



Nassau County

Department of Public Works

B03-17**B-3-17****Staff Summary**

| |
|--|
| Subject: Bay Park STP Engine Generator Facility Auxiliary improvements S35121-16A |
| Department of Public Works |
| Commissioner Shila Shah Gavnaudias |
| Department Head Signature |
| Project Manager Name: Damon W. Urso Phone Number: 571-7508 |

| |
|---|
| Date: December 29, 2016 |
| Vendor Name: R.J. Industries, Inc. Address: 75 East Bethpage Rd, PO Box 349 Plainview NY 11803 |
| Contract Number S35121-16A |
| Personal Services _____ Blanket Res _____ Calendar _____ |
| Bid <input checked="" type="checkbox"/> Rules Comm. _____ |
| Contract Manager Name: John Doremus, Vice President Phone Number: (516) 845 9772 |

| Proposed Legislative Action | | | | | |
|-----------------------------|---------------|------|----------|------|-------|
| | To | Date | Approval | Info | Other |
| | Assgn Comm | | | | |
| | Rules Comm | | | | |
| | Full Leg | | | | |

| Internal Approvals | | | |
|--------------------|-------------|--------------|-----------------|
| Date & Init. | Approval | Date & Init. | Approval |
| SS 12/29/16 | Dept. Head | | Counsel to C.E. |
| MPV 1/27/17 | Budget | 2/1/17 MJS | County Atty. |
| | Deputy C.E. | | County Exec. |

Narrative

Purpose: This contract is to provide the necessary labor and materials associated with the installation of two (2) engine generator cooling loop systems, and Natural Gas and Engine Start-up Compressors at the Bay Park STP.

Discussion: The Bay Park STP currently operates two (2) primary source generators. However, for the plant to meet future peak power demands, the operation of three (3) generators will be necessary. Therefore in order to support simultaneous operation of three (3) generators, several auxiliary systems will need to be improved. Those improvements will require the addition of a third or standby primary engine cooling loop heat exchanger and a third primary turbocharger cooling loop heat exchanger (2 duty 1 standby), and new Natural Gas Compressors and After Coolers.

Impact on Funding: The contract provides for the expenditure of \$2,977,700. It is expected that the full cost of these services will be eligible for reimbursement by the Federal Emergency Management Agency (FEMA) under the Robert T. Stafford Disaster Relief and Emergency Assistance Act. Bids were opened on November 22, 2016 and R.J. Industries, Inc. was accepted as the lowest responsible bidder.

Recommendation: It is recommended that this contract be approved as submitted.

JLD:DWU:rp

10:11 AM 12/29/16

NASSAU COUNTY
CLERK



Nassau County Interim Finance Authority

Contract Approval Request Form (As of January 1, 2015)

1. Vendor: R.J. Industries, Inc.

2. Dollar amount requiring NIFA approval: \$ 2,977,700

Amount to be encumbered: \$ 2,977,700

This is a ☒ New Contract ☐ Advisement ☐ Amendment

If new contract - \$ amount should be full amount of contract

If advisement - NIFA only needs to review if it is increasing funds above the amount previously approved by NIFA

If amendment - \$ amount should be full amount of amendment only

3. Contract Term: 12 Months

Has work or services on this contract commenced? ☐ Yes ☒ No

If yes, please explain: _____

4. Funding Source:

☐ General Fund (GEN)
☐ Capital Improvement Fund (CAP)
☐ Other

☒ Grant Fund (GRT)

Federal % 100
State % _____
County % _____

*Doesn't
Require NIFA*

Is the cash available for the full amount of the contract? ☒ Yes ☐ No

If not, will it require a future borrowing? ☐ Yes ☐ No

Has the County Legislature approved the borrowing? ☐ Yes ☐ No ☒ N/A

Has NIFA approved the borrowing for this contract? ☐ Yes ☐ No ☒ N/A

5. Provide a brief description (4 to 5 sentences) of the item for which this approval is requested:

The Bay Park STP currently operates two (2) primary source generators. However, for the plant to meet future peak power demands, the operation of three (3) generators will become critical. Therefore in order to support simultaneous operation of three (3) generators, several auxiliary systems will need to be improved. Those improvements will require the addition of a third or standby primary engine cooling loop heat exchanger and a third primary turbocharger cooling loop heat exchanger (2 duty 1 standby), and new Natural Gas Compressors and After Coolers.

