	Louisville, KY	Pol. #: 1602	Allen	Louisville, KY	Fireman
Robert Monroe Bell Quarrier	Louisville, KY	Pol. #: 1604	Lex	Louisville, KY	Fireman
Robert Monroe Bell Quarrier	Louisville, KY	Pol. #: 1607	Augustus	Louisville, KY	Cabin boy
Robert Monroe Bell Quarrier	Louisville, KY	Pol. #: 1605	Ned	Louisville, KY	Fireman
Robert Monroe Bell Quarrier	Louisville, KY	Pol. #: 1603	Nat	Louisville, KY	Fireman
Robert Satterwhite	Louisville, KY	Pol. #: 1637	Martha	Louisville, KY	**
Rodolphus Williams	Mobile, AL	Pol. #: 1023 (1966)	William	Mobile, AL	Drayman
Rt Rev Bishop Reynolds; Thomas Ryan	Charleston, SC	Pol. #: 617	Hannah	Charleston, SC	**
Rt Rev Bishop Reynolds; Thomas Ryan	Charleston, SC	Pol. #: 616	Robert	Charleston, SC	**
Samuel Langley	Henderson County, KY	Pol. #: 1535	Charles	Henderson County, KY	Fireman
Samuel Le Nock	Louisville, KY	Pol. #: 603	Peter	Oldham, KY	Farm serv.
Samuel Martin	Clarke County, KY	Pol. #: 913	Norbonne	*A, KY	Fireman on Steam Boat Uncle Sam
Samuel Martin	Clarke County, KY	Pol. #: 914	John	** KY	Fireman on boat Uncle Sam
Sarah De Rosset	Wilmington, NC	Pol. #: 529	Mary Ann	Wilmington, NC	House Servant
Sarah London	Wilmington, NC	Pol. #: 784	John McGuire	Wilmington, NC	Mason
Sarah London	Wilmington, NC	Pol. #: 785	Henry London	Wilmington, NC	Cooper
Sarah London	Wilmington, NC	Pol. #: 785	Primus	Wilmington, NC	**
SB Everett	Smithville, NC	Pol. #: 331	Edward	Smithville, NC	Carpenter
SC Cox	Natchez, MS	Pol. #: 1644	John Davis	Natchez, MS	Slave
Sears Sneed	Frankfort, KY	Pol. #: 1116	Oliver	Franklin County, Frankfort, KY	Fireman on Steam Boat Jack Shelby
Stephen Chenoweth	Louisville, KY	Pol. #: 1495	John Owen	Louisville, KY	Fireman
Stephen Chenoweth	Louisville, KY	Pol. #: 1497	George	Louisville, KY	cabin boy - 1st-class steam boat

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Stephen Chenoweth	Louisville, KY	Pol. #: 1498	Jack	Louisville, KY	cabin boy-KY to LA steam boat
Stephen Chenoweth	Louisville, KY	Pol. #: 1512	Bob	Louisville, KY	Fireman
Stephen Chenoweth	Louisville, KY	Pol. #: 1496	Tillman	Louisville, KY	fireman on KY to LA steamboat
Stephen Oliver	Augusta, GA	Pol. #: 457 (1168)	Eliza	Augusta, GA	slave
Stephen Oliver	Augusta, GA	Pol. #: 442 (1167)	Robert	Augusta, GA	Slave Boy
Sterling Grimes	Columbus, GA	Pol. #: 1567	Emeline	Columbus, GA	Cook
TB Shalding	Union County, KY	Pol. #: 324	Gustaves	Union County, KY	Boatman
TB Shalding	Union County, KY	Pol. #: 325	Harrison	Union County, KY	Boatman
Theoda Bolton	Natchez, MS	Pol. #: 1133	Betsy Dyer	Natchez, MS	House servant
Thomas Crouch	Richmond, VA	Pol. #: 456	Sam	Chesterfield County, VA	Miner
Thomas Crouch	Richmond, VA	Pol. #: 455	Enoch	Chesterfield County, VA	Miner
Thomas Crouch	Richmond, VA	Pol. #: 454	Randolph	Chesterfield County, VA	Miner
Thomas Crouch	Richmond, VA	Pol. #: 457	Ben	Chesterfield County, VA	Miner
Thomas Hall	Franklin County, KY	Pol. #: 1658	Squire	Franklin County, KY	**
Thomas Hopkins	Augusta, GA	Pol. #: 1527	Reuben	Augusta, GA	Moulder
Thomas Hopkins	Augusta, GA	Pol. #: 1525	Charles	Augusta, GA	Moulder
Thomas Hopkins	Augusta, GA	Pol. #: 1526	Edmund	Augusta, GA	Moulder
Thomas ILLEGIBLE	Savannah, GA	Pol. #: 393	Perry	Savannah, GA	Laborer aboard steamboat
Thomas Lambert	Henderson County, KY	Pol. #: 1587 Date of Death 02/48	Peter	Henderson County, KY	Fireman
Thomas Lambert	Henderson County, KY	Pol. #: 1586 Date of Death 03/29/48	Nathao	Henderson County, KY	Fireman
Thomas Loring	Wilmington, NC	Pol. #: 1240	Selma	Wilmington, NC	House servant
Thomas Loring	Wilmington, NC	Pol. #: 1233	Mary	Wilmington, NC	Cook
Thomas Loring	Wilmington, NC	Pol. #: 1232	Harry	Wilmington, NC	Common laborer
Thomas Marshalls	Chesterfield County, VA	Pol. #: 310	Charles Smith	Chesterfield County, VA	Miner

** information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
Thomas O'Brien	Charleston, SC	Pol. #: 1089	Robert	Charleston, SC	House servant
Thomas Robinson	Savannah, GA	Pol. #: 168	Tom	Savannah, GA	Laborer
Thomas Shanks	Louisville, KY	Pol. #: 1673	Billy	Louisville, KY	**
Thomas Shanks	Louisville, KY	Pol. #: 1676	Chandler	Louisville, KY	**
Thomas Wright	Wilmington, NC	Pol. #: 203 (971, 1668)	John Wright	Wilmington, NC	Common Laborer
Thomas Wright	Wilmington, NC	Pol. #: 202 (970, 1667)	William Smith	Wilmington, NC	Brick Mason
Thomas Wright	Wilmington, NC	Pol. #: 1684	John Hooper	Wilmington, NC	Laborer
Thomas Wright	Wilmington, NC	Pol. #: 643 (1359)	William Wright	Wilmington, NC	Common Laborer
Thomas Wright	Wilmington, NC	Pol. #: 201 (969, 1666)	Duncan	Wilmington, NC	Common Laborer
Tyrel Thomson	Louisville, KY	Pol. #: 631	Lucy	Louisville, KY	Nurse
W Lord	Wilmington, NC	Pol. #: 526 (1210)	Sampson	Wilmington, NC	Penman in steam sawmill
W Lord	Wilmington, NC	Pol. #: 528 (1212)	Ben	Wilmington, NC	Common laborer.
W Lord	Wilmington, NC	Pol. #: 527 (1211)	Josh	Wilmington, NC	Book and shoe maker
Warwick Miller	Louisville, KY	Pol. #: 1060	Robert	** KY	Cabin boy Cincinnati
WC Ramsey	Charleston, SC	Pol. #: 1232	Frank	Charleston, SC	Carpenter
WH Graven	Charleston, SC	Pol. #: 976	Jim	Charleston, SC	Mason
WH Newberry	Lexington, KY	Pol. #: 1968	Caroline	Lexington, KY	Cook & house servant
WH Smith; W.S.D McGowan	Louisville, KY	Pol. #: 1714	Thornton	Louisville, KY	St. Bt. Hand
WH Van Bokkelen	New Bern, NC	Pol. #: 935	Caesar Dawson	Newbern, NC	Cooper
William Berry	Wilmington, NC	Pol. #: 1652	Edward	Wilmington, NC	Laborer
William Berry	Wilmington, NC	Pol. #: 1677	David	Wilmington, NC	**
William Burke Giles	Wilmington, NC	Pol. #: 1860	John Giles	Wilmington, NC	Carpenter
William Burke Giles	Wilmington, NC	Pol. #: 281 (954)	Jim	Wilmington, NC	Carpenter
William Burke Giles	Wilmington, NC	Pol. #: 1153 (1857)	Marcus	Wilmington, NC	Laborer at mill

