Affidavits and Certifications

City of Chicago
Richard M. Daley, Mayor

Department of Planning and Development
J. F. Boyle, Jr., Commissioner
DEPARTMENT OF PLANNING AND DEVELOPMENT
121 NORTH LASALLE STREET, ROOM 1000
CHICAGO, IL 60602
(312) 744-9220

PRELIMINARY APPLICATION
AND
ECONOMIC DISCLOSURE STATEMENT

Pursuant to Chapter 26.1 of the Municipal Code, the following information is required to be disclosed prior to any City Agency, Department or City Council action. Please fill out the statement completely, with all information current as of the attestation date. Every question must be answered. If a question is not applicable, answer with "N.A.".

An incomplete or improperly attested Disclosure Statement will be returned and any anticipated City action shall be interrupted.

I. GENERAL INFORMATION

A. Applicant: Republic Aluminum Inc.

B. City Agency Receiving Application: Department of Planning & Development

C. Type of Action Requested: CDBG Loan & TIF

D. Project Location: Goose Island, bounded by North Branch Canal, Weed, Cherry, Hickory and Evergreen Streets

E. Brief Project Description: 290,000 square foot window manufacturing facility.

F. Total Project Cost: $17,376,402

G. Loan Amount/Grant Amount/Level of Assistance Requested: $10,000,000 CDBG, $6,000,000 TIF
H. Purpose of Loan/Grant Assistance: 

Infrastructure Cost

Environmental

Acquisition

II. APPLICANT INFORMATION

A. The Applicant is a(n):

1. Individual

2. Corporation

3. General Partnerships

4. Limited Partnership

5. Association, Joint or Common Venture

6. Land Trust, Business Trust, Estate

B. FOR A CORPORATION, CORPORATE PARTNER, CORPORATE SHAREHOLDER OR CORPORATE BENEFICIARY:

1. If the applicant is a corporation having fewer than 100 shareholders indicate or attach hereto a list of the names and addresses of all shareholders and the percentage of interest of each therein; identify the officers and the directors of such corporation.

William Spielam, Chicago, IL 60611

Ronald Spielman, Chicago, IL 60614

Richard Gillman, Chicago, IL 60614

2. If the applicant is a corporation having 100 shareholders or more indicate or attach hereto a list of the names and addresses of all shareholders owning shares equal to or in excess of 3% of the proportionate ownership interest and the percentage of interest of each therein; identify the officers and the directors of such corporation.

Richard Gillman 13% Executive Vice President - Director

Ron Spielman 55% President - Director

William Spielman 30% Chairman of Board - Director

Miriam Spielman

3. The applicant is incorporated under the laws of the state of Illinois and authorized to do business in the state of Illinois. Its principal office is located at 1725 W. Diversey Chicago, IL 60614

Note: Any corporation required by law to file a statement providing substantially the information required above, with any other governmental agency may, in lieu of the above, file
a duplicate of such statement or sufficient parts thereof to provide the required information, with the approval of the Corporation Counsel.

C. FOR A PARTNERSHIP, ASSOCIATION, JOINT OR COMMON VENTURE:

1. If the applicant is a partnership, association or joint or common venture, indicate below the name and address of each such partner, associate, or person and the percentage of interest of each therein.

D. FOR A LAND TRUST, BUSINESS TRUST, ESTATE OR OTHER:

1. If the applicant is a land trust, business trust, estate or other similar commercial or legal entity, identify any representative, person or entity holding legal title as well as each beneficiary in whose behalf title is held, including the name, address and percentage of interest of each beneficiary.

Note: Whenever a stock or beneficial interest is held by a corporation or other legal entity, such share-holder or beneficiary shall also make disclosure as required above for corporations or other legal entities. Attach any additional information required to this statement.

III. OTHER PROJECT INFORMATION

A. Title to the subject property is presently held by:

CMC Heartland Partners

(Name and address)

If title held in a land trust, list below the name, address and percentage of interest of each beneficiary:

Real Estate Tax Index Number(s): 17-05-205-008

17-05-205-020

17-05-205-025
B. Applicant Attorney:
   Name: Samuel J. Polsky
   Address: Polsky & Riordan Ltd., 205 N. Michigan, #3909, Chgo. 60601
   Telephone: 312-540-0200

C. Bond Counsel:
   Name: ________________________________
   Address: ________________________________
   Telephone: ________________________________

D. Primary Permanent Lender:
   Name: American National Bank
   Address: 33 North LaSalle, Chicago, Illinois
   Contact Person: Art Murray
   Telephone: 312-661-9343

E. Loan Participant or Additional Lender (if any):
   Name: ________________________________
   Address: ________________________________
   Contact Person: ________________________________
   Telephone: ________________________________

F. Interim/Construction Lender:
   Name: ________________________________
   Address: ________________________________
   Contact Person: ________________________________
   Telephone: ________________________________
G. Architect:

Name: ________________________________
Address: ________________________________
Telephone: ________________________________

H. General Contractor:

Name: ________________________________
Address: 400 W. Huron Chicago, IL 60610
Telephone: 312-266-9800

I. Surety, Letter of Credit or Credit Instrument Obligor:

Name: ________________________________
Address: ________________________________
Contact Person: ________________________________
Telephone: ________________________________

J. Consultant:

Name: ________________________________
Address: ________________________________
Contact Person: ________________________________
Telephone: ________________________________
Role in Project: ________________________________
IV. ADDITIONAL APPLICANT INFORMATION

A. Has the applicant or a member of the applicant

a. ever been a defendant in any suits or legal actions?  
   Yes X  No ___

b. ever had any debts discharged, satisfied or settled under the Bankruptcy Act?  
   Yes ___ No X

c. ever had a judgment against him?  
   Yes X  No ___

d. ever been a party to a foreclosure, a deed in lieu of foreclosure, a loan default or loan "workout" situation?  
   Yes ___ No X

Note: If the answer to any of the above questions is "Yes" please attach a separate schedule explaining the circumstances, parties involved and resolution or status.

B. Applicant Credit References

Please list below the names of banks, finance companies or other creditors where credit has been obtained.

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<th>Contact Person</th>
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<tbody>
<tr>
<td>American National Bank 33 N. Lasalle St. Chicago, IL 60609</td>
<td>John McKinnon</td>
<td>See Attached List</td>
</tr>
</tbody>
</table>

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<tr>
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<th>Address</th>
<th>Contact Person</th>
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</thead>
</table>

V. ADDITIONAL SCHEDULES REQUIRED TO BE ATTACHED OF THIS STATEMENT

A. Proposed Project Budget

B. Proposed Sources and Uses of Funds

C. Applicant's Track Record With Same or Similar Projects

D. Applicant's Corporate and/or Personal Financial Statements, as Applicable

Note: Pursuant to section 26.1-3 of the Municipal Code of the City of Chicago, the Corporation Counsel of the City of Chicago may require any such additional information from any applicant to achieve full disclosure relevant to the request for action by the City Council or other City agency. Pursuant to Section 26.1-2 of the Municipal Code of the City of Chicago any material change in the information required above must be provided by supplementing this statement at any time up to the time the City Council or other City agency takes action on the application.
Page 7: Question IV A. a.
Suits by customers for product performance & suits by supplier/vendors for defective equipment/supplies.

Page 7: Question IV A. c.
Suits settled through dismissal in court or by settlement of amount asked for in initial suit. All cases have been settled/dismissed.

Page 7: Question V C.
In 1983, Republic closed on a $1,000,000.00 Industrial Revenue Bond. The balance currently owed is $180,000.00. This balance will be paid in full in 1998.
REPUBLIC ALUMINUM, INC.
TRADE REFERENCES

BANK: American National Bank
33 N. LaSalle Dr.
Chicago, IL  60602
PH:  (312) 661-5207
ATTN:
Account No. 4046919

Trade References

Guardian Industries
14600 Romine Rd.
Carleton, MI  48117
PH:   (313) 962-2252

Astro Shapes
65 Main St.
Struthers, OH  44471
PH:   (216) 755-1414

Ashland Products
10910 S. Langley
Chicago, IL  60628
PH:  (312) 568-6500

Caldwell Manufacturing Co.
2605 Manitou Rd.
Rochester, NY
PH:  (716) 352-3790

Truth
700 W. Bridge St.
Owatonna, MN  55060
PH:  (507) 451-5620

McMaster-Carr
P.O. Box 4355
Chicago, IL  60680
PH:  (708) 834-9600

L.B. Plastics, Inc.
Highway 150 - Plaza Dr.
Mooresville, NC  28115
PH:  (704) 663-1543

Hygrade Metal Molding
540 Smith St.
Farmingdale, NY  11735
PH:  (516) 293-8797

PPG Industries, Inc.
2800 W. Higgins Rd., Ste. 255
Hoffman Estates, IL  60195
PH:  (708) 884-1840

Custom Window Extrusion, Inc.
1 Contact Place
Delmont, PA  15626
PH:  (412) 468-4553

Veka, Inc.
100 Veka Dr.
Fombell, PA  16123
PH:  (800) 654-5589

Keymark Corporation
Fonda, New York  12068
PH:  (518) 853-3421

1725 W. DIVERSEY PKWY. • CHICAGO, IL 60614-1009
PHONE: (312) 525-6000 • FAX: (312) 525-1373
SWORN STATEMENT AND ATTESTATION

State of [Illinois] SS:
County of [Cook] SS:

The undersigned, having been duly sworn, states that (he) (she) is authorized to make this affidavit in behalf of the applicant, that the information disclosed in this preliminary application and economic disclosure statement and any accompanying schedules is true and complete to the best of (his) (her) knowledge, and that the applicant has withheld no disclosure as to economic interest in the undertaking for which this application is made, nor reserved any information, date or plan as to the intended use or purpose for which it seeks action by the City Council or pertinent City agency.

Ronald Spielman
Signature of Person Making Statement
Name: Ronald Spielman
Address: Chicago, IL
Telephone: 
Relationship to Applicant: President

Subscribed to before me this 15th day of January A.D. 1956.

"OFFICIAL SEAL"
ELIZABETH M. RYAN
Notary Public, State of Illinois
My Commission Expires July 5, 1999

Notary Public
Commission Expires: July 5, 1999
AFFIDAVIT

State of Illinois  

SS  

County of Cook

The undersigned affiant, being first duly sworn, on oath says, and also covenants with and warrants to the City of Chicago.

That this instrument is made to induce, and in consideration of the City of Chicago's consummation of a business loan to affiant.

That all water taxes, property taxes and sales taxes, except the current bill, have been paid in reference to the premises which is the subject matter of the application and agreement.

That affiant is not in default or in the arrears on any outstanding commercial loans or water taxes, property taxes, sales taxes or assessments owed to the City of Chicago personally or by any partnership, corporation, joint venture, or land trust in which the affiant has at least a 5% beneficial interest.

That since the initial date of application, affiant has not done or suffered to be done anything that could in any way affect the title to the premises which is the subject of the application and no proceedings have been filed by or against affiant, nor has any judgment or decree been rendered against affiant, nor is there any judgment note or other instrument that can result in a judgment or decree against affiant within the five days from the date hereof.

That in the event of breach of any of the covenants or warranties stated herein, the entire loan balance shall become immediately due and payable to the City of Chicago.

BY: ___________________________  

__________________________________________  

(Type Name)  

ATTEST:  

BY: ___________________________  

__________________________________________  

(Company Name)  

ITS: ___________________________  

__________________________________________  

ITS: ___________________________  

Subscribed and sworn to before me this 19th day of January, 1999.

[Notary]

E.LIZAETHER M. RYAN  

Notary Public. State of Illinois  

My Commission Expires 5 July 1999
CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements:

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an Officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employees of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Organization: Republic Alumnum, Inc.  
Representative: Ronald Smith  
Title: President  
Date: 1/19/96  
Expiration Date: 5/19/99  
Notary: Elizabeth M. Ryan  
My Commission Expires July 5, 1999
ETHICS CERTIFICATION

State of Illinois

SS

County of Cook

This certificate, dated ________________, is being delivered by ________, both individually and on behalf of ________, (collectively referred to as "Borrower"), to the City of Chicago ("City") in connection with City approval of a $_______ loan to Borrower through the City's ___________ Program.

The Borrower hereby certifies as follows:

1. Neither the Borrower or any official, agent or employee of the Borrower in the last three (3) years has: (a) been convicted 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, in that officer's or employee's official capacity; or (b) been convicted 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 guilt of such conduct described in (a) or (b) above which is a matter of record, but has not been prosecuted for such conduct.

2. The Borrower shall comply with the applicable requirements of the Governmental Ethics Ordinance of the City, Chapter 2-156 of the Municipal Code of the City.

3. The Borrower is not delinquent in any tax administered by the Illinois Department of Revenue or, if delinquent, the Borrower is contesting liability for any such tax in compliance with an agreement with the Department of Revenue for the payment of any such tax.


BY: ____________________________ BY: ____________________________

______________________________
(Type Name) _______________________
(Type Name)

REPUBLIC ALUMINUM, INC.
(Company Name)

ATTEST:

BY: ____________________________ BY: ____________________________

______________________________
ITS: ____________________________
ITS: ____________________________

Subscribed and sworn to before me this 19th day of January 19______.

Notary

"OFFICIAL SEAL"

ELIZABETH M. RYAN
Notary Public, State of Illinois
My Commission Expires July 5, 1999
Affidavits and Certifications

City of Chicago
Richard M. Daley, Mayor

Department of Planning and Development
J. F. Boyle, Jr., Commissioner
Pursuant to Chapter 26.1 of the Municipal Code, the following information is required to be disclosed prior to any City Agency, Department or City Council action. Please fill out the statement completely, with all information current as of the attestation date. Every question must be answered. If a question is not applicable, answer with "N.A.".

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I. GENERAL INFORMATION
A. Applicant: Republic Aluminum Inc.
B. City Agency Receiving Application: Department of Planning & Development
C. Type of Action Requested: CDBG Loan & TIF
D. Project Location: Goose Island, bounded by North Branch Canal, Weed, Cherry, Hickory and Evergreen Streets
E. Brief Project Description: 290,000 square foot window manufacturing facility.
F. Total Project Cost: $17,376,402
G. Loan Amount/Grant Amount/Level of Assistance Requested: $10,000,000 CDBG, $6,000,000 TIF
H. Purpose of Loan/Grant Assistance: Infrastructure Cost
Environmental
Acquisition

II. APPLICANT INFORMATION

A. The Applicant is a(n):
1. Individual
2. Corporation ✗
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4. Limited Partnership
5. Association, Joint or Common Venture
6. Land Trust, Business Trust, Estate

B. FOR A CORPORATION, CORPORATE PARTNER, CORPORATE SHAREHOLDER OR CORPORATE BENEFICIARY:

1. If the applicant is a corporation having fewer than 100 shareholders indicate or attach hereto a list of the names and addresses of all shareholders and the percentage of interest of each therein; identify the officers and the directors of such corporation.
   William Spielman, 132 E. Delaware #6006 Chicago, IL 60611
   Ronald Spielman, 1924 N. Orchard Chicago, IL 60614
   Richard Gillman, 1835 N. Cleveland Chicago, IL 60614

2. If the applicant is a corporation having 100 shareholders or more indicate or attach hereto a list of the names and addresses of all shareholders owning shares equal to or in excess of 3% of the proportionate ownership interest and the percentage of interest of each therein; identify the officers and the directors of such corporation.
   Richard Gillman 13% Executive Vice President - Director
   Ron Spielman 55% President - Director
   William Spielman 30% Chairman of Board - Director
   Miriam Spielman Director

3. The applicant is incorporated under the laws of the state of Illinois and authorized to do business in the state of Illinois. Its principal office is located at 1725 W. Diversey Chicago, IL 60614.