6. Has the item requested herein followed all proper procedures and thereby approved by the:

Nassau County Attorney as to form ☐ Yes ☐ No ☐ N/A
Nassau County Committee and/or Legislature ☐ Yes ☐ No ☐ N/A

Date of approval(s) and citation to the resolution where approval for this item was provided:

7. Identify all contracts (with dollar amounts) with this or an affiliated party within the prior 12 months:

Exceeds \$50K

AUTHORIZATION

To the best of my knowledge, I hereby certify that the information contained in this Contract Approval Request Form and any additional information submitted in connection with this request is true and accurate and that all expenditures that will be made in reliance on this authorization are in conformance with the Nassau County Approved Budget and not in conflict with the Nassau County Multi-Year Financial Plan. I understand that NIFA will rely upon this information in its official deliberations.

Roseann Baller 1/31/17
Signature Title Date

Print Name

COMPTROLLER'S OFFICE

To the best of my knowledge, I hereby certify that the information listed is true and accurate and is in conformance with the Nassau County Approved Budget and not in conflict with the Nassau County Multi-Year Financial Plan.

Regarding funding, please check the correct response:

_____ I certify that the funds are available to be encumbered pending NIFA approval of this contract.

If this is a capital project:

_____ I certify that the bonding for this contract has been approved by NIFA.

_____ Budget is available and funds have been encumbered but the project requires NIFA bonding authorization

Signature Title Date

Print Name

NIFA

Amount being approved by NIFA: _____

Signature Title Date

Print Name

NOTE: All contract submissions MUST include the County's own routing slip, current NIFS printouts for all relevant accounts and relevant Nassau County Legislature communication documents and relevant supplemental information pertaining to the item requested herein.

NIFA Contract Approval Request Form MUST be filled out in its entirety before being submitted to NIFA for review.

NIFA reserves the right to request additional information as needed.

B03-17

RULES RESOLUTION NO. -2017

A RESOLUTION AUTHORIZING THE COUNTY EXECUTIVE TO AWARD AND EXECUTE A CONTRACT BETWEEN THE COUNTY OF NASSAU ACTING ON BEHALF OF THE NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS AND R.J. INDUSTRIES, INC.

WHEREAS, in accordance with all Federal, State and Local Law, the County of Nassau on behalf of the NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS ["Department"] has received competitive bids for contract S35121-16A, BAY PARK SEWAGE TREATMENT PLANT ENGINE GENERATOR FACILITY AUXILIARY IMPROVEMENTS ["Contract"], as more particularly described in the contract documents, a copy of which are on file with the Clerk of the Legislature; and

WHEREAS, the firm of R.J. INDUSTRIES, INC.

["Vendor"] has submitted the lowest responsible bid for the work described in the contract in accordance with all Federal, State and Local Law as determined by the Department, and

WHEREAS, the funding for this contract is from capital funds approved by the Nassau County Legislature and included in the current four year capital plan, and

WHEREAS, the Commissioner of the Department is representing that the total contract is estimated to be \$ 2,977,700 now therefore be it

RESOLVED, that the Rules Committee of the Nassau County Legislature, based on the representations of the Department and the recommendation of the Commissioner of the Department, authorizes the County Executive to award and execute the said contract with the vendor.



OFFICE OF THE COMPTROLLER

240 Old Country Road
Mineola, New York 11501

**COMPTROLLER APPROVAL FORM FOR PERSONAL,
PROFESSIONAL OR HUMAN SERVICES CONTRACTS**

Attach this form along with all personal, professional or human services contracts, contract renewals, extensions and amendments.

CONTRACTOR NAME: R.J. Industries, Inc.

CONTRACTOR ADDRESS: 75 East Bethpage Rd, PO Box 349, Plainview NY 11803

FEDERAL TAX ID #: 11-3401288

Instructions: Please check the appropriate box ("☑") after one of the following roman numerals, and provide all the requested information.

I. ☒ The contract was awarded to the lowest, responsible bidder after advertisement for sealed bids. The contract was awarded after a request for sealed bids was published in Newsday on October 19, 2016. The sealed bids were publicly opened on November 22, 2016. Three (3) sealed bids were received and opened.

II. ☐ The contractor was selected pursuant to a Request for Proposals.

The Contract was entered into after a written request for proposals was issued on _____ [date]. Potential proposers were made aware of the availability of the RFP by advertisement in _____ [newspaper], posting on industry websites, via email to interested parties and by publication on the County procurement website. Proposals were due on _____ [date]. _____ [state #] proposals were received and evaluated. The evaluation committee consisted of:

_____ (list # of persons on committee and their respective departments). The proposals were scored and ranked. As a result of the scoring and ranking, the highest-ranking proposer was selected.