** information unknown

Page 21 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
William Burke Giles	Wilmington, NC	Pol. #: 283	Ephraim Green	Wilmington, NC	Laborer
William Burke Giles	Wilmington, NC	Pol. #: 282 (956)	Jim Giles	Wilmington, NC	Laborer
William Burke Giles	Wilmington, NC	Pol. #: 280 (953)	Alfred Alexander	Wilmington, NC	Laborer
William Burke Giles	Wilmington, NC	Pol. #: 1861	Jim Bradley	Savannah, GA	Carpenter
William Burke Giles	Wilmington, NC	Pol. #: 279 (952)	John	Wilmington, NC	Carpenter
William Burke Giles	Wilmington, NC	Pol. #: 287 (959)	Lewis	Wilmington, NC	Carpenter
William Burke Giles & Company	Wilmington, NC	Pol. #: 1854	Sam Berry	Savannah, GA	Laborer
William Burke Giles & Company	Wilmington, NC	Pol. #: 289 (949)	John	Wilmington, NC	Laborer
William Burke Giles & Company	Wilmington, NC	Pol. #: 1851	Aaron	Savannah, GA	Laborer
William Burke Giles & Company	Wilmington, NC	Pol. #: 291 (950)	Dick Ferguson	Wilmington, NC	Engineer
William Burke Giles & Company	Wilmington, NC	Pol. #: 1856	David	Savannah, GA	Laborer
William Burke Giles & Company	Wilmington, NC	Pol. #: 290 (951)	Jim	Wilmington, NC	Penman
William Burke Giles & Company	Wilmington, NC	Pol. #: 1855	Solomon	Savannah, GA	Laborer
William Burke Giles & Company	Wilmington, NC	Pol. #: 1853	Tom	Savannah, GA	Laborer
William Burke Giles & Company	Wilmington, NC	Pol. #: 1852	Bill Ballard	Savannah, GA	Laborer
William Carrene	Charleston, SC	Pol. #: 1346	Johnny	Charleston, SC	House servant
William Chilton	Louisville, KY	Pol. #: 1606	Daniel	Louisville, KY	Fireman
William Crenshaw	Henderson County, KY	Pol. #: 1579	Nathan	Henderson County, KY	Fireman
William Dower	Charleston, SC	Pol. #: 587	Jack Reid	Augusta, GA	Wheelwright
William Duncan	Davis County, KY	Pol. #: 1707	Henry	Davies County, KY	Fireman
William Gardner	Shelbyville, KY	Pol. #: 1655	Charles	Louisville, KY	House servant
William Greenland	Charleston, SC	Pol. #: 488 (1136)	Phillis	Charleston, SC	Home servant
William Hancock	Henderson County, KY	Pol. #: 1581 Date of Death 01/09/48	Vincent	Henderson County, KY	Fireman
William Hancock	Henderson County, KY	Pol. #: 1580	Haywood	Henderson County, KY	Fireman
William Harrison	Natchez, MS	Pol. #: 1016 (1803)	Courtney	Natchez, MS	Boatman

** information unknown

Page 22 of 31

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
William Howard	Wilmington, NC	Pol. #: 1718	Jack	Wilmington, NC	Labourer in saw mill
William Hunt	Frankfort, KY	Pol. #: 705 (1533)	Net Siam	Frankfort, KY	Barber
William Libbey & Carlson	Natchez, MS	Pol. #: 1743	Grace	Natchez, MS	**
William Nunn	Henderson County, KY	Pol. #: 1505	Carlo	Henderson County, KY	Frieman
William Nunn	Henderson County, KY	Pol. #: 1507	Lewis	Henderson County, KY	Frieman
William Nunn	Henderson County, KY	Pol. #: 1506	Abraham Fox	Henderson County, KY	Frieman
William Nunn	Henderson County, KY	Pol. #: 1504	Andrew	Henderson County, KY	Frieman
William Owens Jr.	Russellville, KY	Pol. #: 903 (1728, 2891)	Robert	Russellville, KY	Farmer
William Roberts	Augusta, GA	Pol. #: 523	Franky	Augusta, GA	In grocery store
William Robertson	Natchez, MS	Pol. #: 1293	Nack	Natchez, MS	House servant
William Runk	Wilmington, NC	Pol. #: 1083 (1874)	Washington	Wilmington, NC	Labourer
William Savage	Augusta, GA	Pol. #: 1075	Joseph	Augusta, GA	Barber
William Smith	Wilmington, NC	Pol. #: 514	Tom	Wilmington, NC	Cornman/Labourer
William Smith	Wilmington, NC	Pol. #: 515	Charles	Wilmington, NC	Cornman/Labourer
William Tompkins	Richmond, VA	Pol. #: 1096	Jacob	Richmond, VA	low boat and lighters
William Tompkins	Richmond, VA	Pol. #: 1092	Bartlett Nelson	Richmond, VA	low boat and lighters
William Tompkins	Richmond, VA	Pol. #: 1094	Bartlett Barrison	Richmond, VA	low boat and lighters
William Tompkins	Richmond, VA	Pol. #: 1093	Daniel	Richmond, VA	low boat and lighters
William Tompkins	Richmond, VA	Pol. #: 1097	Foster	Richmond, VA	low boat and lighters
William Tompkins	Richmond, VA	Pol. #: 1095	Beverly	Richmond, VA	low boat and lighters
William Watkins	Powhatan County, VA	Pol. #: 342	William Watkins	Chesterfield County, VA	Miner
William Woods	Powhatan County, VA	Pol. #: 340	Levi Watkins	Chesterfield County, VA	Miner

** Information unknown

Insurance Company: New York Life Insurance Company

Slave Holder	Location	Policy Information	Slave Name	Location	Occupation
William Watkins	Powhatan County, VA	Pol. #: 341	William Henry Watkins	Chesterfield County, VA	Miner
William Winfred Jr	Chesterfield County, VA	Pol. #: 1103	Jim Winfred	Chesterfield County, VA	Miner Midlothian coal
William Woodruff	Jefferson County, KY	Pol. #: 301	George Cook	Jeff County, KY	Fireman on steamboat Fry
William Wright	Natchez, MS	Pol. #: 1132	Fred	Natchez, MS	**
W.L. Brockenridge	Louisville, KY	Pol. #: \$27 (1522)	Enoch	Louisville, KY	Cabin boy on S. B. Chancell
Wm Bowen	Fredricksburg, VA	Pol. #: 453	John Walters	Fredricksburg, VA	Machine builder and pattern maker
Woodson Hancock	Chesterfield County, VA	Pol. #: 309	Jordan Hancock	Chesterfield County, VA	Miner
Wooster Anderson & Co.	Wilmington, NC	Pol. #: 1806	Hardy	Wilmington, NC	turpentine distillery
Wooster Anderson & Co.	Wilmington, NC	Pol. #: 1805	Bill	Wilmington, NC	turpentine distillery

** information unknown

Insurance Company: New York Life Insurance Company						
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location	
**	Chesterfield County, VA	Pol. #: 391	Miner	Mid Lethian Coal and Mining Co.	Chesterfield County, VA	
Aaron	Henderson County, KY	Pol. #: 1588	Fireman	Alexander Brown	Henderson County, KY	
Aaron	Savannah, GA	Pol. #: 1851	Laborer	William Burke Giles & Company	Wilmington, NC	
Abby Anderson	Natchez, MS	Pol. #: 1131	General house servant	Phoebe Beaumont	Natchez, MS	
Abraham	Montgomery, AL	Pol. #: 1330	Carpenter	IS Winter	Montgomery, AL	
Abraham	On Island 36, Tipton County, TN	Pol. #: 1438 Date of Death 03/18/43	Farming & woodchopping	Mess. Smith & Densford	Louisville, KY	
Abraham	Union County, KY	Pol. #: 799	Fireman on Bunker Hill	John Bumai	Union County, KY	
Abraham Fox	Henderson County, KY	Pol. #: 1506	Fireman	William Nunn	Henderson County, KY	
Abram	Wilmington, NC	Pol. #: 1260	Employed on a Turpentine Farm	Daniel Fleming	Wilmington, NC	
Adam	Chesterfield County, VA	Pol. #: 483	Miner	John Hobson	Powhatan County, VA	
Adam	Mobile, AL	Pol. #: 980	Steam boat hand	Garland Good	Mobile, AL	
Adelhardt	Charleston, SC	Pol. #: 268	Manhua maker	Georgia Insurance & Trust Company re Insurance	Augusta, GA	
Albert	On Island 36, Tipton County, TN	Pol. #: 1437	Farming & woodchopping	Mess. Smith & Densford	Louisville, KY	
Albert	Savannah, GA	Pol. #: 1952	Laborer	Richard Bradley	Savannah, GA	
Alfred	Fayetteville, NC	Pol. #: 138	Engineer	Margaret O'Hanlon	Fayetteville, NC	
Alfred	**, **	Pol. #: 386	**	Henry Phillips	Jefferson County, KY	
Alick	Savannah, GA	Pol. #: 268	Waiter	Georgia Insurance & Trust Company re Insurance	Augusta, GA	
Alick or Alexander	Wilmington, NC	Pol. #: 280 (1933)	Laborer	William Burke Giles	Wilmington, NC	
Alick	Wilmington, NC	Pol. #: 1149 (1850)	Employed in a mill	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC	
Allen	Louisville, KY	Pol. #: 1602	Fireman	Robert Monroe Bell Quarrier	Louisville, KY	
Anderson	Richmond, VA	Pol. #: 316	Laborer	John A. Lancaster and Edward Sinton	Richmond, VA	