Note: Any corporation required by law to file a statement providing substantially the information required above, with any other governmental agency may, in lieu of the above, file
a duplicate of such statement or sufficient parts thereof to provide the required information, with the approval of the Corporation Counsel.

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1. If the applicant is a partnership, association or joint or common venture, indicate below the name and address of each such partner, associate, or person and the percentage of interest of each therein.

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1. If the applicant is a land trust, business trust, estate or other similar commercial or legal entity, identify any representative, person or entity holding legal title as well as each beneficiary in whose behalf title is held, including the name, address and percentage of interest of each beneficiary.

Note: Whenever a stock or beneficial interest is held by a corporation or other legal entity, such share-holder or beneficiary shall also make disclosure as required above for corporations or other legal entities. Attach any additional information required to this statement.

III. OTHER PROJECT INFORMATION

A. Title to the subject property is presently held by:

CMC HEARTLAND PARTNERS

(Name and address)

If title held in a land trust, list below the name, address and percentage of interest of each beneficiary:

Real Estate Tax Index Number(s): 17-05-205-008

17-05-205-020

17-05-205-025
B. Applicant Attorney:
   Name: Samuel J. Polsky
   Address: Polsky & Riordan Ltd., 205 N. Michigan, #3909, Chgo. 60601
   Telephone: 312-540-0200

C. Bond Counsel:
   Name: 
   Address: 
   Telephone: 

D. Primary Permanent Lender:
   Name: American National Bank
   Address: 33 North LaSalle, Chicago, Illinois
   Contact Person: Art Murray
   Telephone: 312-661-9343

E. Loan Participant or Additional Lender (if any):
   Name: 
   Address: 
   Contact Person: 
   Telephone: 

F. Interim/Construction Lender:
   Name: 
   Address: 
   Contact Person: 
   Telephone: 

5
G. Architect:
Name: _________________________________
Address: _________________________________
Telephone: _________________________________

H. General Contractor:
Name: _________________________________
Address: 400 W Huron Chicago, IL 60610
Telephone: 312-266-9800

I. Surety, Letter of Credit or Credit Instrument Obligor:
Name: _________________________________
Address: _________________________________
Contact Person: _________________________________
Telephone: _________________________________

J. Consultant:
Name: _________________________________
Address: _________________________________
Contact Person: _________________________________
Telephone: _________________________________
Role in Project: _________________________________
IV. **ADDITIONAL APPLICANT INFORMATION**

A. Has the applicant or a member of the applicant

a. ever been a defendant in any suits or legal actions? Yes X No __

b. ever had any debts discharged, satisfied or settled under the Bankruptcy Act? Yes__ No X

c. ever had a judgment against him? Yes X No __

d. ever been a party to a foreclosure, a deed in lieu of foreclosure, a loan default or loan "workout" situation? Yes__ No X

**Note:** If the answer to any of the above questions is "Yes" please attach a separate schedule explaining the circumstances, parties involved and resolution or status.

B. **Applicant Credit References**

Please list below the names of banks, finance companies or other creditors where credit has been obtained.

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V. **ADDITIONAL SCHEDULES REQUIRED TO BE ATTACHED OF THIS STATEMENT.**

A. Proposed Project Budget
B. Proposed Sources and Uses of Funds
C. Applicant's Track Record With Same or Similar Projects
D. Applicant's Corporate and/or Personal Financial Statements, as Applicable

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Page 7: Question IV A. a.

Suits by customers for product performance & suits by supplier/vendors for defective equipment/supplies.

Page 7: Question IV A. c.

Suits settled through dismissal in court or by settlement of amount asked for in initial suit. All cases have been settled/dismissed.

Page 7: Question V C.

In 1983, Republic closed on a $1,000,000.00 Industrial Revenue Bond. The balance currently owed is $180,000.00. This balance will be paid in full in 1998.
Republic
ALUMINUM INC.

... just give us an opening.

REPUBLIC ALUMINUM, INC.
TRADE REFERENCES

BANK: American National Bank
33 N. LaSalle Dr.
Chicago, IL 60602
PH: (312) 661-5207
ATTN:
Account No. 4046919

Trade References

Guardian Industries
14600 Romine Rd.
Carleton, MI 48117
PH: (313) 962-2252

L.B. Plastics, Inc.
Highway 150 - Plaza Dr.
Mooresville, NC 28115
PH: (704) 663-1543

Astro Shapes
65 Main St.
Struthers, OH 44471
PH: (216) 755-1414

Hygrade Metal Molding
540 Smith St.
Farmingdale, NY 11735
PH: (516) 293-8797

Ashland Products
10910 S. Langley
Chicago, IL 60628
PH: (312) 568-6500

PPG Industries, Inc.
2800 W. Higgins Rd., Ste. 255
Hoffman Estates, IL 60195
PH: (708) 884-1840

Caldwell Manufacturing Co.
2605 Manitou Rd.
Rochester, NY
PH: (716) 352-3790

Custom Window Extrusion, Inc.
1 Contact Place
Delmont, PA 15626
PH: (412) 468-4553

Truth
700 W. Bridge St.
Owatonna, MN 55060
PH: (507) 451-5620

Veka, Inc.
100 Veka Dr.
Fombell, PA 16123
PH: (800) 654-5589

McMaster-Carr
P.O. Box 4355
Chicago, IL 60680
PH: (708) 834-9600

Keymark Corporation
Fonda, New York 12068
PH: (518) 853-3421

1725 W. DIVERSEY PKWY. • CHICAGO, IL 60614-1009
PHONE: (312) 525-6000 • FAX: (312) 525-1373
SWORN STATEMENT AND ATTESTATION

State of ___________ ) SS:
County of ___________

The undersigned, having been duly sworn, states that (he) (she) is authorized to make this affidavit in behalf of the applicant, that the information disclosed in this preliminary application and economic disclosure statement and any accompanying schedules is true and complete to the best of (his) (her) knowledge, and that the applicant has withheld no disclosure as to economic interest in the undertaking for which this application is made, nor reserved any information, date or plan as to the intended use or purpose for which it seeks action by the City Council or pertinent City agency.

Ronald Spieeman
______________________________
Signature of Person Making Statement

Name: Ronald Spieeman

Address: 1924 N. Ashland Chicago, Ill

Telephone: 312-625-6000

Relationship to Applicant: President

Subscribed to before me this 15th day of January, A.D. 1955.

"OFFICIAL SEAL"
ELIZABETH M. RYAN
Notary Public, State of Illinois
My Commission Expires July 3, 1998

______________________________
Notary Public

Commission Expires: 5 July 95
AFFIDAVIT

State of Illinois  
) SS  
County of Cook)

The undersigned affiant, being first duly sworn, on oath says, and also covenants with and warrants to the City of Chicago,

That this instrument is made to induce, and in consideration of the City of Chicago's consummation of a business loan to affiant.

That all water taxes, property taxes and sales taxes, except the current bill, have been paid in reference to the premises which is the subject matter of the application and agreement.

That affiant is not in default or in the arrears on any outstanding commercial loans or water taxes, property taxes, sales taxes or assessments owed to the City of Chicago personally or by any partnership, corporation, joint venture, or land trust in which the affiant has at least a 5% beneficial interest.

That since the initial date of application, affiant has not done or suffered to be done anything that could in any way affect the title to the premises which is the subject of the application and no proceedings have been filed by or against affiant, nor has any judgment or decree been rendered against affiant, nor is there any judgment note or other instrument that can result in a judgment or decree against affiant within the five days from the date hereof.

That in the event of breach of any of the covenants or warranties stated herein, the entire loan balance shall become immediately due and payable to the City of Chicago.

BY: ____________________________  BY: ____________________________
   ____________________________  ____________________________
   (Type Name)  (Type Name)

ATTEST:

BY: ____________________________  BY: ____________________________
   ____________________________  ____________________________
   (Company Name)  (Company Name)

ITS: ____________________________  ITS: ____________________________

Subscribed and sworn to before me this 19th day of January 1958.

Notary

"OFFICIAL SEAL"
ELIZABETH M. RYAN  
Notary Public, State of Illinois  
My Commission Expires July 5, 1999

My Commission Expires 5 July 1999
CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an Officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Organization: Republic Aluminum, Inc.  Date: 1/19/96
Representative: Kenneth Smith  Title: President
Notary: Elizabeth M. Ryan  Expiration Date: 5/July/97

"OFFICIAL SEAL"
ELIZABETH M. RYAN
Notary Public, State of Illinois
My Commission Expires July 5, 1998
ETHICS CERTIFICATION

State of Illinois )
) SS
County of Cook )

This certificate, dated ________________, is being delivered by RONALD SPEelman
_____________________, both individually and on behalf of REPUBLIC ALUMINUM (collectively referred
to as "Borrower"), to the City of Chicago ("City") in connection with City approval of a $________ loan to Borrower through the City's____________________ Program.

The Borrower hereby certifies as follows:

1. Neither the Borrower or any official, agent or employee of the Borrower in the last three
   (3) years has: (a) been convicted 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, in that officer's or employee's
   official capacity; or (b) been convicted 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 guilt of such conduct described in (a)
   or (b) above which is a matter of record, but has not been prosecuted for such
   conduct.

2. The Borrower shall comply with the applicable requirements of the Governmental Ethics
   Ordinance of the City, Chapter 2-156 of the Municipal Code of the City.

3. The Borrower is not delinquent in any tax administered by the Illinois Department of
   Revenue or, if delinquent, the Borrower is contesting liability for any such tax in
   compliance with an agreement with the Department of Revenue for the payment of any
   such tax.

4. The Borrower understands and will comply with all the provisions of Chapter 2-56 of

BY: ____________________________  ____________________________
   (Type Name)  (Type Name)

ATTEST:

BY: ____________________________  ____________________________
   ITS: ____________________________  ITS: ____________________________

Subscribed and sworn to before me this _____ day of ____________ 19____.

My Commission Expires ____________ 19____.

[Official Seal]
ELIZABETH M. RYAN
Notary Public, State of Illinois
Pursuant to Chapter 2-154 of the Municipal Code of Chicago (the "Municipal Code"), the following information is required to be disclosed prior to any City agency, department or City Council action. Please fill out each statement with all information current as of the attestation date. Every question must be answered. If a question is not applicable, answer with "N.A." An incomplete EDS shall be returned and any City action shall be interrupted.

Please clearly print or type all responses.

WHO MUST FILE:

1. **The Undersigned**: Any individual or entity (the "Undersigned") making an application to the City of Chicago (the "City") for action requiring City Council or other City agency approval must file this EDS.

2. **Entities holding an interest in the Undersigned**: Whenever an ownership interest in the undersigned (such as shares of stock of the Undersigned or a limited partnership interest in the Undersigned, for example) is held or owned by a legal entity (such as a corporation or partnership, for example) rather than an individual, each such legal entity must also file an EDS on its own behalf. If the original Undersigned is a corporation whose shares are registered on a national securities exchange pursuant to the Securities Exchange Act of 1934, only legal entities that own 10 percent or more of the Undersigned's stock must file EDS's on their own behalf.

ACKNOWLEDGMENT OF POSSIBLE CREDIT AND OTHER CHECKS: By completing and filing this EDS, the Undersigned acknowledges and agrees, on behalf of itself and the individuals named in this EDS, that the City may investigate the creditworthiness of some or all of the individuals named in this EDS.

CERTIFYING THIS EDS: Execute the certification on the date of the initial submission of this EDS. You may be asked to update this EDS on the last page as of the date of submission of any related ordinance to the City Council, or as of the date of the closing of your transaction. If you need extra space to fully answer a question, you may insert additional pages.

I. GENERAL INFORMATION

A. Exact legal name of Undersigned: **REPUBLIC WINDOWS & DOORS, INC.**

B. Business address: **930 W. EVERGREEN** CHICAGO, ILL. 60622

C. Telephone: **312-932-8800**

D. Fax: **312-932-8550**

E. Name of contact person: **RONALD SPIELMAN**

F. Project Information: (1) City agency requesting EDS: **DEPT. OF PLANNING & DEVELOPMENT - FINANCE ON "TIF" SUBSIDY IN THE AMOUNT OF $3,099,923.67**

   (2) City action requested (e.g., loan, grant, sale of property): **"TIF" SUBSIDY IN THE AMOUNT OF $3,099,923.67**

   (3) Property location: **930 W. EVERGREEN**

   (4) Project description: **370,000 sq ft. WINDOW MFG. FACILITY**

II. DISCLOSURE OF OWNERSHIP INTERESTS

A. GENERAL INFORMATION

1. Indicate whether the Undersigned is an individual or legal entity and, if a legal entity, indicate the type of entity below:

   - Individual
   - Business corporation
   - Not-for-profit corporation
   - General partnership
   - Limited partnership
   - Limited liability company
Joint venture
Sole proprietorship
Other entity please specify:

2. State of incorporation or organization, if applicable:
   ILLINOIS

3. For corporations, limited partnerships and limited liability companies not organized in
   the State of Illinois: Is the organization authorized to do business in the State of
   Illinois as a foreign entity?
   ☐ Yes ☐ No

B. ORGANIZATION INFORMATION*

L. FOR CORPORATIONS:

a. List below the names and titles of the executive officers and directors of the
corporation.

   Name                    Title
   RONALD SPIELMAN         PRESIDENT- DIRECTOR
   RICHARD CULBERTSON     EXECUTIVE VICE PRESIDENT- DIRECTOR
   MIRIAM SPIELMAN         DIRECTOR

b. For companies whose shares are registered on a national securities exchange
   pursuant to the Securities Exchange Act of 1934, please provide the following
   information concerning shareholders who own shares equal to or in excess of
   10 percent of the company’s outstanding shares:

   Name     Business Address     Percentage Interest
   N/A

   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________

   c. For companies that are not publicly traded pursuant to the Securities Exchange
      Act of 1934, list below the name, business address and percentage of ownership
      interest of each shareholder.

   Name     Business Address     Percentage Interest
   N/A

   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________

   *City ordinance requires that, whenever stock or beneficial interest is held by a
   corporation or other legal entity, the shareholder or other entity must make the
disclosure as indicated herein.
4. FOR NOT-FOR-PROFIT CORPORATIONS: list below the officers and any paid executive of the corporation. If the not-for-profit has members who are legal entities, also list the members.

Name | Address
---|---
N/A | N/A

5. FOR PARTNERSHIPS:

For general or limited partnerships: list below the name, business address and percentage of ownership interest of each partner. For limited partnerships, indicate whether each partner is a general partner or a limited partner.

Name | Business Address | Percentage Interest
---|---|---
N/A | | 

6. FOR LIMITED LIABILITY COMPANIES:

a. List below the names and titles of the executive officers, if any, of the limited liability company. If there are no officers, write "no officers."

Name | Title
---|---
N/A | 

b. List below the name, business address and percentage of ownership interest of each (i) member and (ii) manager. If there are no managers, write "no managers."

Name | Business Address | Percentage Interest
---|---|---
Ronald Spielman | 930 W. Evergreen | 83 %
Rich Gillman | 930 W. Evergreen | 17 %

7. FOR LAND TRUSTS, BUSINESS TRUSTS OR ESTATES:

a. List below the name of each individual or legal entity holding legal title to the property that is the subject of the trust:

N/A
List below the name, business address and percentage of beneficial interest of each beneficiary in whose behalf title is held:

Name: N/A
Business Address: 
Percentage Interest: 

III. CERTIFICATION OF COMPLIANCE

A. The undersigned entity has not, in the past five years, been found in violation of any city, state or federal environmental law or regulation. If there have been any such violations, note them below:

**RECEIVED CITY OF CHICAGO ORDINANCE CITATION ON 10/3/97 ALLEGING VIOLATION OF 7-28-450 & 7-28-080, 11-4-130 & 11-4-1520, ALL OF WHICH WERE VOLUNTARILY DISMISSED BY THE CITY ON 2/25/98**

B. The undersigned entity is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor is the entity delinquent in paying any fine, fee, tax or other charge owed to the city. This includes all water charges, sewer charges, property taxes or sales taxes. If there are any such delinquencies, note them below.