III. ☐ This is a renewal, extension or amendment of an existing contract.

The contract was originally executed by Nassau County on _____ [date]. This is a renewal or extension pursuant to the contract, or an amendment within the scope of the contract or RFP (copies of the relevant pages are attached). The original contract was entered into after _____

_____[describe procurement method, i.e., RFP, three proposals evaluated, etc.] Attach a copy of the most recent evaluation of the contractor's performance for any contract to be renewed or extended. If the contractor has not received a satisfactory evaluation, the department must explain why the contractor should nevertheless be permitted to continue to contract with the county.

IV. ☐ Pursuant to Executive Order No. 1 of 1993, as amended, at least three proposals were solicited and received. The attached memorandum from the department head describes the proposals received, along with the cost of each proposal.

- ☐ A. The contract has been awarded to the proposer offering the lowest cost proposal; **OR:**
- ☐ B. The attached memorandum contains a detailed explanation as to the reason(s) why the contract was awarded to other than the lowest-cost proposer. The attachment includes a specific delineation of the unique skills and experience, the specific reasons why a proposal is deemed superior, and/or why the proposer has been judged to be able to perform more quickly than other proposers.

V. ☐ Pursuant to Executive Order No. 1 of 1993 as amended, the attached memorandum from the department head explains why the department did not obtain at least three proposals.

- ☐ A. There are only one or two providers of the services sought or less than three providers' submitted proposals. The memorandum describes how the contractor was determined to be the sole source provider of the personal service needed or explains why only two proposals could be obtained. If two proposals were obtained, the memorandum explains that the contract was awarded to the lowest cost proposer, or why the selected proposer offered the higher quality proposal, the proposer's unique and special experience, skill, or expertise, or its availability to perform in the most immediate and timely manner.
- ☐ B. The memorandum explains that the contractor's selection was dictated by the terms of a federal or New York State grant, by legislation or by a court order. (Copies of the relevant documents are attached).
- ☐ C. Pursuant to General Municipal Law Section 104, the department is purchasing the services required through a New York State Office of General Services contract no. _____, and the attached memorandum explains how the purchase is within the scope of the terms of that contract.
- ☐ D. Pursuant to General Municipal Law Section 119-o, the department is purchasing the services required through an inter-municipal agreement.

VI. ☐ This is a human services contract with a not-for-profit agency for which a competitive process has not been initiated. Attached is a memorandum that explains the reasons for entering into this contract without conducting a competitive process, and details when the department intends to initiate a competitive process for the future award of these services. For any such contract, where the vendor has previously provided services to the county, attach a copy of the most recent evaluation of the vendor's performance. If the contractor has not received a satisfactory evaluation, the department must explain why the contractor should nevertheless be permitted to contract with the county.

In certain limited circumstances, conducting a competitive process and/or completing performance evaluations may not be possible because of the nature of the human services program, or because of a compelling need to continue services through the same provider. In those circumstances, attach an explanation of why a competitive process and/or performance evaluation is inapplicable.

VII. ☐ This is a public works contract for the provision of architectural, engineering or surveying services. The attached memorandum provides details of the department's compliance with Board of Supervisors' Resolution No. 928 of 1993, including its receipt and evaluation of annual Statements of Qualifications & Performance Data, and its negotiations with the most highly qualified firms.

Instructions with respect to Sections VIII, IX and X: All Departments must check the box for VIII. Then, check the box for either IX or X, as applicable.

VIII. ☒ Participation of Minority Group Members and Women in Nassau County Contracts. The selected contractor has agreed that it has an obligation to utilize best efforts to hire MWBE sub-contractors. Proof of the contractual utilization of best efforts as outlined in Exhibit "EE" may be requested at any time, from time to time, by the Comptroller's Office prior to the approval of claim vouchers.


IX. ☒ Department MWBE responsibilities. To ensure compliance with MWBE requirements as outlined in Exhibit "EE", Department will require vendor to submit list of sub-contractor requirements prior to submission of the first claim voucher, for services under this contract being submitted to the Comptroller.

X. ☐ Vendor will not require any sub-contractors.

In addition, if this is a contract with an individual or with an entity that has only one or two employees: ☐ a review of the criteria set forth by the Internal Revenue Service, *Revenue Ruling No. 87-41, 1987-1 C.B. 296*, attached as Appendix A to the Comptroller's Memorandum, dated February 13, 2004, concerning independent contractors and employees indicates that the contractor would not be considered an employee for federal tax purposes.



Department Head Signature



Date

NOTE: Any information requested above, or in the exhibit below, may be included in the county's "staff summary" form in lieu of a separate memorandum.