** information unknown

Page 3 of 31

Insurance Company: New York Life Insurance Company						
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location	
Anderson Bowman	Louisville, KY	Pol. #: 828	Boatman	Fannetta Bowman	Bullitt County, KY	
Anderson Flournoy	Chesterfield County, VA	Pol. #: 413 (1035)	Miner	Nicholas Mills	Richmond, VA	
Andrew	Henderson County, KY	Pol. #: 1504	Fireman	William Num	Henderson County, KY	
Andrew	Wilmington, NC	Pol. #: 1148 (1647)	Laborer in mill and distillery	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC	
Anthony	Charleston, SC	Pol. #: 613 (1314)	House servant	Charles Hubert	Charleston, SC	
Anthony	Natchez, MS	Pol. #: 1885	saw mill handling lumber	CS Ricks	Natchez, MS	
Anthony	Shelbyville, KY	Pol. #: 1796	Farmer	Robert Glafs	Shelbyville, KY	
Anthony	Wilmington, NC	Pol. #: 1150	saw mill	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC	
Anthony	Wilmington, NC	Pol. #: 349 Date of Death 02/24/47	Laborer at steam sawmill	RH Cowan	Wilmington, NC	
Anthony Jones	Chesterfield County, VA	Pol. #: 421 (1046)	Miner	Nicholas Mills	Richmond, VA	
Apollo	Charleston, SC	Pol. #: 268	Laborer	Georgia Insurance & Trust Company re Insurance	Augusta, GA	
Augustus	Louisville, KY	Pol. #: 1607	Cabin boy	Robert Monroe Bell Quarrier	Louisville, KY	
Barbary	Mobile, AL	Pol. #: 1261	Carpenter	George Owen: R. Hamilton, admin	Mobile, AL	
Bartlett	Chesterfield County, VA	Pol. #: 512	Miner	Chesterfield Mining Co., William Benton as Agent	Black Heath Chesterfield, VA	
Bartlett	Chesterfield County, VA	Pol. #: 482	Miner	John Hobson	Powhatan County, VA	
Bartlett	Louisville, KY	Pol. #: 735	Fireman running on river	Maurice Langhorne	Louisville, KY	
Bartlett Harrison	Richmond, VA	Pol. #: 1094	tow boat and lighters	William Tompkins	Richmond, VA	
Bartlett Nelson	Richmond, VA	Pol. #: 1092	tow boat and lighters	William Tompkins	Richmond, VA	
Basil	Augusta, GA	Pol. #: 1012	Cabinet maker	LM Hill; John Hill trustee	Augusta, GA	
Basil	Louisville, KY	Pol. #: 379	Manufacturer	Harriet Saunders	Louisville, KY	
Basil	***	Pol. #: 1022	agriculturalist	Harriet Sanders	Shelby County, KY	

*** information unknown

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Bella	Charleston, SC	Pol. #: 615 (1316)	House servant	Charles Hubert	Charleston, SC
Beta	Mobile, AL	Pol. #: 1345	Laborer	George Owen R. Hamilton admin	Mobile, AL
Ben	**, **	Pol. #: 957	S.B., Uncle Sam / farming	Harry Phillips	Jefferson County, KY
Ben	Wilmington, NC	Pol. #: 525 (1212)	Common laborer	W Lord	Wilmington, NC
Ben	Chesterfield County, VA	Pol. #: 457	Miner	Thomas Crouch	Richmond, VA
Ben Jones	Chesterfield County, VA	Pol. #: 536	Carpenter	Higginson Hancock	Chesterfield County, VA
Ben Nork	Chesterfield County, VA	Pol. #: 429 (1054)	Miner	Nicholas Mills	Richmond, VA
Benjamin	Henderson County, KY	Pol. #: 1537	Fireman	Nelson Andersen	Henderson County, KY
Betsy	Wilmington, NC	Pol. #: 746 (1546)	House Servant	EN Hill	Wilmington, NC
Betsy Dyer	Natchez, MS	Pol. #: 1135	House servant	Throda Bolton	Natchez, MS
Betty	Frankfort, KY	Pol. #: 1657	**	Nelson Alley	Frankfort, KY
Betty	Scott County, KY	Pol. #: 343	Servant	Joe Forbes	Scott County, KY
Beverly	Richmond, VA	Pol. #: 1095	row boat and lighters	William Tompkins	Richmond, VA
Bill	Davies County, KY	Pol. #: 750	Fireman	John McFarland	Davies County, KY
Bill	Natchez, MS	Pol. #: 1274	Natchez saw mill	J.D. Tyler Brown Coxzeng & H.W. Chittenden	Natchez, MS
Bill	Wilmington, NC	Pol. #: 1152 (1845)	Laborer at mill	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC
Bill	Wilmington, NC	Pol. #: 1305	turpentine distillery	Wooster Anderson & Co.	Wilmington, NC
Bill Ballard	Savannah, GA	Pol. #: 1852	Laborer	William Burke Giles & Company	Wilmington, NC
Bill Hyman	Wilmington, NC	Pol. #: 286 (960)	Laborer	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC
Billy	Louisville, KY	Pol. #: 1675	**	Thomas Shanks	Louisville, KY
Billy Harrod	Chesterfield County, VA	Pol. #: 410 (1035)	**	Nicholas Mills	Richmond, VA
Bob	Louisville, KY	Pol. #: 1312	Fireman	Stephen Chenoweth	Louisville, KY
Bob	Montgomery, AL	Pol. #: 1822	House servant	IS Winter	Montgomery, AL

** information unknown.

Insurance Company: New York Life Insurance Company						
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location	
Bob Hall	Chesterfield County, VA	Pol. #: 973 Date of Death '03/22/47	Miner	Richard Hall	Henrico County, VA	
Bob Hall	Chesterfield County, VA	Pol. #: 392	Miner	Mld Lothian Coal and Mining Co	Chesterfield County, VA	
Burrell	Natchez, MS	Pol. #: 1129	House servant	George Koontz	Natchez, MS	
Caesar Dawson	Newbern, NC	Pol. #: 935	Cooper	WH Van Bokkelen	New Bern, NC	
Caln	Henderson County, KY	Pol. #: 1575	Fireman	John Pritchell	Henderson County, KY	
Caralle	Augusta, GA	Pol. #: 1124	Seamstress	Charles Platt	Augusta, GA	
Carlin	Henderson County, KY	Pol. #: 1505	Fireman	William Nunn	Henderson County, KY	
Caroline	Lexington, KY	Pol. #: 1965	Cook & house servant	WH Newberry	Lexington, KY	
Caroline	Wilmington, NC	Pol. #: 1779	**	James Burch	Wilmington, NC	
Caswell	Henderson County, KY	Pol. #: 1510	Fireman	John Elam	Henderson County, KY	
Cate	Mead County, KY	Pol. #: 1615	Fireman	David Van Meter	Mead County, KY	
Cecilia	Augusta, GA	Pol. #: 1550	Servant	Charles Platt	Augusta, GA	
Chandler	Louisville, KY	Pol. #: 1676	**	Thomas Shanks	Louisville, KY	
Charles	Augusta, GA	Pol. #: 1525	Moulder	Thomas Hopkins	Augusta, GA	
Charles	Henderson County, KY	Pol. #: 1535	Fireman	Samuel Langley	Henderson County, KY	
Charles	Louisville, KY	Pol. #: 1655	House servant	William Gardner	Shelbyville, KY	
Charles	New Bern, NC	Pol. #: 1685	**	John Harvey & Son	New Bern Craven County, NC	
Charles	** **	Pol. #: 984	Farmer-New M Co.	Henry Phillips	Jefferson County, KY	
Charles	Wilmington, NC	Pol. #: 334 (995, 1752)	Servant on board a steamer	John Walker	Wilmington, NC	
Charles	Wilmington, NC	Pol. #: 515	Common Laborer	William Smith	Wilmington, NC	
Charles Hall	Chesterfield County, VA	Pol. #: 313	Miner	Chesterfield Mining Co., William Benton as Agent	Black Heath Chesterfield, VA	
Charles Smith	Chesterfield County, VA	Pol. #: 310	Miner	Thomas Marshall	Chesterfield County, VA	
Charleston	Montgomery, AL	Pol. #: 1531	Carpenter	IS Winter	Montgomery, AL	