C. The undersigned entity hereby certifies that (1) any contractors/subcontractors retained in connection with the city project have not, in the past five years, been found in violation of any city, state or federal environmental law or regulation, (2) the undersigned will not, without the city's prior written consent, use any contractors/subcontractors who have committed such violations, and (3) the undersigned will not use any facility on the U.S. EPA's List of Violating Facilities in connection with the project for the duration of time that the facility remains on the list.

If the undersigned is unable to so certify, provide an explanation: **CANNOT ATTEST SINCE CONTRACTORS WERE ALREADY HIRED AND PROJECT COMPLETE UPON RECEIPT OF THIS AND ALL PREVIOUS "EOS" FORMS REQUESTED!**

IV. CHILD SUPPORT OBLIGATIONS

A. CERTIFICATION REGARDING COURT-ORDERED CHILD SUPPORT COMPLIANCE

For purposes of this part, "Substantial Owner" means any person who owns or holds a 10 percent or more interest in the Affiant.

If the Affiant's response below is #1 or #2, then all of the Affiant's Substantial Owners must remain in compliance with any such child support obligations until the transaction is completed. Failure of the Affiant's Substantial Owners to remain in compliance with their child support obligations in the manner set forth in either #1 or #2 constitutes an event of default.

Check one:

1. [ ] No Substantial Owner has been declared in arrearage on any child support obligations by the Circuit Court of Cook County or by another Illinois court of competent jurisdiction.

2. [ ] The Circuit Court of Cook County or another Illinois court of competent jurisdiction has issued an order declaring one or more Substantial Owners in arrearage on child support obligations. All such Substantial Owners, however,
have entered into court-approved agreements for the payment of all such child support owed, and all such substantial owners are in compliance with such agreements.

1. The Circuit Court of Cook County or another Illinois court of competent jurisdiction has issued an order declaring one or more substantial owners in arrears on child support obligations and: (a) at least one such substantial owner has not entered into a court-approved agreement for the payment of all such child support owed; or (b) at least one such substantial owner is not in compliance with a court-approved agreement for the payment of all such child support owed; or both (a) and (b).

2. There are no substantial owners.

V. CERTIFICATION

A. The undersigned and its principals (officers, directors, partners, members):

1. 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;

2. have not within a five-year period preceding the date hereof been convicted of a criminal offense 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;

3. are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in clause (2) above; and

4. have not within a three-year period preceding the date hereof had one or more public transactions (federal, state or local) terminated for cause or default.

5. have not, within a five-year period preceding the date hereof, been convicted, or found liable in a civil proceeding, in any criminal or civil action instituted by the city or by the federal government, any state, or any other unit of local government.

B. The undersigned, or any party to be used in the performance of the Project (an "Applicable Party"), or any Affiliated Entity (meaning an entity that, directly or indirectly, has the legal authority to control the undersigned) of either the undersigned or any Applicable Party, or any responsible official thereof, or any other official, agent or employee of the undersigned, any Applicable Party or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official thereof, has not, during the three years prior to the date hereof or, with respect to an Applicable Party or any Affiliated Entity thereof, during the three years prior to the date of such Applicable Party's contract in connection with the Project:

1. bribed or attempted to bribe, or been convicted 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;

2. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted 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

3. made an admission of such conduct described in (1) or (2) above which is a matter of record, but has not been prosecuted for such conduct.

C. The undersigned understands and shall comply with (1) the applicable requirements of the Governmental Ethics Ordinance of the City, Title 2, Chapter 7-156 of the Municipal Code; and (2) all the applicable provisions of Chapter 2-56 of the Municipal Code (Office of the Inspector General).

D. Neither the undersigned nor any employee, official, agent or partner of the undersigned 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 5/31E-3, as amended, supplemented and restated from time to time; (2) bid-rotating in violation of 720 ILCS
I. As amended, supplemented and restated from time to time; or (ii) any similar offense of any state or of the United States of America which contains the same elements as the offense of bid-rigging or bid-rotating.

II. If the undersigned is unable to certify to any of the above statements in this section, the undersigned shall explain below:

CANNOT ATTEST TO B.1.2.B. WITH RESPECT TO ANY PARTY USED IN THE PERFORMANCE OF THIS PROJECT SINCE CONTRACTORS WERE HIRED AND PROJECT COMPLETED BEFORE RECEIPT OF THIS "EAS." WE WILL ATTEST TO A & B ABOVE WITH RESPECT TO ALL SUBSTANTIAL OWNERS OF REAL PROPERTY

(If no explanation appears or begins on the lines above, it shall be conclusively presumed that the undersigned certifies to each of the above statements.)

VI. RETAINED PARTIES
A. DEFINITIONS AND DISCLOSURE REQUIREMENTS

1. Pursuant to Executive Order 9-1, every City contract and lease must be accompanied by a statement disclosing certain information about attorneys, lobbyists, accountants, consultants, subcontractors, and other persons whom the undersigned has retained or expects to retain in connection with obtaining the contract or lease. In particular, the undersigned must disclose the name of each such person, his/her business address, the nature of the relationship, and the amount of the fees paid or estimated to be paid. The undersigned is not required to disclose employees who are paid solely through the undersigned's regular payroll.

2. "Lobbyist" means any person (i) who, on behalf of any person other than himself, undertakes to influence any legislative or administrative action, or (ii) any part of whose duty as an employee of another includes undertaking to influence any legislative or administrative action.

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

B. CERTIFICATION

Each and every attorney, lobbyist, accountant, consultant, or other person retained or anticipated to be retained by the undersigned in connection with obtaining the City assistance to which this EAS pertains is listed below:

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>Relationship</th>
<th>Fees (indicate whether paid or estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sam Polsky</td>
<td>205 N. Michigan</td>
<td>Attorney</td>
<td>$150,000 approx.</td>
</tr>
<tr>
<td>William Singer</td>
<td>200 E. Randolph</td>
<td>Attorney</td>
<td>$50,000 approx.</td>
</tr>
<tr>
<td>Karen Parra</td>
<td>190 S. LaSalle</td>
<td>Attorney</td>
<td>$25,000 approx.</td>
</tr>
</tbody>
</table>

CHECK HERE IF NO SUCH PERSONS HAVE BEEN RETAINED OR ARE ANTICIPATED TO BE RETAINED: _____

VII. BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS
A. DEFINITIONS AND DISCLOSURE REQUIREMENTS

1. Pursuant to an ordinance approved by the City Council on December 2, 1999, the undersigned must indicate whether it had a "business relationship" with a City elected official in the 12 months prior to the date of execution of this EAS.

2. A "business relationship" means any "contractual or other private business dealing" of an official, or his or her spouse, or of any entity in which an official or his or her spouse has a "financial interest," with a person or entity which entitles an official to compensation or payment in the amount of $2,500 or more in a calendar year, provided, however, a "financial interest" shall not include: (i) any
3. CERTIFICATION

1. Has the undersigned had a business relationship with any City elected official in the 12 months prior to the date of execution of this EDS?

[ ] Yes  [ ] No

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

ED BURKE - LAW FIRM OF HUPFER AND BURKE (SPEICLALLY STEVEN GORDON) WITH REGARD TO PROPERTY TAX MATTERS.

VIII. CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The undersigned understands and agrees that:

A. The certifications contained in this EDS shall become part of any contract awarded to the undersigned by the City in connection with the City's assistance to which this EDS pertains, and are a material inducement to the City's execution of such contract or other action with respect to which this EDS is being executed and delivered on behalf of the undersigned. Furthermore, the undersigned shall comply with the certifications contained herein during the term and/or performance of the contract or completion of the transaction.

B. If the City determines that any information provided herein is false, incomplete or inaccurate, the City may terminate the transaction, terminate the undersigned's participation in the transaction, and/or decline to allow the undersigned to participate in other contracts or transactions with the City.

C. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the undersigned 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 herein.

REPUBLIC WINDOWS & DOORS, INC.

By: [Sign Here]  (Sign Here)

Title of signatory: PRESIDENT

Print or type name of signatory: RONALD SPIELMAN

Date: 8/30 2000

Subscribed to before me this 29th day of August, 2000 at Cook County, Illinois.

[Signature]

NOTARY PUBLIC

Commission expires: 7/25/2002

"OFFICIAL SEAL"

Diane A. Gomez
NOTARY PUBLIC, STATE OF ILLINOIS
MY COMMISSION EXPIRES 7/25/2002
RECERTIFICATION

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the undersigned hereby represents, under penalty of perjury, that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City, and continue to be true, accurate and complete as of the date hereof.

Print or type name of individual or legal entity:

By: ________________________________ (sign here)

Title of signatory: ________________________________

Print or type name of signatory: ________________________________

Date: __________________________, 200__

Subscribed to before me this ___ day of ______, 200__ at Cook County, Illinois.

__________________________
Notary Public

Commission expires: ______________
<table>
<thead>
<tr>
<th>JOB CLASSIFICATION</th>
<th>EXISTING EMPLOYMENT</th>
<th>YEAR 1 NEW EMPLOYEES</th>
<th>YEAR 2 NEW EMPLOYEES</th>
<th>WAGES AFTER FULLY TRAINED</th>
<th>ANTICIPATED TRAINING PROVIDED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>TOTAL M/F</td>
<td>MINORITY M/F</td>
<td>MONTHS 1-6</td>
<td>MONTHS 7-12</td>
<td>MONTHS 13-18</td>
</tr>
<tr>
<td>Officers and Managers</td>
<td>M 24/F 3</td>
<td>M 10/F 0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professionals</td>
<td>M 12/F 0</td>
<td>M 0/F 0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technicians</td>
<td>M 18/F 0</td>
<td>M 0/F 0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sales Workers</td>
<td>M 25/F 0</td>
<td>M 0/F 0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office and Clerical</td>
<td>M 32/F 2</td>
<td>M 18/F 0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Craft Persons (Skilled)</td>
<td>M 15/F 2</td>
<td>M 23/F 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operatives (Semi-skilled)</td>
<td>M 39/F 4</td>
<td>M 35/F 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Laborers (Unskilled)</td>
<td>M 5/F 0</td>
<td>M 3/F 0</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Service Workers</td>
<td>M 18/F 2</td>
<td>M 4/F 2</td>
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<tr>
<td>Other</td>
<td>M 12/F 0</td>
<td>M 2/F 0</td>
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<tr>
<td>TOTAL</td>
<td>M 350/F 161</td>
<td>M 47/F 2</td>
<td></td>
<td></td>
<td></td>
</tr>
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</table>

The 30th of August 1983. Subscribed and sworn to before me. VERIFICATION of REPUBLIC WINDOWS, that I am authorized to execute this certificate. That I have personal knowledge of the employment data contained in this certificate and that the employment data is true.

[Signature]

[Seal]

Diane A. Gomez
Notary Public, State of Illinois
My Commission Expires 7/25/2002
<table>
<thead>
<tr>
<th>Name</th>
<th>RONALD SPIELMAN</th>
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<tbody>
<tr>
<td>Home Address</td>
<td></td>
</tr>
<tr>
<td>Telephone:</td>
<td></td>
</tr>
<tr>
<td>Social Security Number</td>
<td></td>
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<td>Date of Birth</td>
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<tr>
<td>Driver's License</td>
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</tr>
<tr>
<td>License Plate Number</td>
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<tr>
<td>Percentage Owned</td>
<td>83%</td>
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<table>
<thead>
<tr>
<th>Name</th>
<th>RICH GILLMAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Home Address</td>
<td></td>
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<tr>
<td>Telephone:</td>
<td></td>
</tr>
<tr>
<td>Social Security Number</td>
<td></td>
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<td>Date of Birth</td>
<td></td>
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<tr>
<td>Driver's License</td>
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<td>License Plate Number</td>
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<tr>
<td>Percentage Owned</td>
<td>17%</td>
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<table>
<thead>
<tr>
<th>Name</th>
<th>MIRIAM SPIELMAN</th>
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<td>Home Address</td>
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<td>Telephone:</td>
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<td>Social Security Number</td>
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<td>Date of Birth</td>
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<tr>
<td>Driver's License</td>
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<td>License Plate Number</td>
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<td>Percentage Owned</td>
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<th>Name</th>
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<tr>
<td>Home Address</td>
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<td>Driver's License</td>
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<tr>
<td>License Plate Number</td>
<td></td>
</tr>
<tr>
<td>Percentage Owned</td>
<td></td>
</tr>
</tbody>
</table>
CITY OF CHICAGO
DEPARTMENT OF PLANNING & DEVELOPMENT

ECONOMIC DISCLOSURE STATEMENT & AFFIDAVIT
(Economic Development/Housing Transactions)

Pursuant to Chapter 2-154 of the Municipal Code of Chicago (the "Municipal Code"), the following information is required to be disclosed prior to any City agency, department or City Council action. Please fully complete each statement, with all information current as of the attestation date. Every question must be answered. If a question is not applicable, answer with "N.A." An incomplete EDS shall be returned and any City action shall be interrupted.

Please print or type all responses clearly and legibly. If you need additional space for a response, attach extra pages. Please indicate the question to which you are responding on any extra pages you attach.

Please note that this Economic Disclosure Statement and Affidavit (the "EDS") requires you to obtain various certifications from certain other parties before they may perform any work in connection with the project. The terms of the required certifications are set forth below in Sections V, VII, VIII, IX and X.

WHO MUST FILE:

1. The Applicant: Any individual or entity (the "Applicant") making an application to the City of Chicago (the "City") for action requiring City Council or other City agency approval must file this EDS. For example, with respect to a City loan or grant, the individual or entity applying for the loan or grant is the "Applicant."

2. Entities holding an interest in the Applicant: Whenever an ownership interest in the Applicant (such as shares of stock of the Applicant or a limited partnership interest in the Applicant, for example) is held or owned by a legal entity (such as a corporation or partnership, for example) rather than an individual, each such legal entity must also file an EDS on its own behalf. If the Applicant is a not-for-profit corporation with members who elect the board of directors, those members who are legal entities and not individuals must also file EDS's on their own behalf. (Individuals who have ownership interests in the Applicant or who are members of a not-for-profit Applicant are not required to file an EDS on their own behalf.) However, if the Applicant is a corporation whose shares are registered on a national securities exchange pursuant to the Securities Exchange Act of 1934, only legal entities that own 10 percent or more of the Applicant's stock must file EDS's on their own behalf. A legal entity that holds an ownership interest in the Applicant and that is required to file an EDS on its own behalf shall be referred to hereinafter as a "First-Tier Related Entity."
3. **Entities holding direct or indirect interest in a First-Tier Related Entity:** The same rules described in (2) above also apply to owners of First-Tier Related Entities, owners of such owners, and so on.

The individual or legal entity completing this EDS shall be referred to as the "undersigned" throughout this EDS. If the party completing this EDS is not an individual but is a legal entity (such as, for example, a corporation or partnership), the person signing this EDS on behalf of such party shall be referred to as the "signatory of the undersigned."

**ACKNOWLEDGMENT OF POSSIBLE CREDIT AND OTHER CHECKS:** By completing and filing this EDS, the undersigned acknowledges and agrees, on behalf of itself and the individuals named in this EDS, that the City may investigate the creditworthiness of some or all of the individuals named in this EDS.

**INFORMATION TO BE KEPT CURRENT:** All disclosures must be current as of the date upon which the application is presented to the City Council or other City agency, and shall be maintained current until such time as the City Council or City agency shall take action on the application. This requires (i) the submission of this EDS at the time the initial application is made; and (ii) a recertification of this EDS (a) at the time the related ordinance, if any, is submitted to the City Council if such submission is more than 60 days following the original execution of this EDS; and (b) upon the closing of the related transaction.