Compt. form Pers./Prof. Services Contracts: Rev. 03/16



COUNTY OF NASSAU

POLITICAL CAMPAIGN CONTRIBUTION DISCLOSURE FORM

1. Has the vendor or any corporate officers of the vendor provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

Friends of Ed Mangano; \$5,000; Check No. 20300, dated September 29, 2016

Hicksville Republican Committee; \$1,700; Check 20194, dated September 8, 2016

2. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees identified above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Vendor: R.J. Industries, Inc.

Dated: 11/22/2016

Signed:

Print Name: John C. Doremus

Title: Vice President



COUNTY OF NASSAU

LOBBYIST REGISTRATION AND DISCLOSURE FORM

1. Name, address and telephone number of lobbyist(s)/lobbying organization. The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

We have never hired a lobbying firm.

2. List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

None

3. Name, address and telephone number of client(s) by whom, or on whose behalf, the lobbyist is retained, employed or designated:

None

4. Describe lobbying activity conducted, or to be conducted, in Nassau County, and identify client(s) for each activity listed. See page 4 for a complete description of lobbying activities.

None

5. The name of persons, organizations or governmental entities before whom the lobbyist expects to lobby:

None

6. If such lobbyist is retained or employed pursuant to a written agreement of retainer or employment, you must attach a copy of such document; and if agreement of retainer or employment is oral, attach a written statement of the substance thereof. If the written agreement of retainer or employment does not contain a signed authorization from the client by whom you have been authorized to lobby, separately attach such a written authorization from the client.

7. Has the lobbyist/lobbying organization or any of its corporate officers provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

None

I understand that copies of this form will be sent to the Nassau County Department of Information Technology ("IT") to be posted on the County's website.

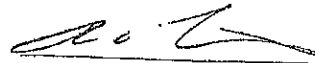
I also understand that upon termination of retainer, employment or designation I must give written notice to the County Attorney within thirty (30) days of termination.

VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees listed above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Dated: November 22, 2016

Signed:



Print Name:

Richard O. Felcetta

Title:

President

PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name John C. Doremus
Date of birth 5 / 24 / 1966
Home address [REDACTED]
City/state/zip [REDACTED]
Business address 75 East Bethpage Road; PO Box 349
City/state/zip Plainville, NY 11803
Telephone 516-345-9772, ext 131
Other present address(es) _____
City/state/zip _____
Telephone [REDACTED]
List of other addresses and telephone numbers attached _____
2. Positions held in submitting business and starting date of each (check all applicable)
President / / Treasurer / /
Chairman of Board / / Shareholder / /
Chief Exec. Officer / / Secretary / /
Chief Financial Officer / / Partner / /
Vice President 9/2/1997 to Present 1
(Other) _____
3. Do you have an equity interest in the business submitting the questionnaire?
YES x NO If Yes, provide details. 45 shares (45% interest) R.J. Industries, Inc. Stock
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES x NO If Yes, provide details.
Personally indemnify R.J. Industries's credit facilities at Signature Bank and Liberty Mutual (surety)
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO ;
If Yes, provide details.
Vice President of RJI Mechanical, Inc. (affiliate of RJ Industries, Inc.) & officer (Treasurer) of James McCullagh Co., Inc. (overseeing the wind down and liquidation of company).

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES ☒ NO ☐
If Yes, provide details. See Attached schedule of projects.

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency? YES ☐ NO ☒ If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES ☐ NO ☒ If Yes, provide details for each such instance.
 - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES ☐ NO ☒ If Yes, provide details for each such instance.
 - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES ☐ NO ☒ If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
 - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES ☐ NO ☒ If Yes, provide details for each such conviction.

- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES ☐ NO ☒ If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ☐ NO ☒ If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES ☐ NO ☒ If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES ☐ NO ☒ If Yes, provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES ☐ NO ☒ If Yes, provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES ☐ NO ☒ If Yes, provide details for each such year.

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, John C. Doremus, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 22nd day of November 2016



Notary Public


EVELYN DELLA RATT
Notary Public, State of New York
01DE4854133
Qualified in Nassau County 18
Commission Expires May 27, 2018

R.J. Industries, Inc.

Name of submitting business

John C. Doremus

Print name



Signature

Vice President

Title

11 / 22 / 2016

Date

R.J. Industries, Inc.

Prime Contracts In Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|--|-----------------------------|---|-------------------------------------|--|-----------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-16TR) | Nassau County DPW | Damon Urso, PE 516-571-7508 | \$1,247,200 | June-17 | 1% |
| Car Washer Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bronx) Contract No C-34913 | MTA - New York City Transit | Dimitrios Milonas 646-252-4127 | \$10,733,360 | December-16 | 55% |
| Pump Station Repair & Mitigation (Various Loc's) Wantagh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-571-7359 | \$7,647,700 | June-17 | 7% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$5,947,700 | September-17 | 0% |
| <u>BSRJ A JV</u> Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$28,674,700 | January-17 | 98% |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 25% |
| <u>RJ / Scalimandre Joint Venture</u> Bay Park Sewage Treatment Plant Grit Removal Facility Improvements Contract No. S38120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

as of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S3B119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2016 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot; Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3464 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 631-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7515 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Reclamation District | Cameron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-756-8000 | \$4,872,523 | 2013 |

As of September 30, 2016.