** information unknown

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Chloe	Charleston, SC	Pol. #: 612 (1315)	House servant	Charles Hubert	Charleston, SC
Clairborne	Henderson County, KY	Pol. #: 1539	Fireman	Joseph Brown	Henderson County, KY
Clara	Charleston, SC	Pol. #: 663 (1458)	House Servant	Joseph Robinson	Charleston, SC
Clara	Lexington, KY	Pol. #: 450 (1165)	**	JR McGowan	Lexington, KY
Congo	Clover Hill, VA	Pol. #: 892	Miner at the Coal Mines	Daniel Wooldridge	Chesterfield County, VA
Conway Barbour	Jefferson County, KY	Pol. #: 1443	Cabin boy	Robert Bell	Louisville, KY
Courtois	Natchez, MS	Pol. #: 1016 (1805)	Boatman	William Harrison	Natchez, MS
Cyrus Mills	Chesterfield County, VA	Pol. #: 428 (1053)	Miner	Nicholas Mills	Richmond, VA
Dabney Burnette	Chesterfield County, VA	Pol. #: 1217	Mid Lothian mines	Elias Burnette	Albemarle County, VA
Damon	Wilmington, NC	Pol. #: 1173	distillery	Benjamin Hallett	Wilmington, NC
Daniel	Edgefield County, SC	Pol. #: 812	rice field	Charles Walker	Edgefield, SC
Daniel	Louisville, KY	Pol. #: 1606	Fireman	William Clifton	Louisville, KY
Daniel	Louisville, KY	Pol. #: 1766	Fireman	Ellis Roy, John W. Roy, agent	Louisville, KY
Daniel	Richmond, VA	Pol. #: 1093	tow boat and lighters	William Tompkins	Richmond, VA
Daniel	Wilmington, NC	Pol. #: 749 Date of Death 08/10/47	Common Laborer	John Tyler	Wilmington, NC
Daniel	Charleston, SC	Pol. #: 614 (1315)	House servant	Charles Hubert	Charleston, SC
Daniel Hall	Chesterfield County, VA	Pol. #: 311	Miner	Chesterfield Mining Co., William Benton as Agent	Black Heath Chesterfield, VA
David	Clover Hill, VA	Pol. #: 894	Miner in the pits - Krinse	Daniel Wooldridge	Chesterfield County, VA
David	Wilmington, NC	Pol. #: 1677	**	William Berry	Wilmington, NC
David	Henderson County, KY	Pol. #: 1734	Fireman	Jesse Braddock	Henderson County, KY
David	Savannah, GA	Pol. #: 1856	Laborer	William Burke Giles & Company	Wilmington, NC
David	Henderson County, KY	Pol. #: 825	Fireman on steamboat Empire	Jesse Braddock	Henderson County, KY

** information unknown

Page 7 of 31

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
David Coffer	Wilmington, NC	Pol. #: 538 (1424)	Carpenter	Daniel Floaming	Wilmington, NC
Davy	Wilmington, NC	Pol. #: 1057	Laborer	Anna Urquhart; Henry R. Savage exec	Wilmington, NC
Davy Dabney	Clover Hill, VA	Pol. #: 396	Miner	John Darracott	Richmond, VA
Dennis	Charleston, SC	Pol. #: 703	**	OH Dawson	Charleston, SC
Dennis	Natchez, MS	Pol. #: 1273	Natchez saw mill	J.D. Tyler Brown Cozzens & H.W. Chittenden	Natchez, MS
Dick	Montgomery, AL	Pol. #: 1318	Carpenter	IS Winter	Montgomery, AL
Dick	Franklin County, KY	Pol. #: 1656	Farmer	DD Freeman	Franklin County, KY
Dick	Henderson County, KY	Pol. #: 1574	Fireman	Arthur Quinn	Henderson County, KY
Dick	Macon, GA	Pol. #: 1066	Coach maker	De Leache & Wilcoxon	Macon, GA
Dick Ferguson	Wilmington, NC	Pol. #: 291 (950)	Engineer	William Buske Giles & Company	Wilmington, NC
Dick Giles	Chesterfield County, VA	Pol. #: 834	Chesterfield & Clover Hill coal mines	Jefferson Hancock	Chesterfield County, VA
Duncan	Wilmington, NC	Pol. #: 201 (969, 1666)	Common Laborer	Thomas Wright	Wilmington, NC
Edgar Porter	Chesterfield County, VA	Pol. #: 308	Miner	Mid Lothian Coal and Mining Co	Chesterfield County, VA
Edmond	Augusta, GA	Pol. #: 1595	Waiter	Adams Hopkins & Co.	Augusta, GA
Edmond	Augusta, GA	Pol. #: 1526	Moulder	Thomas Hopkins	Augusta, GA
Edmond	Richmond, VA	Pol. #: 434	Blacksmith	Barton Morris	Carolina County, VA
Edmond Chapman	Owsley County, KY	Pol. #: 946	Miner	George Green	Frankfort, KY
Edward	Louisville, KY	Pol. #: 1597	Cabin boy	Monroe Quarrier	Louisville, KY
Edward	Wilmington, NC	Pol. #: 1652	Laborer	William Berry	Wilmington, NC
Edward	**,**	Pol. #: 985	Farmer-New M Co.	Henry Phillips	Jefferson County, KY
Edward	Smithville, NC	Pol. #: 331	Carpenter	SB Everett	Smithville, NC
Edward Govan	King & Queens County, VA	Pol. #: 997	farm labor	James Govan	King & Queens County, VA
Eliza	Augusta, GA	Pol. #: 487 (1168)	slave	Stephen Oliver	Augusta, GA

** information unknown

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Eliza	Charleston, SC	Pol. #: 628 (1542)	House servant	Margaret Holton	Charleston, SC
Eliza	Charleston, SC	Pol. #: 664	House Servant	Joseph Robinson	Charleston, SC
Elizabeth	Natchez, MS	Pol. #: 1130	House servant	George Koontz	Natchez, MS
Elliot	Augusta, GA	Pol. #: 622 (1401)	Gunsmith	George Summers	Augusta, GA
Ellis	Owensboro, KY	Pol. #: 981	In mill	James Rogers	Owensboro, KY
Emeline	Columbus, GA	Pol. #: 1567	Cook	Sterling Grimes	Columbus, GA
Enoch	Chesterfield County, VA	Pol. #: 455	Miner	Thomas Crouch	Richmond, VA
Enoch	Louisville, KY	Pol. #: 827 (1522)	Cabin boy on S. B. Chancell	W. L. Breckenridge	Louisville, KY
Ephraim Green	Wilmington, NC	Pol. #: 283	Laborer	William Burke Giles	Wilmington, NC
Eugenia	Charleston, SC	Pol. #: 477	Home servant	John May	Charleston, SC
Eurias	Louisville, KY	Pol. #: 378	Running on the river	E. D. Seyra	Louisville, KY
Fanny	Mobile, AL	Pol. #: 1245	Washer & ironer	George Owen; R. Hamilton admin	Mobile, AL
Foster	Richmond, VA	Pol. #: 1097	row boat and lighters	William Tompkins	Richmond, VA
Frank	Mobile, AL	Pol. #: 1244	Brick maker & laborer	George Owen; R. Hamilton admin	Mobile, AL
Frank	Augusta, GA	Pol. #: 523	In grocery store	William Roberts	Augusta, GA
Frank	Charleston, SC	Pol. #: 1252	Carpenter	W. C. Ramsey	Charleston, SC
Frank	Edisto Island, SC	Pol. #: 458	Blacksmith	Jeremiah King	Edisto Island, SC
Frank	Henderson County, KY	Pol. #: 1576	Fireman	John Pritchell	Henderson County, KY
Frank Porter	Chesterfield County, VA	Pol. #: 1226	Clover Hill Pits	James Porter	Richmond, VA
Fred	Natchez, MS	Pol. #: 1132	**	William Wright	Natchez, MS
George	Montgomery, AL	Pol. #: 1625	Carpenter	IS Winter	Montgomery, AL
George	**	Pol. #: 2524	**	RH Tarum	Chesterfield County, VA
George	Louisville, KY	Pol. #: 1497	cabin boy - 1st class steam boat	Stephen Chanoweth	Louisville, KY

** information unknown.

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
George	Henderson County, KY	Pol. #: 1534	Fireman	John Smith	Henderson County, KY
George	Fayetteville, NC	Pol. #: 190	Ship Carpenter	Margaret O'Hendon	Fayetteville, NC
George	Augusta, GA	Pol. #: 644	Servant in grocery	Martin Modyrwell	Augusta, GA
George	Richmond, VA	Pol. #: 315	Laborer	John A. Lincafer and Edward Sinton	Richmond, VA
George Blackston	Lexington, KY	Pol. #: 647	Waiter on Louisville steamboat	Catharine Harper	Lexington, KY
George Cook	Jeff County, KY	Pol. #: 301	Fireman on steamboat Fry	William Woodruff	Jefferson County, KY
George Mills	Chesterfield County, VA	Pol. #: 418 (1043)	Miner	Nicholas Mills	Richmond, VA
Godfrey	Chesterfield County, VA	Pol. #: 427 (1052)	Miner	Nicholas Mills	Richmond, VA
Grace	Natchez, MS	Pol. #: 1743	**	William Lithgow & Carrison	Natchez, MS
Gratior	Little Rock, AR	Pol. #: 2491	Servant man	RL Dodge	Little Rock, AR
Griffin	Chesterfield County, VA	Pol. #: 344	Miner	Nelson Tunly	Black Heath Chesterfield, VA
Gustavas	Union County, KY	Pol. #: 324	Boatman	TB Shalading	Union County, KY
Hackey	Mobile, AL	Pol. #: 1246	Brick maker & laborer	George Owent R. Hamilton admin	Mobile, AL
Hampton	Montgomery, AL	Pol. #: 1319	Carpenter	IS Winter	Montgomery, AL
Hannah	Charleston, SC	Pol. #: 617	**	Rt Rev. Bishop Reynolds; Thomas Ryan	Charleston, SC
Hardy	Wilmington, NC	Pol. #: 1805	turpentine distillery	Wooster Anderson & Co.	Wilmington, NC
Hardy	Wilmington, NC	Pol. #: 234 (955)	Laborer	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC
Harriet	Natchez, MS	Pol. #: 1065 (1835)	House servant	C. Vennigholy	Natchez, MS
Harriet	Wilmington, NC	Pol. #: 765 (1547)	Cook	BN Hill	Wilmington, NC
Harriett	Augusta, GA	Pol. #: 456	Merchant	Adolphus Gardelle	Augusta, GA
Harrison	Union County, KY	Pol. #: 323	Boatman	TB Shalading	Union County, KY
Harry	Charleston, SC	Pol. #: 1512	Laborer	ME Carrere	Charleston, SC