**RE-CERTIFYING THIS EDS:** Execute the certification on the date of the initial submission of this EDS. You may be asked to re-execute this EDS on the last page as of the date of submission of any related ordinance to the City Council, or as of the date of the closing of your transaction.

### I. GENERAL INFORMATION

A. **Exact legal name of undersigned:** REPUBLIC WINDOWS & DOORS, INC

B. **Business address:** 930 W. EVERGREEN

   CHICAGO, IL 60622

C. **Telephone:** 312.932.8000

D. **Fax:** 312.932.8550
E. Name of contact person: RONALD SPIELMAN/ PRESIDENT

F. City agency receiving this EDS: DEPT. OF PLANNING AND DEVELOPMENT

G. Type of action requested: CDBG LOAN AND TIF

H. Project location: 930 W EVERGREEN

CHICAGO, IL 60622

I. Brief project description: 370,000 SQ FT.
WINDOW MANUFACTURING FACILITY

J. Description and purpose of requested City assistance: INFRASTRUCTURE COSTS, ENVIRONMENTAL COSTS,
ACQUISITION COSTS, BUILDING COSTS

II. DISCLOSURE OF OWNERSHIP INTERESTS

A. GENERAL INFORMATION

1. Indicate whether the undersigned is an individual or legal entity and, if a legal entity, indicate the type of entity below:

   - [ ] Individual
   - [X] Business corporation
   - [ ] Not-for-profit corporation
   - [ ] General partnership
   - [ ] Limited partnership
   - [ ] Limited liability company
   - [ ] Joint venture
   - [ ] Sole proprietorship
2. State of incorporation or organization, if applicable:

   ILLINOIS

3. For corporations, limited partnerships and limited liability companies not organized in the State of Illinois: Is the organization authorized to do business in the State of Illinois as a foreign entity?

   ☐ Yes    ☐ No

B. ORGANIZATION INFORMATION

1. FOR CORPORATIONS:

   a. List below the names and titles of the executive officers and directors of the corporation.

      Name               Title
      RONALD SPIELMAN     PRESIDENT - DIRECTOR
      RICHARD GILLMAN    EXECUTIVE VICE PRESIDENT - DIRECTOR
      MIRIAM SPIELMAN    DIRECTOR

   b. For business corporations with 100 or more shareholders, list below the name, business address and percentage of ownership interest of each shareholder owning shares equal to or in excess of 7.5 percent of the total issued and outstanding shares.

      Name               Business Address       Percentage interest


c. For business corporations with fewer than 100 shareholders, list below the name, business address and percentage of ownership interest of each shareholder.

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<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>Percentage Interest</th>
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<tbody>
<tr>
<td>RONALD SPIELMAN</td>
<td>930 W. EVERGREEN - CHICAGO</td>
<td>62%</td>
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<tr>
<td>MIRIAM SPIELMAN</td>
<td>132 E DELAWARE - CHICAGO</td>
<td>23%</td>
</tr>
<tr>
<td>RICHARD GILLMAN</td>
<td>930 W. EVERGREEN - CHICAGO</td>
<td>15%</td>
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d. For not-for-profit corporations, list below the name, business address and percentage of control of each member. If there are no members, write "no members."

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<th>Percentage Control</th>
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2. FOR PARTNERSHIPS:

For general or limited partnerships: list below the name, business address and percentage of ownership interest of each partner. For limited partnerships, indicate whether each partner is a general partner or a limited partner.

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<tr>
<th>Name</th>
<th>Business Address</th>
<th>Percentage Interest</th>
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</table>
3. FOR LIMITED LIABILITY COMPANIES:

a. List below the names and titles of the executive officers, if any, of the limited liability company. If there are no officers, write "no officers."

Name  Title

b. List below the name, business address and percentage of ownership interest of each (i) member and (ii) manager. If there are no managers, write "no managers."

Name  Business Address  Percentage Interest

4. FOR LAND TRUSTS, BUSINESS TRUSTS OR ESTATES:

a. List below the name of each individual or legal entity holding legal title to the property that is the subject of the trust:

________________________________________________________

________________________________________________________

________________________________________________________
b. List below the name, business address and percentage of beneficial interest of each beneficiary on whose behalf title is held:

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<tr>
<th>Name</th>
<th>Business Address</th>
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5. OTHER OWNERSHIP INTERESTS

a. Is any ownership interest in the undersigned, as described in (1)(b)-(d), (2), 3(b) or (4)(b) above, held by one or more agents or one or more nominees on behalf of another individual or legal entity?

☐ Yes  ☐ No

If so, list below the name, business address and percentage of ownership interest of each principal (whether an individual or legal entity) for whom such agent(s) or nominee(s) are holding their ownership interest(s) in the undersigned, and identify each principal's agent or nominee.

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<th>Principal's</th>
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<td>Name</td>
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b. Is any ownership interest in the undersigned, as described in (1)(b)-(d), (2), (3)(b) or (4)(b) above, constructively controlled (other than through an agent or nominee) by another individual or legal entity?

☐ Yes  ☐ No

If so, list below (i) the name of each individual or legal entity whose ownership interest is constructively controlled, (ii) the name, business address and percentage of ownership interest of each individual or legal entity possessing such control, and (iii) the means by which such control is or may be exercised.

________________________________________________________

________________________________________________________

________________________________________________________

III. OTHER PROJECT INFORMATION

A. List below the name and business address of each individual or legal entity currently holding legal title to the property for which City assistance is being requested (the "Property"):

________________________________________________________

________________________________________________________

________________________________________________________

B. If title to the Property is held in a land trust, list below the name, business address and percentage of interest of each beneficiary. If all of this information has already been provided in Section II above, indicate that below and do not repeat it here:

________________________________________________________

________________________________________________________
C. Real estate tax index number(s) for the Property:

17-05-205-008  17-05-205-028

17 05-205-020

D. Have all water charges, sewer charges, property taxes and sales taxes, due and payable on or prior to the date hereof and concerning the Property, been paid as of the date of this EDS?

☑ Yes  ☐ No

If no, describe below the kind and dollar amount of such charges or taxes and indicate by what date full payment shall be made. Failure to make full payment may halt any requested City action.

IV. ADDITIONAL INFORMATION

Has the undersigned or any member, partner, beneficiary or owner of the undersigned:

A. ever been a defendant in any civil or criminal suits or legal actions?

☑ Yes  ☐ No

B. ever had any debts discharged, satisfied or settled under the Bankruptcy Act?

☐ Yes  ☑ No

C. ever had a judgment entered against him/her/it?

☑ Yes  ☐ No

D. ever been a party to a foreclosure, a deed in
lieu of foreclosure, a loan default or loan "workout" situation?

☐ Yes  ☒ No

NOTE: If the answer to any of the above questions is "yes," attach a separate schedule explaining the circumstances, parties involved and resolution or status. A specific description must be provided for each case.

V. CERTIFICATION OF ENVIRONMENTAL COMPLIANCE

A. Neither the undersigned nor any "Affiliated Entity" (as defined below) of the undersigned has, during a period of five years prior to the date hereof:

(1) violated or engaged in any conduct which violated Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other "Environmental Restriction" (as defined below);

(2) received notice of any claim, demand or action, including but not limited to citations and warrants, from the City, the State of Illinois, the federal government, any state or political subdivision thereof, or any agency, court or body of the federal government or any state or political subdivision thereof, exercising executive, legislative, judicial, regulatory or administrative functions, relating to a violation or alleged violation of Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other Environmental Restriction; or

(3) been subject to any fine or penalty of any nature for failure to comply with Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other Environmental Restriction.

B. If the undersigned is unable to certify to any of the above statements in this Section V, the undersigned shall identify all exceptions and indicate whether any such exceptions occurred within the City or otherwise pertain to the City:

Received City of Chicago Ordinance Citation on 10/3/97 alleging

Violation of 7-28-450 and 7 -28-080, 11-4-1500 and 11-4-1520, all

of which were voluntarily dismissed by the city on 2/25/98.

[If no explanation appears or begins on the lines above, it shall be conclusively presumed that the undersigned certifies to each of the above statements.]
C. The undersigned covenants and agrees that the undersigned shall:

(1) prior to completion of the project to which this EDS pertains (the "Project"), not violate any provision of Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other Environmental Restriction;

(2) not use any facility on the United States Environmental Protection Agency's List of Violating Facilities (the "List") in connection with the Project for the duration of time that the facility remains on the List; and

(3) immediately notify any federal agency which is awarding funds in connection with the Project if a facility that the undersigned intends to use is on the List or if the undersigned knows that any such facility has been recommended to be placed on the List.

D. The undersigned has obtained certifications in form and substance equal to Section V(A)-(B) of this EDS from all contractors or subcontractors that the undersigned presently intends to use in connection with the Project. As to contractors or subcontractors to be used in connection with the Project who are not yet known to the undersigned, the undersigned shall obtain certifications in form and substance equal to Section V(A)-(B) of this EDS from all such parties prior to using them in connection with the Project.

E. The undersigned shall not, without the prior written consent of the City, use any contractor or subcontractor in connection with the Project if the undersigned, based on information contained in such party's certification or any other information known or obtained by the undersigned, has reason to believe that such contractor or subcontractor has, within the preceding five years, been in violation of any Environmental Restriction, received notice of any claim relating to a violation of an Environmental Restriction, or been subject to any fine or penalty for a violation of an Environmental Restriction.

F. Further, the undersigned shall not, without the prior written consent of the City, use as a contractor or subcontractor in connection with the Project any person or entity from which the undersigned is unable to obtain certifications in form and substance equal to Section V(A)-(B) of this EDS or which the undersigned has reason to believe cannot provide truthful certifications.

G. The undersigned shall maintain for the duration of the requested City assistance all certifications of all contractors and subcontractors required by Section V(D) above, and shall make such certifications promptly available to the City upon request.

*Cannot attest to D, E, F and G since contractors were already hired and project virtually complete upon receipt of this new EDS.
H. Definitions:

(1) Entities are "affiliated" if, directly or indirectly, one controls or has the power to control the other, or if a third person controls or has the power to control both entities. 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 another business entity using substantially the same management, ownership or principals as the first entity.

(2) "Environmental Restriction" means any statute, ordinance, rule, regulation, permit, permit condition, order or directive relating to or imposing liability or standards of conduct concerning the release or threatened release of hazardous materials, special wastes or other contaminants into the environment, and to the generation, use, storage, transportation or disposal of construction debris, bulk waste, refuse, garbage, solid wastes, hazardous materials, special wastes or other contaminants, including but not limited to: (a) the Comprehensive Environmental Response, Compensation and Liability Act (42 U.S.C. § 9601 et seq.); (b) the Hazardous Materials Transportation Act (49 U.S.C. § 1801 et seq.); (c) the Resource Conservation and Recovery Act of 1976 (42 U.S.C. § 6901 et seq.); (d) the Clean Water Act (33 U.S.C. § 1251 et seq.); (e) the Clean Air Act (42 U.S.C. § 7401 et seq.); (f) the Toxic Substances Control Act of 1976 (15 U.S.C. § 2601 et seq.); (g) the Safe Drinking Water Act (42 U.S.C. § 300f et seq.); (h) the Occupational Health and Safety Act of 1970 (29 U.S.C. § 651 et seq.); (i) the Emergency Planning and Community Right to Know Act (42 U.S.C. § 11001 et seq.); and (j) the Illinois Environmental Protection Act (415 ILCS 5/1 through 5/56.6).

VI. CHILD SUPPORT OBLIGATIONS

For purposes of this Section VI, "Substantial Owner" means any individual who owns or holds a 10 percent or more "Percentage of Interest" (as defined below) in the undersigned. If the undersigned is an individual or sole proprietorship, the "Substantial Owner" means that individual or sole proprietor. "Percentage of Interest" includes direct, indirect and beneficial interests in the undersigned. "Indirect or beneficial interest" means that an interest in the undersigned is held by a corporation, joint venture, trust, partnership, association, estate or other legal entity, in which the individual holds an interest, or by agent(s) or nominee(s) on behalf of an individual or entity. For example, if Corporation B owns a 20 percent interest in the undersigned, and an individual has a 50 percent percentage of interest in Corporation B, then such individual indirectly has a 10 percent percentage of interest in the undersigned and is a Substantial Owner. If Corporation B is held by another entity, then this analysis similarly must be applied to that
next entity (and so forth to any additional levels of ownership) to determine whether any individuals indirectly hold a 10 percent or more interest in the undersigned.

If the undersigned's response below is (A) or (B), than all of the undersigned's Substantial Owners must remain in compliance with any such child support obligations (i) throughout the term of the requested City assistance to which this EDS pertains, or (ii) until completion of the undersigned's obligations to the City in connection with the Project, whichever is later. Failure of the undersigned's Substantial Owners to remain in compliance with their child support obligations in the manner set forth in either (A) or (B) below constitutes an event of default.

Check one:

X   A. No Substantial Owner has been declared in arrearage on any child support obligations by the Circuit Court of Cook County or by another Illinois court of competent jurisdiction.

   B. The Circuit Court of Cook County or another Illinois court of competent jurisdiction has issued an order declaring one or more Substantial Owners in arrearage on their child support obligations. All such Substantial Owners, however, have entered into court-approved agreements for the payment of all such child support owed, and all such Substantial Owners are in compliance with such agreements.

   C. The Circuit Court of Cook County or another Illinois court of competent jurisdiction has issued an order declaring one or more Substantial Owners in arrearage on their child support obligations and: (i) at least one such Substantial Owner has not entered into a court-approved agreement for the payment of all such child support owed; or (ii) at least one such Substantial Owner is not in compliance with a court-approved agreement for the payment of all such child support owed; or both (i) and (ii).

   D. There are no Substantial Owners.

VII. CERTIFICATION

The signatory of the undersigned, being first duly sworn, on oath hereby certifies, deposes and says, under penalty of perjury, as follows:

A. The signatory is authorized to execute this EDS on behalf of the undersigned; the information disclosed herein is true and complete to the
best of his/her knowledge; no disclosures as to economic interest in the Project have been withheld; and no information has been reserved as to the intended use or purpose for which the undersigned (or a related entity) seeks action by the City Council or pertinent City agency.

B. Except as described in Section III(D) hereof, if applicable, the undersigned is (a) not in default or in arrears on any outstanding commercial loans, water charges, sewer charges, property taxes, sales taxes or other fines, fees, taxes, assessments or charges owed to the City, personally or by any partnership, corporation, joint venture or land trust in which the undersigned has at least a five percent beneficial interest; and (b) not delinquent in the payment of any tax administered by the Illinois Department of Revenue, or if delinquent, the undersigned is contesting, in accordance with the procedures established by the appropriate revenue act, its liability for such tax or the amount of such tax, or the undersigned has entered into an agreement with the Illinois Department of Revenue for the payment of all such taxes that are due and is in compliance with such agreement.

C. Since the initial date of application, the undersigned has not done or suffered to be done anything that could in any way adversely affect the title to the Property and, except as described herein, no proceedings have been filed by or against the undersigned, nor has any judgment or decree been rendered against the undersigned, nor is there any judgment note or other instrument that can result in a judgment or decree against the undersigned within five days from the date thereof.

D. The undersigned has either paid in full or settled all outstanding parking violation complaints issued to any vehicle owned or controlled by the undersigned personally, or by any partnership, corporation, joint venture or land trust in which the undersigned has control or an ownership interest exceeding five percent in such entity.

E. The undersigned and its principals:

(1) 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;

(2) have not within a three-year period preceding the date hereof been convicted of a criminal offense 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;

(3) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in clause (b) above; and

(4) have not within a three-year period preceding the date hereof had one or more public transactions (federal, state or local) terminated for cause or default.

* F. The undersigned, or any party to be used in the performance of the Project (an "Applicable Party"), or any Affiliated Entity of either the undersigned or any Applicable Party, or any responsible official thereof, or any other official, agent or employee of the undersigned, any Applicable Party or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official thereof, has not, during the three years prior to the date hereof or, with respect to an Applicable Party or any Affiliated Entity thereof, during the three years prior to the date of such Applicable Party's contract in connection with the Project:

(1) bribed or attempted to bribe, or been convicted 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;

(2) agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted 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

(3) made an admission of such conduct described in (1) or (2) above which is a matter of record, but has not been prosecuted for such conduct.

G. The undersigned understands and shall comply with (1) the applicable requirements of the Governmental Ethics Ordinance of the City, Title 2, Chapter 2-156 of the Municipal Code; and (2) all the applicable provisions of Chapter 2-56 of the Municipal Code (Office of the Inspector General).

H. Neither the undersigned nor any employee, official, agent or partner of the undersigned 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, as amended, supplemented and restated from time to time; (2) bid-rotating in violation of 720 ILCS 5/33E-4, as amended, supplemented and restated from time to time; or (3) any similar offense of any state or of the United States of America which contains the same elements as the offense of bid-rigging or bid-rotating.

I. If the undersigned is unable to certify to any of the above statements in this Section VII, the undersigned shall explain below:

*Cannot attest to "F" with respect to "any party to be used in the performance of the project" since contractors were hired and project virtually complete upon receipt of this new EDS. We will attest to "F" with respect to all [If no explanation appears or begins on the lines above, it shall be "Substantial Owners" of Republic.]

VIII. APPLICABLE PARTIES

A. The undersigned has obtained certifications in form and substance equal to Section VII(E)-(l) of this EDS from all Applicable Parties that the undersigned presently intends to use in connection with the Project. As to Applicable Parties to be used in connection with the Project who are not yet known to the undersigned, the undersigned shall obtain certifications in form and substance equal to Section VII(E)-(l) of this EDS from all such Applicable Parties prior to using them in connection with the Project.

B. The undersigned shall not, without the prior written consent of the City, use any Applicable Party in connection with the Project if the undersigned, based on information contained in such Applicable Party's certification or any other information known or obtained by the undersigned, has reason to believe that:

(1) during the three years prior to the date of such Applicable Party's contract in connection with the Project, such Applicable Party, such Applicable Party's Affiliated Entity, or any official, agent or employee of such Applicable Party or Affiliated Entity has engaged in, been convicted of, or made an admission of guilt of any of the conduct listed in Section VII(F) above;

(2) such Applicable Party or any official, agent, partner or employee of such Applicable Party is barred from contracting with any unit of
state or local government as a result of engaging in or being convicted of bid-rigging, bid-rotating, or any similar offense of any state or of the United States of America which contains the same elements as bid-rigging or bid-rotating; or

(3) any of the circumstances described in Section VII(H) above applies to such Applicable Party or its principals.

C. Further, the undersigned shall not, without the prior written consent of the City, use in connection with the Project any person or entity from which the undersigned is unable to obtain certifications in form and substance equal to Section VII(E)-(I) of this EDS or which the undersigned has reason to believe cannot provide truthful certifications.

D. For all Applicable Parties, the undersigned shall maintain for the duration of the requested City assistance all certifications of all Applicable Parties required by Section VIII(A) above, and the undersigned shall make such certifications promptly available to the City upon request.

*Cannot comply with Section VIII since this was not a requirement when project was started and was not presented as a request until project was virtually complete.*

IX. RESTRICTION ON LOBBYING

A. List below the names of all persons registered under the Lobbying Disclosure Act of 1995, 2 U.S.C. § 1601 et seq. (the "Disclosure Act"), who have made lobbying contacts on behalf of the undersigned with respect to the transaction to which this EDS pertains (the "Transaction"). If there are no such persons, write "none."

    NONE

    __________________________________________

    __________________________________________

    __________________________________________

    __________________________________________

B. The undersigned certifies that it has not and shall not expend any Federal appropriated funds to pay any person for influencing or attempting 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 awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement. Accordingly, the undersigned has not used any Federal appropriated funds to pay any
person listed in Section IX(A) above for his/her lobbying activities in connection with the Transaction.

C. The undersigned shall submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affect the accuracy of the statements and information set forth in paragraphs (A) and (B) above.

D. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Transaction, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

E. Either (1) the undersigned is not an organization described in Section 501(c)(4) of the Internal Revenue Code of 1986; or (2) the undersigned is an organization described in Section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and shall not engage in "lobbying activities," as defined in the Disclosure Act.

F. The undersigned shall obtain certifications equal in form and substance to paragraphs (A) through (E) above from all contractors and subcontractors prior to the award of any contract/subcontract with such parties in connection with the Transaction. The undersigned shall maintain all such certifications of such parties for the duration of the Transaction and shall make such certifications promptly available to the City upon request.

*Cannot comply with A thru F for reasons previously described.

X. NONSEGREGATED FACILITIES

A. The undersigned certifies that it does not and shall not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and shall not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The undersigned agrees that a breach of this certification is a violation of the Equal Opportunity clause.

B. "Segregated facilities," as used in this provision, means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin because of habit, local custom or otherwise.
C. The undersigned further agrees that it shall obtain or cause to be obtained identical certifications from proposed contractors or subcontractors in connection with the Project before the award of contracts or subcontracts under which the contractor/subcontractor will be subject to the equal opportunity clause. Contracts and subcontracts exceeding $10,000, or having an aggregate value exceeding $10,000 in any 12-month period, are generally subject to the equal opportunity clause. See 41 C.F.R. Part 60 for further information regarding the equal opportunity clause.

D. The undersigned shall forward or cause to be forwarded the following notice to proposed contractors and subcontractors:

NOTICE TO PROSPECTIVE CONTRACTORS/SUBCONTRACTORS OF REQUIREMENTS FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES

A Certification of Nonsegregated Facilities must be submitted before the award of a contract/subcontract under which the contractor/subcontractor will be subject to the Equal Opportunity clause. The certifications may be submitted either for each contract/subcontract or for all contracts/subcontracts during a period (e.g., quarterly, semiannually or annually).

Cannot comply with Section X (C and D) for reasons previously described.

XI. EQUAL EMPLOYMENT OPPORTUNITY

Federal regulations require that the undersigned and proposed contractors/subcontractors submit the following information with their bids or in writing at the outset of negotiations: Cannot comply for reasons previously described.

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

[ ] Yes  [ ] No

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

[ ] Yes  [ ] No

C. If the answer to (B) is yes, have you filed with the Joint Reporting Committee, the Director of OFCC, any federal agency, or the former President’s Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements of these organizations?

[ ] Yes  [ ] No
XII. RETAINED PARTIES

A. Definitions and Disclosure Requirements

1. Pursuant to Executive Order 97-1, every City contract and lease must be accompanied by a statement disclosing certain information about attorneys, lobbyists, accountants, consultants, subcontractors and other persons whom the undersigned has retained or expects to retain in connection with the contract or lease. In particular, the undersigned must disclose the name of each such person, his/her business address, the nature of the relationship, and the amount of the fees paid or estimated to be paid. The undersigned is not required to disclose employees who are paid solely through the undersigned's regular payroll.

2. "Lobbyist" means any person (i) who for compensation or on behalf of any person other than himself undertakes to influence any legislative or administrative action, or (ii) any part of whose duty as an employee of another includes undertaking to influence any legislative or administrative action.

3. If the undersigned is uncertain whether a disclosure is required under this Section XII, the undersigned must either ask the City whether disclosure is required or make the disclosure.

B. Certification

Each and every attorney, lobbyist, accountant, consultant, subcontractor or other person retained or anticipated to be retained by the undersigned with respect to or in connection with the City assistance to which this EDS pertains is listed below:

<table>
<thead>
<tr>
<th>Business Name</th>
<th>Business Address</th>
<th>Business Relationship (attorney, lobbyist, contractor, etc.)</th>
<th>Fees (indicate whether paid or estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sam Polisky</td>
<td>205 N. Michigan Ave., Chicago</td>
<td>Attorney</td>
<td>$100,000 approx.</td>
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<tr>
<td>William Singer</td>
<td>200 E. Randolph Dr., Chicago</td>
<td>Attorney</td>
<td>$50,000 approx.</td>
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<tr>
<td>Karen Prena</td>
<td>190 S. LaSalle St., Chicago</td>
<td>Attorney</td>
<td>$25,000 approx.</td>
</tr>
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</table>

CHECK HERE IF NO SUCH PERSONS HAVE BEEN RETAINED OR ARE ANTICIPATED TO BE RETAINED:________
XIII. CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The undersigned understands and agrees that:

A. The certifications contained in this EDS shall become part of any contract awarded to the undersigned by the City in connection with the City assistance to which this EDS pertains, and are a material inducement to the City's execution of such contract or other action with respect to which this EDS is being executed and delivered on behalf of the undersigned. Furthermore, the undersigned shall comply with the certifications contained herein during the term and/or performance of the contract or completion of the Transaction. Cannot comply for reasons previously described.

B. If the City determines that any information provided herein is false, incomplete or inaccurate, the City may terminate the Transaction, terminate the undersigned's participation in the Transaction, and/or decline to allow the undersigned to participate in other contracts or transactions with the City.

C. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the undersigned 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.

REPUBLIC WINDOWS AND DOORS, INC.

(Print or type name of individual or legal entity—this should be the same name as given in Section I(A) hereof)

[Signature]

By: [Signature] (sign here)

Title of signatory: PRESIDENT

Print or type name of signatory: RONALD SPIELMAN

Date: JUNE 24, 1998

Subscribed to before me this 26th day of June.
1998 at Cook County, Illinois.

Notary Public

Commission expires:

"OFFICIAL SEAL"

BETTY RIVERA
Notary Public, State of Illinois
My Commission Expires April 9, 2001
RECERTIFICATION

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the undersigned hereby represents, under penalty of perjury, that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City and continue to be true, accurate and complete as of the date hereof.

______________________________
(Print or type name of individual or legal entity--this should be the same name as given in Section 1(A) hereof)

By: ____________________________, date: ____________, 199__

Title of signatory: ____________________________

Print or type name of signatory: ____________________________

Subscribed to before me this ____ day of __________, 199__ at Cook County, Illinois.

______________________________
Notary Public

Commission expires: ________________
June 24, 1998

Addendum to Economic Disclosure Statement & Affidavit

IV. Additional Information:

Has the undersigned or any member, partner, beneficiary or owner of the undersigned; yes was answered to parts A. & C.

Explanation:

Over the course of 33 years in business Republic has been involved in a few lawsuits with vendors over problems with purchases of what we perceived were bad materials or some other issue. To my recollection none were in excess of $5000 and no civil suits with judgments remain open at this time.
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**AL INFORMATION SERVICES**

**CHIUM**

**ORCENEMNT MANAGEMENT SYSTEM**

**PAGE 01 OF**

**BY LICENSE PLATE NUMBER**

**SOURCE:**

**SRC DT:**

**TYP:**

**TRK:**

**MAKE:**

**OWN:**

**CL**

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**i=DEF INF, 6=DET, 7=BWD, 8=FWD, 9=BOOT, 10=ACT#, 11=I, 12=SM, 17=PT SM, 18=RSTR, 19=PT NM, 21=AAPJ, 2:**

**PLEASE REMEMBER THAT THE REGISTERED OWNER OF THE LICENSE PLATE MUST NOTIFY THE ILLINOIS SECRETARY OF STATE WITHIN 10 DAYS OF ANY CHANGE OF ADDRESS. THE DEPARTMENT OF REVENUE SENDS NOTICES TO THE ADDRESS ON THE SECRETARY OF STATE'S VEHICLE FILE. CHANGE OF ADDRESS CARDS ARE AVAILABLE AT ALL SECRETARY OF STATE FACILITIES AND DEPARTMENT OF REVENUE LOCATIONS.**
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TOTAL AMOUNT PAID: 1,675.00

PLEASE REMEMBER THAT THE REGISTERED OWNER OF THE LICENSE PLATE MUST NOTIFY THE ILLINOIS SECRETARY OF STATE WITHIN 10 DAYS OF ANY CHANGE OF ADDRESS. THE DEPARTMENT OF REVENUE SENDS NOTICES TO THE ADDRESS ON THE SECRETARY OF STATE'S VEHICLE FILE. CHANGE OF ADDRESS CARDS ARE AVAILABLE AT ALL SECRETARY OF STATE FACILITIES AND DEPARTMENT OF REVENUE LOCATIONS.
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ENFORCEMENT MANAGEMENT SYSTEM

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PFKEY

1,5=DEF, 6=DET, 7=BWD, 8=FWD, P=BOOT, ACT#, I=IN, SM, 17=PT, SM, 18=RSTR, 19=PT, 20=aAPJ, 21=

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Republic Window & Doors inc.  
1725 West Diversey Parkway  
Chicago, Il 60614

May 27, 1998

Mr. Ron Spielman,

At your request, I am attaching the detailed information regarding liabilities with the city of Chicago. There is a hold on the business license for false alarms fees in the amount of $550.00 ($100.00 of which is still contestable) and an outstanding building inspection in the amount of $60.00. Republic Aluminum has not been filing the Non-Titled Personal Property Use Tax. I have enclosed some information regarding this tax. Currently, there are no past due water department liabilities for the individuals or the company. The personal plates of the officers have no past due liabilities for parking tickets. I have itemized the total parking ticket liabilities in two categories, final determination and open status tickets. All tickets in final determination must be paid but I would suggest resolving all of the outstanding issues.

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<td>$36.00</td>
</tr>
<tr>
<td>8348JVB</td>
<td>$0.00</td>
<td>$50.00</td>
<td>$50.00</td>
</tr>
<tr>
<td>9808APB</td>
<td>$510.00</td>
<td>$0.00</td>
<td>$510.00</td>
</tr>
<tr>
<td>9899JVB</td>
<td>$140.00</td>
<td>$0.00</td>
<td>$140.00</td>
</tr>
<tr>
<td>APK431</td>
<td>$0.00</td>
<td>$30.00</td>
<td>$30.00</td>
</tr>
<tr>
<td>MM1111</td>
<td>$0.00</td>
<td>$30.00</td>
<td>$30.00</td>
</tr>
<tr>
<td>RBG19</td>
<td>$160.00</td>
<td>$0.00</td>
<td>$160.00</td>
</tr>
<tr>
<td>RSVP4</td>
<td>$0.00</td>
<td>$25.00</td>
<td>$25.00</td>
</tr>
<tr>
<td>XHH800</td>
<td>$50.00</td>
<td>$0.00</td>
<td>$50.00</td>
</tr>
<tr>
<td>6031LRB</td>
<td>$210.00</td>
<td>$30.00</td>
<td>$240.00</td>
</tr>
<tr>
<td>6691HEB</td>
<td>$160.00</td>
<td>$0.00</td>
<td>$160.00</td>
</tr>
<tr>
<td>8195NCB</td>
<td>$0.00</td>
<td>$75.00</td>
<td>$75.00</td>
</tr>
<tr>
<td>Parking Total</td>
<td>$1,590.00</td>
<td>$550.00</td>
<td>$2,140.00</td>
</tr>
</tbody>
</table>

Republic Window & Doors, Inc.
1725 W Diversey Pkwy.
Chicago, IL 60614

Dear Sir/Madam:

Chicago Department of Revenue billing records show the following unpaid inspectional or privilege fees for the properties listed below. These fees are the personal responsibility of any and all persons who owned the property during the calendar year of the inspection or privilege.

<table>
<thead>
<tr>
<th>Name</th>
<th>Premise Location</th>
<th>Insp Date</th>
<th>Type Number</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Republic Aluminum</td>
<td>1725 W Diversey Av</td>
<td>10/03/96</td>
<td>B1</td>
<td>616101</td>
</tr>
</tbody>
</table>

Total: $60.00

Please pay the amount due immediately at the above address. Make your check or money order payable to the City of Chicago. Please return a copy of this document with your payment.