** information unknown

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Harry	Fayetteville, NC	Pol. #: 1777	Blacksmith	David Roy	Fayetteville, NC
Harry	Wilmington, NC	Pol. #: 1252	Common laborer	Thomas Loring	Wilmington, NC
Harry Mills	Chesterfield County, VA	Pol. #: 414 (1039)	Miner	Nicholas Mills	Richmond, VA
Harry Montague	Chesterfield County, VA	Pol. #: 271 (922)	Miner	James Moody	Chesterfield County, VA
Harry Pickett	Chesterfield County, VA	Pol. #: 417 (1042)	Miner	Nicholas Mills	Richmond, VA
Haywood	Henderson County, KY	Pol. #: 1580	Fireman	William Hancock	Henderson County, KY
Hector	Wilmington, NC	Pol. #: 288 (958, 1815)	Laborer	Annabella Giles	Wilmington, NC
Helen	**	Pol. #: 10171	**	**	**
Henry	Natchez, MS	Pol. #: 1276	Natchez Saw Mill	J.D. Tyler Brown Corzons & H.W. Chittenden	Natchez, MS
Henry	Montgomery, AL	Pol. #: 1824	Laborer	IS Winter	Montgomery, AL
Henry	Wilmington, NC	Pol. #: 1864	Bricklayer	Annabella Giles	Wilmington, NC
Henry	Davies County, KY	Pol. #: 1707	Fireman	William Duncan	Davis County, KY
Henry	Chesterfield County, VA	Pol. #: 893	Miner	Daniel Wooldridge	Chesterfield County, VA
Henry	Henderson County, KY	Pol. #: 1508	Fireman	Robert Beverly	Henderson County, KY
Henry Clay	Louisville, KY	Pol. #: 1656	Steam boat hand	James McDowell	Louisville, KY
Henry Dickenson	Chesterfield County, VA	Pol. #: 425 (1050)	Miner	Nicholas Mills	Richmond, VA
Henry Hanes	Chesterfield County, VA	Pol. #: 422 (1047)	Miner	Nicholas Mills	Richmond, VA
Henry Lockett	Chesterfield County, VA	Pol. #: 1101	Miner at the Mid Lothian	Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA
Henry London	Wilmington, NC	Pol. #: 786	Cooper	Sarah London	Wilmington, NC
Henry Moody	**	Pol. #: 249 (921)	**	David Moody	Chesterfield County, VA
Henry Porter	Chesterfield County, VA	Pol. #: 1227	Clover Hill Fitts	James Porter	Richmond, VA
Henry Price	Wilmington, NC	Pol. #: 361 (993, 1810)	Cook Wilmington steamer	Anthony Wanet	Wilmington, NC
Henry Wright	Chesterfield County, VA	Pol. #: 382	Miner	Mid Lothian Coal and Mining Co	Chesterfield County, VA
Hester	Augusta, GA	Pol. #: 536	**	John Kent; John B. Murphy for	Augusta, GA

** information unknown

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Hester	Augusta, GA	Pol. #: 346	House servant	Jesse Kent	Augusta, GA
Hewlett	Chesterfield County, VA	Pol. #: 974	Miner at Mid Lothian	Higginson Hancock	Chesterfield County, VA
Isaac	Clover Hill, VA	Pol. #: \$95 Dead-Loss pd Oct. 47	Miner at the pits	Jefferson Cosby	Chesterfield County, VA
Isaac	Louisville, KY	Pol. #: 1174	Steam Boat, Charcoal	David Jewell Jr.	Louisville, KY
Isaac	Louisville, KY	Pol. #: 1594	Fireman	Monroe Quarrier	Louisville, KY
Isabel	Mobile, AL	Pol. #: 1241	Washer & ironer	George Owen; R. Hamilton admin	Mobile, AL
Isaiah	Louisville, KY	Pol. #: 1540	Fireman	John Randolph	Louisville, KY
Isam	Louisville, KY	Pol. #: 1715 Date of Death 06/27/48	Hand on a steam boat	David Victor	Louisville, KY
Israel	**	Pol. #: 253	**	RH Tanum	Chesterfield County, VA
Israel Walker	Chesterfield County, VA	Pol. #: 215 (\$62)	Miner	AS Woodbridge	Chesterfield County, VA
Jack	Augusta, GA	Pol. #: 1142	Hand on a steam boat	Haviland, Risley & Co.	Augusta, GA
Jack	Augusta, GA	Pol. #: 268	Wheelwright	Georgia Insurance & Trust Company re Insurance	Augusta, GA
Jack	Charleston, SC	Pol. #: 662 (1457)	House Servant	Joseph Robinson	Charleston, SC
Jack	Louisville, KY	Pol. #: 1498	cabin boy KY to LA steam boat	Stephen Chenoweth	Louisville, KY
Jack	Wachille Point, SC	Pol. #: 549	Carpenter	Daniel Graves	Charleston, SC
Jack	Wilmington, NC	Pol. #: 1718	Laborer in saw mill	William Howard	Wilmington, NC
Jack Ligon	Chesterfield County, VA	Pol. #: 1078	Miner	Joseph Mayo	Powhatan County, VA
Jack Reid	Augusta, GA	Pol. #: 387	Wheelwright	William Dewar	Charleston, SC
Jackson	Union County, KY	Pol. #: 938	steam boat Ambassador	John Payne	Union County, KY
Jacob	Savannah, GA	Pol. #: 1868	Laborer	EC Bradley	Wilmington, NC
Jacob	Richmond, VA	Pol. #: 1096	tow boat and lighters	William Tompkins	Richmond, VA

** information unknown

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Jacob	Mobile, AL	Pol. #: 1006	Steam boat hand	Caroline Richards	Mobile, AL
Jacob	Augusta, GA	Pol. #: 388	In printing office	John Adams	Augusta, GA
Jacob	Chesterfield County, VA	Pol. #: 1108	Coal Miner	Richard Archer	Chesterfield County, VA
James	Wilmington, NC	Pol. #: 1058	Laborer	Anna Urquhart; Henry R. Savage exec	Wilmington, NC
James	Aiken, SC	Pol. #: 920	House servant	OH Dawson	Charleston, SC
James	Augusta, GA	Pol. #: 1123	House servant	Charles Platt	Augusta, GA
James	Charleston, SC	Pol. #: 195 (\$48, 1701)	Baker	Robert Miller	Charleston, SC
James	Louisville, KY	Pol. #: 1596	Barber	Monroe Quarrier	Louisville, KY
James	Richmond, VA	Pol. #: 314	Laborer	John A. Lancaster and Edward Sinton	Richmond, VA
James Willis	Owsley County, KY	Pol. #: 947	Miner	George Green	Frankfort, KY
Jenkins	Montgomery, AL	Pol. #: 1826	Carpenter	IS Winter	Montgomery, AL
Jerry	Louisville, KY	Pol. #: 1671	Cabin boy	Hubbard Taylor; George W. Wicks for	** **
Jerry	Mobile, AL	Pol. #: 1773	House servant	Frederick Stewart	Mobile, AL
Jerry	Union County, KY	Pol. #: 1651	Fireman	John Ray	Union County, KY
Jesse Davis	Natchez, MS	Pol. #: 322	Barber	H Emerson	Natchez, MS
Jim	Charleston, SC	Pol. #: 593	House servant	W. Corcoran	Charleston, SC
Jim	Wilmington, NC	Pol. #: 290 (951)	Penman	William Burke Giles & Company	Wilmington, NC
Jim	Wilmington, NC	Pol. #: 281 (954)	Carpenter	William Burke Giles	Wilmington, NC
Jim	Savannah, GA	Pol. #: 513	Carpenter	Joseph Thompson	Savannah, GA
Jim	Louisville, KY	Pol. #: 350	Manufacturer	Harriet Saunders	Louisville, KY
Jim	Louisville, KY	Pol. #: 1021	logging factory	Harriet Sanders	Shelby County, KY
Jim	Charleston, SC	Pol. #: 976	Mason	W.H. Grayson	Charleston, SC
Jim	Charleston, SC	Pol. #: 354 (1454)	**	John King	Charleston, SC
Jim	Charleston, SC	Pol. #: 196 (\$49, 1702)	Baker	Robert Miller	Charleston, SC

** information: unknown

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
John	**, KY	Pol. #: 911	Fireman on boat Uncle Sam	Maurice Langhorne	Louisville, KY
John	Wilmington, NC	Pol. #: 745 (1845)	Waiter on board U.S.M.S	JEN Hill	Wilmington, NC
John	Wilmington, NC	Pol. #: 289 (949)	Laborer	William Burke Giles & Company	Wilmington, NC
John	Wilmington, NC	Pol. #: 279 (952)	Carpenter	William Burke Giles	Wilmington, NC
John	**, KY	Pol. #: 914	Fireman on boat Uncle Sam	Samuel Martin	Clarke County, KY
John	Henderson County, KY	Pol. #: 529	Fireman on Boat Empire	Leonard Robertsons	Henderson County, KY
John	Columbia County, GA	Pol. #: 522	Laborer	John Glendinning	**, **
John	Charleston, SC	Pol. #: 321 (931)	Laborer	RM Levy	Charleston, SC
John	Charleston, SC	Pol. #: 197 (850, 1703)	Baker	Robert Miller	Charleston, SC
John	Charleston, SC	Pol. #: 1683	**	Ignatius Reynolds	Charleston, SC
John	Scott County, KY	Pol. #: 1782	Boatman	James Alisofo, M. Danaby	Stamping Grounds, Scott C., KY
John	Natchez, MS	Pol. #: 1277	Natchez saw mill	J.D. Tyler Brown Cozzens & H.W. Chittenden	Natchez, MS
John Davis	Natchez, MS	Pol. #: 1644	Slave	SC Cox	Natchez, MS
John Giles	Wilmington, NC	Pol. #: 1860	Carpenter	William Burke Giles	Wilmington, NC
John Govan	King & Queens County, VA	Pol. #: 999	Farmer on plantation	James Govan	King & Queens County, VA
John Hooper	Wilmington, NC	Pol. #: 1884	Laborer	Thomas Wright	Wilmington, NC
John Hunt	Chesterfield County, VA	Pol. #: 423 (1045)	Miner	Nicholas Mills	Richmond, VA
John McGuire	Wilmington, NC	Pol. #: 784	Mason	Sarah London	Wilmington, NC
John Owen	Louisville, KY	Pol. #: 1495	fireman	Stephen Chenoweth	Louisville, KY
John Walters	Fredricksburg, VA	Pol. #: 453	Machine builder and pattern maker	Wm Bowen	Fredricksburg, VA
John Wright	Wilmington, NC	Pol. #: 203 (971, 1663)	Common Laborer	Thomas Wright	Wilmington, NC
Jobany	Charleston, SC	Pol. #: 1346	House servant	William Carter	Charleston, SC

** information unknown

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Jordan Hancock	Chesterfield County, VA	Pol. #: 309	Miner	Woodson Hancock	Chesterfield County, VA
Jordan Lockett	Chesterfield County, VA	Pol. #: 1102	Miner	Edmund Lockett; Zachariah H. Brooks, exec.	Chesterfield County, VA
Jordan Porter	Chesterfield County, VA	Pol. #: 1228	Clover Hill Pits	Alexander Martin	Chesterfield County, VA
Joseph	Augusta, GA	Pol. #: 1075	Barber	William Savage	Augusta, GA
Josh	Wilmington, NC	Pol. #: 527 (1211)	Book and shoe maker	W Lord	Wilmington, NC
Julius	Charleston, SC	Pol. #: 355; (875)	**	Elizabeth Poyas	Charleston, SC
Juniper Lewis	**	Pol. #: 3478	**	**	**
Kelly	Wilmington, NC	Pol. #: 204	**	Frederick Swann	Chatham County, NC
Les	Montgomery, AL	Pol. #: 1829	Laborer	IS Winter	Montgomery, AL
Lettie	Charleston, SC	Pol. #: 268	House servant	Georgia Insurance & Trust Company, re Insurance	Augusta, GA
Lefty	Mobile, AL	Pol. #: 1310	House servant	Joseph Field	Mobile, AL
Leyis	Henderson County, KY	Pol. #: 1533	Fireman	John Smith	Henderson County, KY
Lewis	**	Pol. #: 912	Fireman on Steam Boat Uncle Sam	Maurice Langhorne	Louisville, KY
Lewis	**	Pol. #: 1032	Hand on Steam Boat Uncle Sam	Maurice Langhorne	Louisville, KY
Lewis	Henderson County, KY	Pol. #: 1507	Fireman	William Nunn	Henderson County, KY
Lewis	Chesterfield County, VA	Pol. #: 345 (996)	Miner	Haley Cole	Chesterfield County, VA
Lewis	Charleston, SC	Pol. #: 918 (1760)	Baker	Robert Miller	Charleston, SC
Lewis	Wilmington, NC	Pol. #: 287 (959)	Carpenter	William Burke Giles	Wilmington, NC
Lewis Goyan	King & Queen County, VA	Pol. #: 998	farm hand	James Goyan	King & Queen County, VA
Lewis Mills	Chesterfield County, VA	Pol. #: 415 (1040)	Miner	Nicholas Mills	Richmond, VA
Lewis Watkins	Chesterfield County, VA	Pol. #: 340	Miner	William Watkins	Powhatan County, VA
Lix	Louisville, KY	Pol. #: 1604	Fireman	Robert Maurice Bell Quarrier	Louisville, KY
Lilas	Martin County, NC	Pol. #: 810	Farmer, Timber gatherer, Fishing	John Hyman	Williamston, NC

** information unknown

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
London Dabney	Clover Hill, VA	Pol. #: 395	Miner	John Darnacott	Richmond, VA
Lucy	Louisville, KY	Pol. #: 531	Nurse	Tyrel Thornton	Louisville, KY
Luisa	Little Rock, AR	Pol. #: 2491	Servant woman	RL Dodge	Little Rock, AR
Luna	Montgomery, AL	Pol. #: 1821	smith	IS Winter	Montgomery, AL
Lynas	Henderson County, KY	Pol. #: 1532	Fireman	Edward McBride	Henderson County, KY
Madison James	Charterfield County, VA	Pol. #: 415 (1041)	Miner	Nicholas Mills	Richmond, VA
Mahol	Natchez, MS	Pol. #: 523 (1664)	**	George Stanwood	Natchez, MS
Mahul	Wilmington, NC	Pol. #: 358	House servant	James Burch	Wilmington, NC
March	Montgomery, AL	Pol. #: 1827	Carpenter	IS Winter	Montgomery, AL
Marcus	Wilmington, NC	Pol. #: 1153 (1857)	Laborer at mill	William Burke Giles	Wilmington, NC
Mareus	Wilmington, NC	Pol. #: 1643	A Slave	John Wooster	Wilmington, NC
Mari	Charleston, SC	Pol. #: 1009 (1813)	Slave	Ann Kershaw	Charleston, SC
Martha	Louisville, KY	Pol. #: 1637	**	Robert Sattenwhite	Louisville, KY
Mary	Wilmington, NC	Pol. #: 1233	Cook	Thomas Loring	Wilmington, NC
Mary	Wilmington, NC	Pol. #: 205	**	Frederick Swann	Chatham County, NC
Mary Ann	Mobile, AL	Pol. #: 1774	House servant	Frederick Stewart	Mobile, AL
Mary Ann	Wilmington, NC	Pol. #: 529	House Servant	Sarah De Rosset	Wilmington, NC
Matilda	Louisville, KY	Pol. #: 470	Servant	Michael Lomax	Louisville, KY
Matt	Henderson County, KY	Pol. #: 1573	Fireman	John Muncaster	Henderson County, KY
Melinda	Louisville, KY	Pol. #: 530 (948)	Widow	Abraham Hite	Louisville, KY
Murray	Wilmington, NC	Pol. #: 1817	Saw mill, turpentine distillery	CW Bradley	Wilmington, NC
Myra	Charleston, SC	Pol. #: 1453	House servant	Joseph Robinson	Charleston, SC
Nace	Union County, KY	Pol. #: 939	Hand on steam boat Ambassador	Mary Greenwell	Union County, KY
Nassau	Montgomery, AL	Pol. #: 1823	Carpenter	IS Winter	Montgomery, AL