If you believe your business has already paid or is not subject to any of the fees listed above, please submit a written explanation with the appropriate supporting documents to the address listed above, or call (312) 747-3790. Failure to respond timely may result in the Department taking further enforcement action.

Sincerely,

Chicago Department of Revenue

Please return this copy with your payment.
CITY OF CHICAGO
064783  615101  05/27/99  60.00  60.00  .00  60.00
Check Total 60.00

Republic
windows & doors inc.
1725 W. Diversey Pkwy. Chicago, IL  60614

AMERICAN NATIONAL BANK
AND TRUST COMPANY OF CHICAGO
2-77/710

DATE
06/11/99

ERICA W. BROWN

PAY TO THE ORDER OF
CITY OF CHICAGO
DEPARTMENT OF REVENUE-NPC UNIT
333 S. STATE STREET-SUIT 1520
CHICAGO  IL  60604-2977

On 6/12/99, I received the above check in the amount of $60.00 to pay 1997 BI-52-1610.

2/12/02
Chicago Department of Revenue

PLEASE RETURN THIS COPY WITH YOUR PAYMENT

DUE DATE JUN 11 1998

VENDOR 7547

ACCOUNT # 12018

REPUBLIC WINDOWS & DOORS, INC.
CHICAGO, IL 60614

AMERICAN NATIONAL BANK
AND TRUST COMPANY OF CHICAGO
2-77710

DATE 06/11/98

PAY TO THE ORDER OF
CITY OF CHICAGO
DEPARTMENT OF REVENUE-NFC UNIT
333 S. STATE STREET-SUITE 1210
CHICAGO IL 60604-2377

SIXTY AND 00/100 DOLLARS

NON-NEGOTIABLE

0066947

REPUBLIC WINDOWS & DOORS, INC.

04733 65101 05/27/98 60.00 60.00 0.00 50.00

Check Total 60.00

0066947

0066947

#066947# 0710007704 04046919

#066947#

CHICAGO

066947

046947
## DEPOSIT SLIP/RECEIPT

**CITY OF CHICAGO**  
Department of Revenue  
City Hall, Room 107

<table>
<thead>
<tr>
<th>CODE</th>
<th>FUND</th>
<th>DEPT.</th>
<th>ORGN.</th>
<th>ACCT.</th>
<th>DOLLARS</th>
<th>CENTS</th>
<th>REFERENCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>2454</td>
<td>100</td>
<td>29</td>
<td>3441</td>
<td>2711</td>
<td>5150.00</td>
<td></td>
<td>T 02794184</td>
</tr>
</tbody>
</table>

**Teller Use Only**

Drev 795 120-001 0066446 0066594

**Description:**

**Maker's Name:** (if check over $10,000)  
**Contact Person** (print)

**Check No.:**  
**Phone No.:**
CITY OF CHICAGO DEPARTMENT OF REVENUE
NOTICE OF VIOLATION
FALSE BURGLAR ALARM/FAILURE TO DISPLAY OR MAINTAIN ALARM PERMIT

Date of this Notice: 05/24/1998
Permit #: P002796

Date of violation for which fine is imposed: 05/12/1998

Mailing address:
LARRY MANASCO
RE: REPUBLIC ALUMINUM INC
1725 W DIVERSEY AVE
CHICAGO IL 60614-1009

Name of burglar alarm user/alarm location:
REPUBLIC ALUMINUM INC
1725 W DIVERSEY AV
1ST FL
CHICAGO IL 60614

Recently, the City of Chicago issued a Notice of False Burglar Alarm to the location listed above. The City of Chicago has determined that a fine is due, for one or more of the following reasons: 1) the burglar alarm user has incurred more than five false burglar alarms in a calendar year; 2) the burglar alarm user failed to display a burglar alarm permit; or 3) the burglar alarm user failed to maintain the posted burglar alarm permit by allowing it to expire. These violations are itemized below. If you wish to contest any of these violations, you may file a written request for a hearing. Complete the lower portion of this notice, detach and mail or hand-deliver to the Department of Revenue. Requests for hearing must be postmarked or received by the Department no later than 14 days after the Date of this Notice as shown above. You will be notified by postcard of the date and time of your hearing. At the hearing you may contest any or all of the violations listed below:

<table>
<thead>
<tr>
<th>Ticket #</th>
<th>Date</th>
<th>Time</th>
<th>Violation</th>
<th>Permit Visible?</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>00992934</td>
<td>05/12/1998</td>
<td>05:55 AM</td>
<td>FA POSTED</td>
<td></td>
<td>$ 50.00</td>
</tr>
</tbody>
</table>

Other unpaid false alarm fees and fines not itemized on this notice: $ 500.00

Total balance due for False Burglar Alarm program: $ 550.00

* FA = False Alarm  FD = Failure to Display Alarm Permit  FM = Failure to Maintain Alarm Permit

(SEE OTHER SIDE FOR ADDITIONAL INFORMATION)
KEEP THIS PORTION FOR YOUR RECORDS

DETACH THIS PORTION AND MAIL OR HAND DELIVER
CITY OF CHICAGO DEPARTMENT OF REVENUE
FALSE BURGLAR ALARM/FAILURE TO DISPLAY OR MAINTAIN ALARM PERMIT

Date of this Notice: 05/24/1998
Ticket #: 00992934
Permit #: P002796

Date of violation for which fine is imposed: 05/12/1998

If you wish to contest any or all of the violations listed above, check this box: [ ] HEARING REQUESTED

If you are making a payment, indicate the amount of your payment in this box: [ ] AMOUNT ENCLOSSED

Your payment will be applied to the ticket number listed above unless you specify otherwise. Excess payments will be applied to your total unpaid balance. Do not mail cash. Make check or money order payable to "City of Chicago". Include your Permit # on your check. If you want to apply for a permit, or if you have questions about your account or this notice, call the False Alarm Hotline at (312) 747-1139.

Mail this portion with payment to:
CHICAGO DEPARTMENT OF REVENUE
P.O. BOX 4952

OR Hand deliver to any of the following Department of Revenue locations:
1. 121 N. LaSalle St.
2. 125 N. LaSalle St.
3. 10 S. Kedzie Ave.
   (City Hall Room 107)
4. 2050 W. Addison St.
AMERICAN NATIONAL BANK
AND TRUST COMPANY OF CHICAGO
2:77:710

0066594

05/02/98
$500.00

REPUBLIC WINDOWS & DOORS, INC.

FIVE HUNDRED AND 00/100 DOLLARS

PAY TO THE ORDER OF
CITY OF CHICAGO
DEPARTMENT OF REVENUE
P.O. BOX 4956
CHICAGO IL 60660-4956

0066594 0746000770 04046969

(SEE OTHER SIDE FOR ADDITIONAL INFORMATION)

DETACH THIS PORTION AND MAIL OR HAND DELIVER
CITY OF CHICAGO DEPARTMENT OF REVENUE
NOTICE OF DEFAULT DETERMINATION OF LIABILITY
FALSE BURGLAR ALARM PROGRAM

Date of Determination: 05/02/1998
Ticket #: 03592210
Permit #: P002796

AMOUNT ENCLOSED

Mail this portion with payment to:
CHICAGO DEPARTMENT OF REVENUE
P.O. BOX 4956
CHICAGO, IL 60680-4956

OR Hand deliver to any of the following Department of Revenue locations:
1. 121 N. LaSalle St. (City Hall, Room 107)
3. 10 S. Kedzie Ave.
4. 2550 W. Addison St.
2. 321 N. LaSalle St. (First Floor) 5. 9059 S. Cottage Grove Ave.
FIFTY AND 00/100 DOLLARS

PAY TO THE ORDER OF
CITY OF CHICAGO
DEPARTMENT OF REVENUE
P.O. BOX 4938
CHICAGO, IL 60680-4938

TOTAL	50.00

Check Total	50.00

DATE	05/11/98

AMOUNT	$50.00

REPUBLIC WINDOWS & DOORS, INC.

AMERICAN NATIONAL BANK
AND TRUST COMPANY OF CHICAGO
2-77/110

(SEE OTHER SIDE FOR ADDITIONAL INFORMATION)

DETACH THIS PORTION AND MAIL OR HAND DELIVER
CITY OF CHICAGO DEPARTMENT OF REVENUE
NOTICE OF VIOLATION

FALSE BURGLAR ALARM/Failure TO DISPLAY OR MAINTAIN ALARM PERMIT

Ticket #: 00992934
Permit #: P002796

Date of this Notice: 05/24/1998
Date of violation for which fine is imposed: 05/12/1998

If you wish to contest any or all of the violations listed above, check this box: □ HEARING REQUESTED

If you are making a payment, indicate the amount of your payment in this box: □ AMOUNT ENCLOSED

Your payment will be applied to the ticket number listed above unless you specify otherwise. Excess payments will be applied to your total unpaid balance. Do not mail cash. Make check or money order payable to "City of Chicago". Include your Permit # on your check. If you want to apply for a permit, or if you have questions about your account or this notice, call the False Alarm Hotline at (312) 747-1138.

Mail this portion with payment to: CHICAGO DEPARTMENT OF REVENUE
P.O. BOX 4938
OR Hand deliver to any of the following Department of Revenue locations:
1. 121 N. LaSalle St. (City Hall, Room 107)
2. 2550 W. Addison St.
3. 10 S. Kedzie Ave.
Affidavits and Certifications

City of Chicago
Richard M. Daley, Mayor

Department of Planning and Development
Christopher R. Hill, Commissioner

Finance Division
Mohammed M. Elahi, Deputy Commissioner

8000474
CITY OF CHICAGO
DEPARTMENT OF PLANNING & DEVELOPMENT

ECONOMIC DISCLOSURE STATEMENT & AFFIDAVIT
(Economic Development/Housing Transactions)

Pursuant to Chapter 2-154 of the Municipal Code of Chicago (the "Municipal Code"), the following information is required to be disclosed prior to any City agency, department or City Council action. Please fully complete each statement, with all information current as of the attestation date. Every question must be answered. If a question is not applicable, answer with "N.A." An incomplete EDS shall be returned and any City action shall be interrupted.

Please print or type all responses clearly and legibly. If you need additional space for a response, attach extra pages. Please indicate the question to which you are responding on any extra pages you attach.

Please note that this Economic Disclosure Statement and Affidavit (the "EDS") requires you to obtain various certifications from certain other parties before they may perform any work in connection with the project. The terms of the required certifications are set forth below in Sections V, VII, VIII, IX and X.

WHO MUST FILE:

1. **The Applicant:** Any individual or entity (the "Applicant") making an application to the City of Chicago (the "City") for action requiring City Council or other City agency approval must file this EDS. For example, with respect to a City loan or grant, the individual or entity applying for the loan or grant is the "Applicant."

2. **Entities holding an interest in the Applicant:** Whenever an ownership interest in the Applicant (such as shares of stock of the Applicant or a limited partnership interest in the Applicant, for example) is held or owned by a legal entity (such as a corporation or partnership, for example) rather than an individual, each such legal entity must also file an EDS on its own behalf. If the Applicant is a not-for-profit corporation with members who elect the board of directors, those members who are legal entities and not individuals must also file EDS’s on their own behalf. (Individuals who have ownership interests in the Applicant or who are members of a not-for-profit Applicant are not required to file an EDS on their own behalf.) However, if the Applicant is a corporation whose shares are registered on a national securities exchange pursuant to the Securities Exchange Act of 1934, only legal entities that own 10 percent or more of the Applicant’s stock must file EDS’s on their own behalf. A legal entity that holds an ownership interest in the Applicant and that is required to file an EDS on its own behalf shall be referred to hereinafter as a "First-Tier Related Entity."

3. **Entities holding direct or indirect interest in a First-Tier Related Entity:** The same rules described in (2) above also apply to owners of First-Tier Related Entities, owners of such owners, and so on.
The individual or legal entity completing this EDS shall be referred to as the "undersigned" throughout this EDS. If the party completing this EDS is not an individual but is a legal entity (such as, for example, a corporation or partnership), the person signing this EDS on behalf of such party shall be referred to as the "signatory of the undersigned."

ACKNOWLEDGMENT OF POSSIBLE CREDIT AND OTHER CHECKS: By completing and filing this EDS, the undersigned acknowledges and agrees, on behalf of itself and the individuals named in this EDS, that the City may investigate the creditworthiness of some or all of the individuals named in this EDS.

INFORMATION TO BE KEPT CURRENT: All disclosures must be current as of the date upon which the application is presented to the City Council or other City agency, and shall be maintained current until such time as the City Council or City agency shall take action on the application. This requires (i) the submission of this EDS at the time the initial application is made; and (ii) a recertification of this EDS (a) at the time the related ordinance, if any, is submitted to the City Council if such submission is more than 60 days following the original execution of this EDS; and (b) upon the closing of the related transaction.

RE-CERTIFYING THIS EDS: Execute the certification on the date of the initial submission of this EDS. You may be asked to re-execute this EDS on the last page as of the date of submission of any related ordinance to the City Council, or as of the date of the closing of your transaction.

I. GENERAL INFORMATION

A. Exact legal name of undersigned: **REPUBLIC WINDOWS & DOORS, INC.**

B. Business Address: **930 W. EVERGREEN CHICAGO, ILL 60622**

C. Telephone: (312) 932-8800  D. Facsimile (312) 932-8550

E. Name of contact person: **RONALD SPIELMAN**

F. City agency Receiving this EDS: Department of Planning and Development, **Finance Division**
G. Type of action requested: 

COBG LOAN AND TIF

H. Project location: 

930 W. EVERGREEN

CHICAGO, ILL. 60622

I. Brief project description: 

370,000 sq. ft.

WINDOW MANUFACTURING FACILITY

J. Description and purpose of requested City assistance: 

INFRASTRUCTURE COSTS, ENVIRONMENTAL COSTS

ACQUISITION COSTS, BUILDING COSTS

II. DISCLOSURE OF OWNERSHIP INTERESTS

A. GENERAL INFORMATION

1. Indicate whether the undersigned is an individual or legal entity and, if a legal entity, indicate the type of entity below:

- Individual
- Business corporation
- Not-for-profit corporation
- General partnership
- Limited partnership
- Limited liability company
- Joint venture
- Sole proprietorship
- Other entity (please specify)

________________________________________

3
2. State of incorporation or organization, if applicable:

ILLINOIS

3. For corporations, limited partnerships and limited liability companies not organized in the State of Illinois: Is the organization authorized to do business in the State of Illinois as a foreign entity?

☐ Yes ☐ No

B. ORGANIZATION INFORMATION

1. FOR CORPORATIONS:

a. List below the names and titles of the executive officers and directors of the corporation.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>RONALD SPIELMAN</td>
<td>PRESIDENT - DIRECTOR</td>
</tr>
<tr>
<td>RICHARD GILLMAN</td>
<td>EXECUTIVE VICE PRESIDENT - DIRECTOR</td>
</tr>
<tr>
<td>MIRIAM SPIELMAN</td>
<td>DIRECTOR</td>
</tr>
</tbody>
</table>

b. For business corporations with 100 or more shareholders, list below the name, business address and percentage of ownership interest of each shareholder owning shares equal to or in excess of 7.5 percent of the total issued and outstanding shares.

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td></td>
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</tr>
</tbody>
</table>
c. For business corporations with fewer than 100 shareholders, list below the name, business address and percentage of ownership interest of each shareholder.

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>RONALD SPIELMAN</td>
<td>930 W. EVERGREEN - CHICAGO</td>
<td>73%</td>
</tr>
<tr>
<td>MAYM SPIELMAN</td>
<td>132 E. DELAWARE - CHICAGO</td>
<td>12%</td>
</tr>
<tr>
<td>RICHARD GIULIAN</td>
<td>930 W. EVERGREEN - CHICAGO</td>
<td>15%</td>
</tr>
</tbody>
</table>

d. For not-for-profit corporations, list below the name, business address and percentage of control of each member. If there are no members, write "no members."

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Control</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

2. FOR PARTNERSHIPS:

For general or limited partnerships: list below the name, business address and percentage of ownership interest of each partner. For limited partnerships, indicate whether each partner is a general partner or a limited partner.

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

5
3. FOR LIMITED LIABILITY COMPANIES:
   a. List below the names and titles of the executive officers, if any, of the limited liability company. If there are no officers, write "no officers."

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
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</tr>
</tbody>
</table>

b. List below the name, business address and percentage of ownership interest of each (i) member and (ii) manager. If there are no managers, write "no managers."

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

4. FOR LAND TRUSTS, BUSINESS TRUSTS OR ESTATES:
   a. List below the name of each individual or legal entity holding legal title to the property that is the subject of the trust:

   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
b. List below the name, business address and percentage of beneficial interest of each beneficiary on whose behalf title is held:

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Interest</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

5. OTHER OWNERSHIP INTERESTS

a. Is any ownership interest in the undersigned, as described in (1)(b)-(d), (2), 3(b) or (4)(b) above, held by one or more agents or one or more nominees on behalf of another individual or legal entity?

☐ Yes ☑ No

If so, list below the name, business address and percentage of ownership interest of each principal (whether an individual or legal entity) for whom such agent(s) or nominee(s) are holding their ownership interest(s) in the undersigned, and identify each principal's agent or nominee.

Principal's

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>% Interest</th>
<th>Agent/Nominee</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

b. Is any ownership interest in the undersigned, as described in (1)(b)-(d), (2), 3(b) or (4)(b) above, constructively controlled (other than through an agent or nominee) by another individual or legal entity?

☐ Yes ☑ No
D. Have all water charges, sewer charges, property taxes and sales taxes, due and payable on or prior to the date hereof and concerning the Property, been paid as of the date of this EDS?

☑ Yes  ☐ No

If no, describe below the kind and dollar amount of such charges or taxes and indicate by what date full payment shall be made. Failure to make full payment may halt any requested City action.

IV. ADDITIONAL INFORMATION

Has the undersigned or any member, partner, beneficiary or owner of the undersigned:

A. ever been a defendant in any civil or criminal suits or legal actions?

☑ Yes  ☐ No

B. ever had any debts discharged, satisfied or settled under the Bankruptcy Act?

☐ Yes  ☑ No

C. ever had a judgment entered against him/her/it?

☑ Yes  ☐ No

D. ever been a party to a foreclosure, a deed in lieu of foreclosure, a loan default or loan “workout” situation?

☐ Yes  ☑ No

NOTE: If the answer to any of the above questions is “yes,” attach a separate schedule explaining the circumstances, parties involved and resolution or status. A specific description must be provided for each case.
V. CERTIFICATION OF ENVIRONMENTAL COMPLIANCE

A. Neither the undersigned nor any "Affiliated Entity" (as defined below) of the undersigned has, during a period of five years prior to the date hereof:

(1) violated or engaged in any conduct which violated Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other "Environmental Restriction" (as defined below);

(2) received notice of any claim, demand or action, including but not limited to citations and warrants, from the City, the State of Illinois, the federal government, any state or political subdivision thereof, or any agency, court or body of the federal government or any state or political subdivision thereof, exercising executive, legislative, judicial, regulatory or administrative functions, relating to a violation or alleged violation of Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other Environmental Restriction; or

(3) been subject to any fine or penalty of any nature for failure to comply with Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other Environmental Restriction.

B. If the undersigned is unable to certify to any of the above statements in this Section V, the undersigned shall identify all exceptions and indicate whether any such exceptions occurred within the City or otherwise pertain to the City:

RECEIVED CITY OF CHICAGO ORDINANCE CITATION ON 10/3/97 ALLEGING
VIOLATIONS OF 7-28-450 AND 7-28-080, 11-4-1500 AND 11-4-1520, ALL
OR WHICH WERE VOLUNTARILY DISMISSED BY THE CITY ON 2/25/98

[If no explanation appears or begins on the lines above, it shall be conclusively presumed that the undersigned certifies to each of the above statements.]

C. The undersigned covenants and agrees that the undersigned shall:

(1) prior to completion of the project to which this EDS pertains (the "Project"), not violate any provision of Sections 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapters 7-28 or 11-4 of the Municipal Code or any other Environmental Restriction;

(2) not use any facility on the United States Environmental Protection Agency's List of Violating Facilities (the "List") in connection with the Project for the duration of time that the facility remains on the List; and
(3) Immediately notify any federal agency which is awarding funds in connection with the Project if a facility that the undersigned intends to use is on the List or if the undersigned knows that any such facility has been recommended to be placed on the List.

D. The undersigned has obtained certifications in form and substance equal to Section V(A)-(B) of this EDS from all contractors or subcontractors that the undersigned presently intends to use in connection with the Project. As to contractors or subcontractors to be used in connection with the Project who are not yet known to the undersigned, the undersigned shall obtain certifications in form and substance equal to Section V(A)-(B) of this EDS from all such parties prior to using them in connection with the Project.

E. The undersigned shall not, without the prior written consent of the City, use any contractor or subcontractor in connection with the Project if the undersigned, based on information contained in such party's certification or any other information known or obtained by the undersigned, has reason to believe that such contractor or subcontractor has, within the preceding five years, been in violation of any Environmental Restriction, received notice of any claim relating to a violation of an Environmental Restriction, or been subject to any fine or penalty for a violation of an Environmental Restriction.

F. Further, the undersigned shall not, without the prior written consent of the City, use as a contractor or subcontractor in connection with the Project any person or entity from which the undersigned is unable to obtain certifications in form and substance equal to Section V(A)-(B) of this EDS or which the undersigned has reason to believe cannot provide truthful certifications.

G. The undersigned shall maintain for the duration of the requested City assistance all certifications of all contractors and subcontractors required by Section V(D) above, and shall make such certifications promptly available to the City upon request.

H. Definitions:

(1) Entities are "affiliated" if, directly or indirectly, one controls or has the power to control the other, or if a third person controls or has the power to control both entities. 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 another business entity using substantially the same management, ownership or principals as the first entity.

(2) "Environmental Restriction" means any statute, ordinance, rule, regulation, permit, permit condition, order or directive relating to or imposing liability or standards of conduct concerning the release or threatened release of...
hazardous materials, special wastes or other contaminants into the
environment, and to the generation, use, storage, transportation or disposal
of construction debris, bulk waste, refuse, garbage, solid wastes, hazardous
materials, special wastes or other contaminants, including but not limited to:
(a) the Comprehensive Environmental Response, Compensation and Liability
Act (42 U.S.C. § 9601 et seq.); (b) the Hazardous Materials Transportation
Act (49 U.S.C. § 1801 et seq.); (c) the Resource Conservation and Recovery
Act of 1976 (42 U.S.C. § 6901 et seq.); (d) the Clean Water Act (33 U.S.C.
§ 1251 et seq.); (e) the Clean Air Act (42 U.S.C. § 7401 et seq.); (f) the Toxic
Substances Control Act of 1976 (15 U.S.C. § 2601 et seq.); (g) the Safe
Drinking Water Act (42 U.S.C. § 300f et seq.); (h) the Occupational Health
and Community Right to Know Act (42 U.S.C. § 11001 et seq.); and (j) the
Illinois Environmental Protection Act (415 ILCS 5/1 through 5/56.6).

VI. CHILD SUPPORT OBLIGATIONS

For purposes of this Section VI. "Substantial Owner" means any individual who owns or
holds a 10 percent or more "Percentage of Interest" (as defined below) in the undersigned.
If the undersigned is an individual or sole proprietorship, the "Substantial Owner" means
that individual or sole proprietor. "Percentage of Interest" includes direct, indirect and
beneficial interests in the undersigned. "Indirect or beneficial interest" means that an
interest in the undersigned is held by a corporation, joint venture, trust, partnership,
association, estate or other legal entity, in which the individual holds an interest, or by
agent(s) or nominee(s) on behalf of an individual or entity. For example, if Corporation B
owns a 20 percent interest in the undersigned, and an individual has a 50 percent
percentage of interest in Corporation B, then such individual indirectly has a 10 percent
percentage of interest in the undersigned and is a Substantial Owner. If Corporation B is
held by another entity, then this analysis similarly must be applied to that next entity (and
so forth to any additional levels of ownership) to determine whether any individuals indirectly
hold a 10 percent or more interest in the undersigned.

If the undersigned's response below is (A) or (B), than all of the undersigned's Substantial
Owners must remain in compliance with any such child support obligations (i) throughout
the term of the requested City assistance to which this EDS pertains, or (ii) until completion
of the undersigned's obligations to the City in connection with the Project, whichever is later.
Failure of the undersigned's Substantial Owners to remain in compliance with their child
support obligations in the manner set forth in either (A) or (B) below constitutes an event
of default.
Check one:

A. No Substantial Owner has been declared in arrearage on any child support obligations by the Circuit Court of Cook County or by another Illinois court of competent jurisdiction.

B. The Circuit Court of Cook County or another Illinois court of competent jurisdiction has issued an order declaring one or more Substantial Owners in arrearage on their child support obligations. All such Substantial Owners, however, have entered into court-approved agreements for the payment of all such child support owed, and all such Substantial Owners are in compliance with such agreements.

C. The Circuit Court of Cook County or another Illinois court of competent jurisdiction has issued an order declaring one or more Substantial Owners in arrearage on their child support obligations and: (i) at least one such Substantial Owner has not entered into a court-approved agreement for the payment of all such child support owed; or (ii) at least one such Substantial Owner is not in compliance with a court-approved agreement for the payment of all such child support owed; or both (i) and (ii).

D. There are no Substantial Owners.

VII. CERTIFICATION

The signatory of the undersigned, being first duly sworn, on oath hereby certifies, deposes and says, under penalty of perjury, as follows:

A. The signatory is authorized to execute this EDS on behalf of the undersigned: the information disclosed herein is true and complete to the best of his/her knowledge; no disclosures as to economic interest in the Project have been withheld; and no information has been reserved as to the intended use or purpose for which the undersigned (or a related entity) seeks action by the City Council or pertinent City agency.

B. Except as described in Section III(D) hereof, if applicable, the undersigned is (a) not in default or in arrears on any outstanding commercial loans, water charges, sewer charges, property taxes, sales taxes or other fines, fees, taxes, assessments or charges owed to the City, personally or by any partnership, corporation, joint venture or land trust in which the undersigned has at least a five percent beneficial interest; and (b) not delinquent in the payment of any tax administered by the Illinois Department of Revenue, or if delinquent, the undersigned is contesting, in accordance with the procedures
established by the appropriate revenue act, its liability for such tax or the amount of such tax, or the undersigned has entered into an agreement with the Illinois Department of Revenue for the payment of all such taxes that are due and is in compliance with such agreement.

C. Since the initial date of application, the undersigned has not done or suffered to be done anything that could in any way adversely affect the title to the Property and, except as described herein, no proceedings have been filed by or against the undersigned, nor has any judgment or decree been rendered against the undersigned, nor is there any judgment note or other instrument that can result in a judgment or decree against the undersigned within five days from the date thereof.

D. The undersigned has either paid in full or settled all outstanding parking violation complaints issued to any vehicle owned or controlled by the undersigned personally, or by any partnership, corporation, joint venture or land trust in which the undersigned has control or an ownership interest exceeding five percent in such entity.

E. The undersigned and its principals:

1. 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;

2. have not within a three-year period preceding the date hereof been convicted of a criminal offense 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;

3. are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in clause (b) above; and

4. have not within a three-year period preceding the date hereof had one or more public transactions (federal, state or local) terminated for cause or default.

F. The undersigned, or any party to be used in the performance of the Project (an "Applicable Party"), or any Affiliated Entity of either the undersigned or any Applicable Party, or any responsible official thereof, or any other official,
agent or employee of the undersigned, any Applicable Party or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official thereof, has not, during the three years prior to the date hereof or, with respect to an Applicable Party or any Affiliated Entity thereof, during the three years prior to the date of such Applicable Party's contract in connection with the Project:

(1) bribed or attempted to bribe, or been convicted 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;

(2) agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted 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

(3) made an admission of such conduct described in (1) or (2) above which is a matter of record, but has not been prosecuted for such conduct.

G. The undersigned understands and shall comply with (1) the applicable requirements of the Governmental Ethics Ordinance of the City, Title 2, Chapter 2-156 of the Municipal Code; and (2) all the applicable provisions of Chapter 2-56 of the Municipal Code (Office of the Inspector General).

H. Neither the undersigned nor any employee, official, agent or partner of the undersigned 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, as amended, supplemented and restated from time to time; (2) bid-rotating in violation of 720 ILCS 5/33E-4, as amended, supplemented and restated from time to time; or (3) any similar offense of any state or of the United States of America which contains the same elements as the offense of bid-rigging or bid-rotating.

[Handwritten note: CANNOT ATTEND TO "R" WITH RESPECT TO "ANY PARTY TO BE USED IN" THE PERFORMANCE OR THE PROJECT" SINCE CONTRACTORS WERE HIRED AND PROJECT VIRTUALLY COMPLETE UPON RECEIPT OF THIS NEW ECS. WE WILL ATTEND TO "F" WITH RESPECT TO ALL "SUBSTANTIAL OWNER OF REPUBLIC"]
I. If the undersigned is unable to certify to any of the above statements in this Section VII, the undersigned shall explain below:

________________________________________________________________________

________________________________________________________________________

[If no explanation appears or begins on the lines above, it shall be conclusively presumed that the undersigned certifies to each of the above statements.]

VIII. APPLICABLE PARTIES

A. The undersigned has obtained certifications in form and substance equal to Section VII(E)-(I) of this EDS from all Applicable Parties that the undersigned presently intends to use in connection with the Project. As to Applicable Parties to be used in connection with the Project who are not yet known to the undersigned, the undersigned shall obtain certifications in form and substance equal to Section VII(E)-(I) of this EDS from all such Applicable Parties prior to using them in connection with the Project.

B. The undersigned shall not, without the prior written consent of the City, use any Applicable Party in connection with the Project if the undersigned, based on information contained in such Applicable Party's certification or any other information known or obtained by the undersigned, has reason to believe that:

1. during the three years prior to the date of such Applicable Party's contract in connection with the Project, such Applicable Party, such Applicable Party's Affiliated Entity, or any official, agent or employee of such Applicable Party or Affiliated Entity has engaged in, been convicted of, or made an admission of guilt of any of the conduct listed in Section VII(F) above;

2. such Applicable Party or any official, agent, partner or employee of such Applicable Party is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of bid-rigging, bid-rotating, or any similar offense of any state or of the United States of America which contains the same elements as bid-rigging or bid-rotating; or

3. any of the circumstances described in Section VII(H) above applies to such Applicable Party or its principals.
C. Further, the undersigned shall not, without the prior written consent of the City, use in connection with the Project any person or entity from which the undersigned is unable to obtain certifications in form and substance equal to Section VII(E)-(I) of this EDS or which the undersigned has reason to believe cannot provide truthful certifications.

D. For all Applicable Parties, the undersigned shall maintain for the duration of the requested City assistance all certifications of all Applicable Parties required by Section VIII(A) above, and the undersigned shall make such certifications promptly available to the City upon request.

IX. RESTRICTION ON LOBBYING

A. List below the names of all persons registered under the Lobbying Disclosure Act of 1995, 2 U.S.C. § 1601 et seq. (the "Disclosure Act"), who have made lobbying contacts on behalf of the undersigned with respect to the transaction to which this EDS pertains (the "Transaction"). If there are no such persons, write "none."

NONE


B. The undersigned certifies that it has not and shall not expend any Federal appropriated funds to pay any person for influencing or attempting 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 awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement. Accordingly, the undersigned has not used any Federal appropriated funds to pay any person listed in Section IX(A) above for his/her lobbying activities in connection with the Transaction.