** information unknown

Page 17 of 31

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Nat	Louisville, KY	Pol. #: 1603	Fireman	Robert Monroe Bell Quarrier	Louisville, KY
Nat Sims	Frankfort, KY	Pol. #: 705 (1553)	Barber	William Hunt	Frankfort, KY
Nathan	Henderson County, KY	Pol. #: 1579	Fireman	William Crenshaw	Henderson County, KY
Nathan	Henderson County, KY	Pol. #: 1536 Date of Death 03/29/48	Fireman	Thomas Lambert	Henderson County, KY
Nathan Nork	Chesterfield County, VA	Pol. #: 447 (1055)	miner	Nicholas Mills	Richmond, VA
Ned	Louisville, KY	Pol. #: 1605	Fireman	Robert Monroe Bell Quarrier	Louisville, KY
Ned	**	Pol. #: 251	**	RH Tatum	Chesterfield County, VA
Ned Lockett	Chesterfield County, VA	Pol. #: 1190	Miner at coal mines	Edmond Lockett, Zachariah H. Brooks, exec.	Chesterfield County, VA
Ned Martin	Wilmington, NC	Pol. #: 285 (\$57, 1316)	Cook	Richard William Burke Bradley Giles	Savannah Wilmington, GA NC
Ned Mills	Chesterfield County, VA	Pol. #: 406 (1034)	Miner	Nicholas Mills	Richmond, VA
Nelson Finley	Chesterfield County, VA	Pol. #: 449	Miner	Charles Mills	Richmond, VA
Nicholas	Louisville, KY	Pol. #: 1723	Cabin boy	George Zumar	Louisville, KY
Norborne	**, KY	Pol. #: 913	Fireman on Steam Boat Uncle Sam	Samuel Martin	Clarke County, KY
Nork	Natchez, MS	Pol. #: 1293	House servant	William Robertson	Natchez, MS
Oliver	Franklin County, Frankfort, KY	Pol. #: 1116	Fireman on Steam Boat Jack Shelby	Seurs Sneed	Frankfort, KY
Ovid	Wilmington, NC	Pol. #: 1650	**	John Weopster	Wilmington, NC
Paris	Henderson County, KY	Pol. #: 1538	Fireman	James McBride	Henderson County, KY
Patrick Cheatham	Chesterfield County, VA	Pol. #: 420 (1045)	Miner	Nicholas Mills	Richmond, VA
Patsy	Fayetteville, NC	Pol. #: 189	Cook	Margaret O'Hanlon	Fayetteville, NC
Perry	Savannah, GA	Pol. #: 393	Labourer aboard steamboat	Thomas ILLEGIBLE	Savannah, GA
Peter	Henderson County, KY	Pol. #: 1557 Date of Death 03/48	Fireman	Thomas Lambert	Henderson County, KY
Peter	Wilmington, NC	Pol. #: 1151 (1849)	mill hand	Richard William Burke Bradley Giles	Savannah, Wilmington, GA NC

** Information unknown

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Peter	Oldham, KY	Pol. #: 305	Farm serv.	Samuel Le Noek	Louisville, KY
Peter	Chesterfield County, VA	Pol. #: 431	Miner	John Robson	Panhattan County, VA
Peter	**, **	Pol. #: 352	Labourer at steam sawmill	RH Cowen	Wilmington, NC
Peter Ellis	Chesterfield County, VA	Pol. #: 343 (899)	Miner	Joseph Ellis	Goochland County, VA
Philip	Henderson County, KY	Pol. #: 526 (1735)	Fireman on Western River	Jesse Braddock	Henderson County, KY
Philip Swana	Chesterfield County, VA	Pol. #: 228 Date of Death 08/28/46	Miner	EA Clarke	Chesterfield County, VA
Phil Anderson	Chesterfield County, VA	Pol. #: 411 (1036)	Miner	Nicholas Mills	Richmond, VA
Phil Moody	**, **	Pol. #: 243 (919)	**	David Moody	Chesterfield County, VA
Phillis	Charleston, SC	Pol. #: 483 (1136)	Home servant	William Greenland	Charleston, SC
Phyllis	Charleston, SC	Pol. #: 263	House servant	Georgia Insurance & Trust Company re Insurance	Augusta, GA
Pleasant	Chesterfield County, VA	Pol. #: 833	Blacksmith	Higginson Hancock	Chesterfield County, VA
Prifous	Wilmington, NC	Pol. #: 783	**	Sarah London	Wilmington, NC
Providence	Charleston, SC	Pol. #: 592 (1268)	Tailor	John King	Charleston, SC
Rachel	Wilmington, NC	Pol. #: 1425	**	Daniel Fleeming	Wilmington, NC
Ralph	Union County, KY	Pol. #: 799	Fireman on Bunker Hill	John Buntis	Union County, KY
Randolph	Chesterfield County, VA	Pol. #: 454	Miner	Thomas Crouch	Richmond, VA
Randolph Wright	Chesterfield County, VA	Pol. #: 381	Miner	Mid Lothian Coal and Mining Co	Chesterfield County, VA
Reuben	Augusta, GA	Pol. #: 1527	Moulder	Thomas Hopkins	Augusta, GA
Reuben	Chesterfield County, VA	Pol. #: 1107	Chesterfield Mines	Richard Archer	Chesterfield County, VA
Reuben	New Orleans, LA	Pol. #: 1269	**	AB Coleman	New Orleans, LA
Reuben Rucker	Owsley County, KY	Pol. #: 944 (1753)	Coal miner	George Green	Frankfort, KY
Reubenias Dutch	Chesterfield County, VA	Pol. #: 426 (1051)	Miner	Nicholas Mills	Richmond, VA
Richard	Montgomery, AL	Pol. #: 1823	General servant	IS Winter	Montgomery, AL

** information unknown

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Richard	Martin County, NC	Pol. #: 807	Farmer, Timber gatherer, Fishing	John Hyman	Williamston, NC
Richard Johnson	Chesterfield County, VA	Pol. #: 507	Miner	Mid Lothian Coal and Mining Co	Chesterfield County, VA
Richard or Dick	Augusta, GA	Pol. #: 261	**	Jacob Sistrunk	Augusta, GA
Richard Walker	Wilmington, NC	Pol. #: 750	Common Laborer	John Tyler	Wilmington, NC
Robert	Mobile, AL	Pol. #: 1243	House servant	George Owen; R. Hamilton admin	Mobile, AL
Robert	Russellville, KY	Pol. #: 903 (1729, 2891)	Farmer	William Owens Jr.	Russellville, KY
Robert	Hamburg, GA	Pol. #: 1349	No particular occupation	G Walker	Hamburg, GA
Robert	Charleston, SC	Pol. #: 657	Butcher	C Happoldt	Charleston, SC
Robert	Charleston, SC	Pol. #: 616	**	Rd Ray Bishop, Reynolds; Thomas Ryan	Charleston, SC
Robert	Charleston, SC	Pol. #: 1089	House servant	Thomas O'Brien	Charleston, SC
Robert	Augusta, GA	Pol. #: 442 (1167)	Steve Boy	Stephen Oliver	Augusta, GA
Robert	** KY	Pol. #: 1060	Cabin boy, Cincinnati	Warwick Miller	Louisville, KY
Robert Moody	Clover Hill, VA	Pol. #: 925	Miner at coal pits	James Moody	Chesterfield County, VA
Robia	Mobile, AL	Pol. #: 1247	carpenter	George Owen; R. Hamilton admin	Mobile, AL
Roger	Wilmington, NC	Pol. #: 1340	steam saw mill	Ann Sellers	Wilmington, NC
Romeo	Edgefield County, SC	Pol. #: 813	rice field hand	Charles Walker	Edgefield, SC
Ron	Charleston, SC	Pol. #: 268	House servant	Georgia Insurance & Trust Company re Insurance	Augusta, GA
Sally	Jefferson County, KY	Pol. #: 983	House servant on farm at New M	Henry Phillips	Jefferson County, KY
Sam	Augusta, GA	Pol. #: 268	Carriage painter	Georgia Insurance & Trust Company re Insurance	Augusta, GA
Sam	Wilmington, NC	Pol. #: 207	Common Laborer	Frederick Swann	Chatham County, NC
Sam	Savannah, GA	Pol. #: 1866	Laborer	EC Bradley	Wilmington, NC
Sam	Charleston, SC	Pol. #: 268	Laborer	Georgia Insurance & Trust Company re Insurance	Augusta, GA