C. The undersigned shall submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affect the accuracy of the statements and information set forth in paragraphs (A) and (B) above.
D. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Transaction, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

E. Either (1) the undersigned is not an organization described in Section 501(c)(4) of the Internal Revenue Code of 1986; or (2) the undersigned is an organization described in Section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and shall not engage in "lobbying activities," as defined in the Disclosure Act.

F. The undersigned shall obtain certifications equal in form and substance to paragraphs (A) through (E) above from all contractors and subcontractors prior to the award of any contract/subcontract with such parties in connection with the Transaction. The undersigned shall maintain all such certifications of such parties for the duration of the Transaction and shall make such certifications promptly available to the City upon request.

X. NONSEGREGATED FACILITIES

A. The undersigned certifies that it does not and shall not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and shall not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The undersigned agrees that a breach of this certification is a violation of the Equal Opportunity clause.

B. "Segregated facilities," as used in this provision, means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin because of habit, local custom or otherwise.

C. The undersigned further agrees that it shall obtain or cause to be obtained identical certifications from proposed contractors or subcontractors in connection with the Project before the award of contracts or subcontracts under which the contractor/subcontractor will be subject to the equal opportunity clause. Contracts and subcontracts exceeding $10,000, or having an aggregate value exceeding $10,000 in any 12-month period, are generally subject to the equal opportunity clause. See 41 C.F.R. Part 60 for further information regarding the equal opportunity clause.
D. The undersigned shall forward or cause to be forwarded the following notice to proposed contractors and subcontractors:

**NOTICE TO PROSPECTIVE CONTRACTORS/SUBCONTRACTORS OF REQUIREMENTS FOR CERTIFICATIONS OF NONSEGREGATED FACILITIES**

A Certification of Nonsegregated Facilities must be submitted before the award of a contract/subcontract under which the contractor/subcontractor will be subject to the Equal Opportunity clause. The certifications may be submitted either for each contract/subcontract or for all contracts/subcontracts during a period (e.g., quarterly, semiannually or annually).

[XII. EQUAL EMPLOYMENT OPPORTUNITY]

Federal regulations require that the undersigned and proposed contractors/subcontractors submit the following information with their bids or in writing at the outset of negotiations:

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

[ ] Yes  [ ] No

CANNOT COMPLY FOR REASONS PREVIOUSLY DESCRIBED...

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

[ ] Yes  [ ] No

C. If the answer to (B) is yes, have you filed with the Joint Reporting Committee, the Director of OFCC, any federal agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements of these organizations?

[ ] Yes  [ ] No
XII. RETAINED PARTIES

A. Definitions and Disclosure Requirements

1. Pursuant to Executive Order 97-1, every City contract and lease must be accompanied by a statement disclosing certain information about attorneys, lobbyists, accountants, consultants, subcontractors and other persons whom the undersigned has retained or expects to retain in connection with the contract or lease. In particular, the undersigned must disclose the name of each such person, his/her business address, the nature of the relationship, and the amount of the fees paid or estimated to be paid. The undersigned is not required to disclose employees who are paid solely through the undersigned’s regular payroll.

2. "Lobbyist" means any person (i) who for compensation or on behalf of any person other than himself undertakes to influence any legislative or administrative action, or (ii) any part of whose duty as an employee of another includes undertaking to influence any legislative or administrative action.

3. If the undersigned is uncertain whether a disclosure is required under this Section XII, the undersigned must either ask the City whether disclosure is required or make the disclosure.

B. Certification

Each and every attorney, lobbyist, accountant, consultant, subcontractor or other person retained or anticipated to be retained by the undersigned with respect to or in connection with the City assistance to which this EDS pertains is listed below:

<table>
<thead>
<tr>
<th>Name</th>
<th>Business Address</th>
<th>Relationship (indicate attorney, lobbyist, contractor, etc.)</th>
<th>Fees whether paid or estimated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sam Polsky</td>
<td>205 N. Michigan Ave.</td>
<td>Attorney</td>
<td>$1,000,000, approx.</td>
</tr>
<tr>
<td>William Singer</td>
<td>200 E. Randolph</td>
<td>Attorney</td>
<td>$50,000, approx.</td>
</tr>
<tr>
<td>Karen Arena</td>
<td>190 S. La Salle</td>
<td>Attorney</td>
<td>$25,000, approx.</td>
</tr>
</tbody>
</table>

CHECK HERE IF NO SUCH PERSONS HAVE BEEN RETAINED OR ARE ANTICIPATED TO BE RETAINED: _____

20
XIII. CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The undersigned understands and agrees that:

A. The certifications contained in this EDS shall become part of any contract awarded to the undersigned by the City in connection with the City assistance to which this EDS pertains, and are a material inducement to the City's execution of such contract or other action with respect to which this EDS is being executed and delivered on behalf of the undersigned. Furthermore, the undersigned shall comply with the certifications contained herein during the term and/or performance of the contract or completion of the Transaction.

B. If the City determines that any information provided herein is false, incomplete or inaccurate, the City may terminate the Transaction, terminate the undersigned's participation in the Transaction, and/or decline to allow the undersigned to participate in other contracts or transactions with the City.

C. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the undersigned 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.
Republic Windows & Doors, Inc.

(Print or type name of individual or legal entity--this should be the same name as given in Section 1(A) hereof)

By: [Signature]

(sign here)

Title of signatory: PRES.

Print or type name of signatory: RONALD SPIELMAN

Date: 1/28/1999

Subscribed to before me this 28th day of January, 1999 at Cook County, Illinois.

[Signature]
Notary Public

Commission expires: [Seal]

Betty Rivera
Notary Public, State of Illinois
My Commission Expires April 9, 2001
(Do not write below this line except to recertify prior to submission to City Council or on the date of closing.)

RECERTIFICATION

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the undersigned hereby represents, under penalty of perjury, that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City and continue to be true, accurate and complete as of the date hereof.

REPUBLIC WINDOWS & DOORS, INC

(Print or type name of individual or legal entity--this should be the same name as given in Section I(A) hereof)

By:                                      (sign here)

Title of signatory: Ronald Spermann      PRES.

Print or type name of signatory: Ronald Spermann

Date: 1/28 1999

Subscribed to before me this 28th day of January 1999 at Cook County, Illinois.

Betty Rivera
Notary Public

Commission expires:  

"OFFICIAL SEAL"  
BETTY RIVERA  
Notary Public, State of Illinois  
My Commission Expires April 6, 2001
January 26, 1999

Addendum to Economic Disclosure Statement & Affidavit

IV. Additional Information:

Has the undersigned or any member, partner, beneficiary or owner Of the undersigned: yes was answered to parts A. & C.

Explanation:

Over the course of 33 years in business Republic has been involved in a few lawsuits with vendors over problems with purchases of what we perceived were bad materials or some other issue. To my recollection none were in excess of $5000 and no civil suits with judgments remain open at this time.
CITY OF CHICAGO
Department of Planning and Development
PRINCIPAL PROFILE SHEET

Company: REPUBLIC WINDOWS & DOORS, INC.

Form must be filled out COMPLETELY for individuals and entities owning any interest in order for application to be processed.
For TRUSTS or other entities owning an interest in the borrower, please provide complete information on trustee and beneficiary on a separate sheet.

<table>
<thead>
<tr>
<th>Name</th>
<th>Telephone</th>
<th>Social Security Number</th>
<th>Date of Birth</th>
<th>Driver's License Number</th>
<th>License Plate Number</th>
<th>Percentage Owned</th>
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</thead>
<tbody>
<tr>
<td>RONALD SPIELMAN</td>
<td>(5)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>73%</td>
</tr>
<tr>
<td>RICH GILLMAN</td>
<td>(5)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>15%</td>
</tr>
<tr>
<td>MIRIAM SPIELMAN</td>
<td>(5)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12%</td>
</tr>
</tbody>
</table>

Duplicate Form if Necessary
(MUST BE TYPED)
PAGE
# Certificate of Current & Projected Employment Data for

## Republic Windows & Doors, Inc.

### City of Chicago

#### Department of Planning and Development

<table>
<thead>
<tr>
<th>Job Classification</th>
<th>Existing Employment</th>
<th>Year 1 * Number of Projected New Employees</th>
<th>Year 2 Number of Projected New Employees</th>
<th>Starting Wage</th>
<th>Wages After Fully Trained</th>
<th>Anticipated Training Provided (Describe Briefly)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>M=Male; F=Female</td>
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<tr>
<td>Officers and Managers</td>
<td>M=45 F=3</td>
<td></td>
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<td></td>
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<td>SEE EXHIBITS HRF AND HRG</td>
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<td>Professionals</td>
<td>M=22 F=8</td>
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<td>13-18</td>
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<td>Technicians</td>
<td>M=16 F=11</td>
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<td>19-24</td>
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<td>Sales Workers</td>
<td>M=14 F=0</td>
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<td>Office and Clerical</td>
<td>M=5 F=3</td>
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<tr>
<td>Crafts Persons (Skilled)</td>
<td>M=37 F=20</td>
<td></td>
<td></td>
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<tr>
<td>Operatives (Semi-skilled)</td>
<td>M=27 F=20</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Laborers (Unskilled)</td>
<td>M=5 F=4</td>
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<td></td>
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<td>Service Workers</td>
<td>M=6 F=5</td>
<td></td>
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</tr>
<tr>
<td>Other</td>
<td>M=3 F=3</td>
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<td></td>
</tr>
<tr>
<td>Total</td>
<td>M=456 F=348</td>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Subscribed and sworn to before me this 22nd Day of January 1999.

(Signature)

Notary

---

**Verification:**

Under penalty of perjury, I certify that I am the (Owner/President) of Republic Windows that I am authorized to execute this certificate, that I have personal knowledge of the employment data contained in this certificate and that the employment data is true.

(Signature)

Date 1/28/99

---

**Note:**

- **Official Seal**
  - Betty Rivera
  - Notary Public, State of Illinois
  - My Commission Expires April 9, 2001
Revised Exhibit HRF

<table>
<thead>
<tr>
<th></th>
<th>Starting Wages</th>
<th>Wages After Training</th>
</tr>
</thead>
<tbody>
<tr>
<td>Officers and Managers</td>
<td>$30 K Annual</td>
<td>$30 K Annual</td>
</tr>
<tr>
<td>Technicians</td>
<td>$20 K Annual</td>
<td>$20 K Annual</td>
</tr>
<tr>
<td>Sales</td>
<td>$40 K Annual</td>
<td>$40 K Annual plus incentive...</td>
</tr>
<tr>
<td>Office and Clerical</td>
<td>$8 to $10 per hr.</td>
<td>$8 to $15 per hr.</td>
</tr>
<tr>
<td>Craft</td>
<td>$12 to $14 per hr.</td>
<td>$12 to $14 per hr.</td>
</tr>
<tr>
<td>Operatives (Semi-skilled)</td>
<td>$5.50 to $6.00/hr.</td>
<td>$7 to $10 per hr.</td>
</tr>
</tbody>
</table>

1725 W. Diversey Pkwy., Chicago, IL 60614
Phone: (773)525-6000 Fax: (773)868-8625 or (773)868-8603
CERTIFICATE OF CURRENT & PROJECTED EMPLOYMENT DATA FOR

REPUBLIC WINDOWS & DOORS, INC.

YEAR 1 **SEE ORIGINAL CERTIFICATE SUBMITTED 8/5/96

STATE OF ILLINOIS

COUNTY OF COOK

CITY OF CHICAGO

DEPARTMENT OF PLANNING AND DEVELOPMENT

<table>
<thead>
<tr>
<th>JOB CLASSIFICATION</th>
<th>EXISTING EMPLOYMENT</th>
<th>YEAR 1 NUMBER OF PROJECTED NEW EMPLOYEES</th>
<th>YEAR 2 NUMBER OF PROJECTED NEW EMPLOYEES</th>
<th>STARTING WAGE</th>
<th>WAGES AFTER FULLY TRAINED</th>
<th>ANTICIPATED TRAINING PROVIDED (Describe Briefly)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>TOTAL M=Male F=Female</td>
<td>MONTHS 1-6</td>
<td>MONTHS 7-12</td>
<td>MONTHS 13-18</td>
<td>MONTHS 13-24</td>
<td></td>
</tr>
<tr>
<td>Officers and Managers</td>
<td>46 M=21 F=2</td>
<td>3</td>
<td>3</td>
<td></td>
<td></td>
<td>SEE EXHIBITS HRF AND HRG</td>
</tr>
<tr>
<td>Professionals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technicians</td>
<td>5 M=2</td>
<td>2</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sales Workers</td>
<td>11 M=0</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office and Clerical</td>
<td>24 M=8</td>
<td>2</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crafts Persons (Skilled)</td>
<td>21 M=9</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operatives (Semi-skilled)</td>
<td>335 M=325 F=64</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Laborers (Unskilled)</td>
<td>15 M=2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service Workers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>15 M=12</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>472 M=379 F=82</td>
<td>30</td>
<td>29</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Subscribed and sworn to before me this 21st Day of May, 1998.

(Seal) 

Notary

"OFFICIAL SEAL"

BETTY RIVERA
Notary Public, State of Illinois
My Commission Expires April 5, 2001

VERIFICATION:
Under penalty of perjury, I certify that I am RONALD SPIELMAN The (Owner/President) PRESIDENT of REPUBLIC WINDOWS, INC. that I am authorized to execute this certificate, that I have Personal knowledge of the employment data contained in this certificate and that the employment data is true.

Signature

Date 5/28/98
<table>
<thead>
<tr>
<th>JOB CLASSIFICATION</th>
<th>EXISTING EMPLOYMENT</th>
<th>YEAR 1</th>
<th></th>
<th>YEAR 2</th>
<th></th>
<th>STARTING WAGE</th>
<th>WAGES AFTER FULLY TRAINED</th>
<th>ANTIQUE TRAINING PROVIDED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M = Male</td>
<td>F = Female</td>
<td>MONTHS 1-8</td>
<td>MONTHS 9-12</td>
<td>MONTHS 14-18</td>
<td>MONTHS 19-24</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Officers and Managers</td>
<td>M 39</td>
<td>F 16</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td></td>
<td></td>
<td>See Exhibits HRF and HRG</td>
</tr>
<tr>
<td>Professionals</td>
<td>M 8</td>
<td>F 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technicians</td>
<td>M 5</td>
<td>F 3</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td>See Exhibits HRF and HRG</td>
</tr>
<tr>
<td>Sales Workers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office and Clerical</td>
<td>M 23</td>
<td>F 7</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td></td>
<td>See Exhibits HRF and HRG</td>
</tr>
<tr>
<td>Crafts Persons (Skilled)</td>
<td>M 10</td>
<td>F 8</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td></td>
<td>See Exhibits HRF and HRG</td>
</tr>
<tr>
<td>Operatives (Semi-skilled)</td>
<td>M 230</td>
<td>F 224</td>
<td>63</td>
<td>32</td>
<td>48</td>
<td>41</td>
<td></td>
<td>See Exhibits HRF and HRG</td>
</tr>
<tr>
<td>Laborers (Unskilled)</td>
<td>M 47</td>
<td>F 46</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service Workers</td>
<td>M</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>M</td>
<td>F</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>M 320</td>
<td>F 258</td>
<td>68</td>
<td>35</td>
<td>53</td>
<td>46</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

VERIFICATION:
Under penalty of perjury, I certify that I am President The (Owner/President) of Republic Aluminum, Inc., that I am authorized to execute this certificate, that I have personal knowledge of the employment data contained in this certificate and that the employment data is true.

Signature: [Signature]
Date: [Aug 5, 1976]

"OFFICIAL SEAL"
SAMUEL J. POLSKY
Public, State of Illinois
(Seal Expires June 9, 1977)