** information unknown

Page 20 of 31

Insurance Company: **New York Life Insurance Company**

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Sam	Chesterfield County, VA	Pol. #: 455	Miner	Thomas Crouch	Richmond, VA
Sam	Columbus, GA	Pol. #: 330	Mason	Patrik Adams	Columbus, GA
Sam Berry	Savannah, GA	Pol. #: 1354	Laborer	William Burke Giles & Company	Wilmington, NC
Sam Jones	Chesterfield County, VA	Pol. #: 270 (920)	Miner	James Moody	Chesterfield County, VA
Sam Kiner	Chesterfield County, VA	Pol. #: 424 (1049)	Miner	Nicholas Mills	Richmond, VA
Sam Rid	Chesterfield County, VA	Pol. #: 419 (1044)	Miner	Nicholas Mills	Richmond, VA
Sam Walker	Wilmington, NC	Pol. #: 748	Common Laborer	John Tyler	Wilmington, NC
Sampson	Louisville, KY	Pol. #: 1067	On board Steam Boat Ringold	Patty Stewart	Louisville, KY
Sampson	Wilmington, NC	Pol. #: 526 (1210)	Penman in steam sawmill	W Lord	Wilmington, NC
Sapford	Macon, GA	Pol. #: 1202	Apprentice to smith	De Loache & Wilcoxon	Macon, GA
Sandy	Charleston, SC	Pol. #: 489	Carpenter	PP Allen	Charleston, SC
Sandy	Charleston, SC	Pol. #: 322 (977, 2118)	Laborer	Amalia Chapman	Charleston, SC
Sandy	Charleston, SC	Pol. #: 403 (1317)	Laborer	MB Carrere	Charleston, SC
Sarah	Charleston, SC	Pol. #: 353 (978)	**	Charles Cochran	Charleston, SC
Sarah	Natchez, MS	Pol. #: 524 (1665)	**	George Stanwood	Natchez, MS
Sarah	Savannah, GA	Pol. #: 590	House servant	George Adams	Savannah, GA
Sawney	Martin County, NC	Pol. #: 809	Farmer, Timber gatherer, Fishing	John Hyman	Williamston, NC
Scott	Louisville, KY	Pol. #: 1598	**	Monroe Quarter	Louisville, KY
Scott	Natchez, MS	Pol. #: 1834	Servant	C Vennigerholy	Natchez, MS
Selias	Wilmington, NC	Pol. #: 1240	House servant	Thomas Loring	Wilmington, NC
Sellah	Augusta, GA	Pol. #: 838	House servant	Jesse Kent	Augusta, GA
Simon	Wilmington, NC	Pol. #: 1237	Laborer on a turpentine farm	Daniel Fleeming	Wilmington, NC
Smart	Charleston, SC	Pol. #: 591 (1267)	Stevordore	Adeline Monthses, Levy J. Monthses	Charleston, SC

** information unknown

Page 21 of 31

Insurance Company: New York Life Insurance Company					
Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Sofomon	Savannah, GA	Pol. #: 1855	Laborer	William Burke Giles & Company	Wilmington, NC
Squire	Franklin County, KY	Pol. #: 1658	**	Thomas Hall	Franklin County, KY
Squire	On Island 36, Tipton County, TN	Pol. #: 1439	Farming & Woodchopping	Mess. Smith & Denford	Louisville, KY
Squire Sackett	Chesterfield County, VA	Pol. #: 972	House server	Ann Sackett	Chesterfield County, VA
Stephen	Franklin County, KY	Pol. #: 1692	Fitterman	Henry Sneed	Franklin County, KY
Stepha	Natchez, MS	Pol. #: 1275	Natchez saw mill	J.D. Tyler Brown Cozzens & H.W. Chittenden	Natchez, MS
Stephen	Wilmington, NC	Pol. #: 1258	Laborer at a Turpentine farm	Daniel Fleming	Wilmington, NC
Sukey	Charleston, SC	Pol. #: 404	Servant	ME Carrere	Charleston, SC
Susan	Augusta, GA	Pol. #: 837	House servant	Jesse Kent	Augusta, GA
Sylvester	Mobile, AL	Pol. #: 1262	Female Slave	George Owen, R. Hamilton admin	Mobile, AL
Tartan	Charleston, SC	Pol. #: 268	Carpenter	Georgia Insurance & Trust Company re Insurance	Augusta, GA
Thaddcus	**	Pol. #: 590	Laborer at steam sawmill	RH Cowan	Wilmington, NC
Thomas	Henderson County, KY	Pol. #: 1679	Fitterman	John Hart	Henderson County, KY
Thomps	Wilmington, NC	Pol. #: 1647	A Slave	John Wooster	Wilmington, NC
Thornton	Charleston, SC	Pol. #: 1682	**	Ignatius Reynolds	Charleston, SC
Thornton	Louisville, KY	Pol. #: 1714	SL BL Hand	WH Smith, W.S.D McGowan	Louisville, KY
Tillman	Louisville, KY	Pol. #: 1486	fireman on KY to LA steamboat	Stephen Chenoweth	Louisville, KY
Tom	Savannah, GA	Pol. #: 1853	Laborer	William Burke Giles & Company	Wilmington, NC
Tom	Union County, KY	Pol. #: 799	Fitterman on Bunker Hill	John Bunini	Union County, KY
Tom	Wilmington, NC	Pol. #: 514	Common Laborer	William Smith	Wilmington, NC
Tom	Natchez, MS	Pol. #: 1272	Natchez saw mill	J.D. Tyler Brown Cozzens & H.W. Chittenden	Natchez, MS

** information unknown

Page 22 of 31

Insurance Company: New York Life Insurance Company

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
Tim	**	Pol. #: 445 (598)	Running on the River	Rebecca Averill	Anderson County, KY
Tom	Savannah, GA	Pol. #: 168	Laborer	Thomas Robinson	Savannah, GA
Tom Pollard	Chesterfield County, VA	Pol. #: 335	Miner	Higginson Hancock	Chesterfield County, VA
Tommy	Charleston, SC	Pol. #: 198 (\$51, 1784)	Baker	Robert Miller	Charleston, SC
Toscy	Wilmington, NC	Pol. #: 1259	Turpentine Farm	Daniel Fleming	Wilmington, NC
Vincent	Henderson County, KY	Pol. #: 1581 Date of Death 01/30/45	Fireman	William Hancock	Henderson County, KY
Vincent	Nelson County, KY	Pol. #: 767 (1636)	Blacksmith	Mary Jane Maddux	Nelson County, KY
Walbee	Jefferson County, KY	Pol. #: 1179	on steam boat Luma	John Jones	Jefferson County, KY
Warwick	Jefferson County, KY	Pol. #: 1141 Date of Death 06/47	Fireman on Steam Boat Diane	John Jones	Jefferson County, KY
Washington	Wilmington, NC	Pol. #: 1085 (1874)	Laborer	William Rourke	Wilmington, NC
Washington	Wilmington, NC	Pol. #: 374	Apprentice to a mason	James Millman	Wilmington, NC
Whitmet	Martin County, NC	Pol. #: 808	Farmer, Timber gatherer, Fishing	John Hyman	Williamston, NC
Will	Wilmington, NC	Pol. #: 751	Cooper	John Tyler	Wilmington, NC
Willaby	Louisville, KY	Pol. #: 1120	Boatman steam boat	Gabriel Jones	Louisville, KY
William	Louisville, KY	Pol. #: 1595	Cabin boy	Monroe Quarrier	Louisville, KY
William	Wilmington, NC	Pol. #: 335 (994, 1751)	Servant on board a steamer	John Walker	Wilmington, NC
William	Wilmington, NC	Pol. #: 1629	Turpentine distiller	Catherine Robeson	Wilmington, NC
William	Montgomery, AL	Pol. #: 1620	Laborer	JS Winter	Montgomery, AL
William	Henderson, KY	Pol. #: 902 (1539)	Fireman on boat	Jesse Griffin	Henderson County, KY
William	Mobile, AL	Pol. #: 1023 (1966)	Drayman	Rodolphus Williams	Mobile, AL
William	**	Pol. #: 910	Fireman on steam boat	John Speldie	Henderson County, KY

**information unknown

Page 23 of 31.

Insurance Company: New York Life Insurance Company

Slave Name	Location	Policy Information	Occupation	Slave Holder	Location
William	Henderson County, KY	Pol. #: 1509	Fireman	Robert Beverly	Henderson County, KY
William	Ghent, KY	Pol. #: 764	On steam boat Chancellor	Joseph Craig	Ghent, Carroll County, KY
William	Brunswick County, NC	Pol. #: 332	Laborer	Frederick Swann	Chatham County, NC
William	Augusta, GA	Pol. #: 1123 (1913)	In furniture store	Charles Plant	Augusta, GA
William	Henderson County, KY	Pol. #: 1536	Fireman	Matilda Collier	Henderson County, KY
William	Lexington, KY	Pol. #: 646	Cook on steamboat KY to LA	Catharine Harper	Lexington, KY
William Henry Watki	Chesterfield County, VA	Pol. #: 341	Miner	William Watkins	Powhatan County, VA
William Johnson	Owsley County, KY	Pol. #: 945 (1754)	Miner	George Green	Frankfort, KY
William Maston	Chesterfield County, VA	Pol. #: 304 (377)	Miner	Mid Lothian Coal and Mining Co	Chesterfield County, VA
William Smith	Wilmington, NC	Pol. #: 202 (970, 1667)	Brick Mason	Thomas Wright	Wilmington, NC
William Watkins	Chesterfield County, VA	Pol. #: 342	Miner	William Watkins	Powhatan County, VA
William Wright	Wilmington, NC	Pol. #: 643 (1359)	Common laborer	Thomas Wright	Wilmington, NC
Wilson	Chesterfield County, VA	Pol. #: 407 (1033)	Miner	Nicholas Mills	Richmond, VA
Woodley	Wilmington, NC	Pol. #: 375	Apprentice to a mason	James Millman	Wilmington, NC
Zach	Louisville, KY	Date of Death 06/48	Fireman	Marroe Quarrier	Louisville, KY

** Information unknown

Page 24 of 31