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> Plumbing) | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$814,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvirka Bartiluoci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Well Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading Rive CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Behrendt Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Steven Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const. | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,647,700 | 2011 |
| Manhasset Lakeville Water District IU Willets Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District IU Willets Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$548,440 | 2011 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|------------------------|--|------------------------|-----------------------|
| Jericho Water District Well No. 5 - GC & Mechanical Work | Jericho Water District | Joe Todaro Sidney Bowne 516-746-2350 | \$774,880 | 2011 |
| Cedar Creek WPCP Install New Gravity Belt Thickener | Nassau County DPW | Hazen and Sawyer Mike De Nicola 212-539-7038 | \$14,424,400 | 2010 |
| SUNY - Stony Brook Sewer Dist No. 21 Standby Effluent Pump Station | Suffolk County, DPW | Suffolk County - DPW John Donovan | \$622,980 | 2010 |
| SUNY - Stony Brook East Campus Cooling Tower Replacement | SUNY - Stony Brook | Kevin Rooney 631-632-6222 | \$10,389,900 | 2010 |
| Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist. | Ben Bletsch H2M Group 631-756-8000 | \$929,800 | 2010 |

As of September 30, 2016

PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name Richard O. Felicetta
Date of birth 12 / 7 /1960
Home address [REDACTED]
City/state/zip [REDACTED]
Business address 75 East Bethpage Road; PO Box 349
City/state/zip Plainview, NY 11803
Telephone 516-845-9772, ext 130
Other present address(es) _____
City/state/zip _____
Telephone [REDACTED]
List of other addresses and telephone numbers attached _____
2. Positions held in submitting business and starting date of each (check all applicable)
President 9/2/97 Treasurer _____
Chairman of Board _____ Shareholder _____
Chief Exec. Officer _____ Secretary _____
Chief Financial Officer _____ Partner _____
Vice President _____
(Other) _____
3. Do you have an equity interest in the business submitting the questionnaire?
YES x NO _____ If Yes, provide details. 45 shares (45% interest) R.J. Industries, Inc. Stock
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES x NO _____ If Yes, provide details.
Personally Indemnify R.J. Industries' credit facilities with Signature Bank and Liberty Mutual (Surety)
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO _____
If Yes, provide details.
Vice President of RJI Mechanical, Inc. (affiliate of RJ Industries, Inc.)

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES x NO
If Yes, provide details. see attached schedule of projects

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency?
YES NO x If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES NO x If Yes, provide details for each such instance.
 - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES NO x If Yes, provide details for each such instance.
 - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES NO x If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If "Yes", provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES NO x If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES NO x If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES NO x If Yes, provide details for each such charge.
 - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES NO x If Yes, provide details for each such conviction.

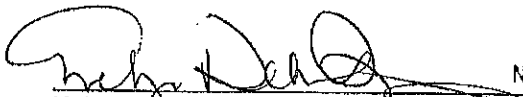
- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES ☐ NO ☒ If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ☐ NO ☒ If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES ☐ NO ☒ If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES ☐ NO ☒ If Yes, provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES ☐ NO ☒ If Yes, provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES ☐ NO ☒ If Yes, provide details for each such year.

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, Richard O. Felicetta, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 22 day of November 2016


Notary Public

EVELYN DELLA RATTA
Notary Public, State of New York
01DE4854133
Qualified in Nassau County
Commission Expires May 27, 2018

R.J. Industries, Inc.
Name of submitting business

Richard O. Felicetta
Print name


Signature

President
Title

11 / 22 / 16
Date

R.J. Industries, Inc.

Prime Contracts In Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|--|-----------------------------|--|-------------------------------------|--|-----------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-161TR) | Nassau County DPW | Damon Ursq, PE 516-571-7508 | \$1,247,200 | June-17 | 1% |
| Car Washier Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bronx) Contract No C-34813 | MTA - New York City Transit | Demitrios Milonas 646-252-4127 | \$10,733,360 | December-16 | 55% |
| Pump Station Repair & Mitigation (Various Loc's) Warraggh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-671-7359 | \$7,647,700 | June-17 | 7% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$5,947,700 | September-17 | 0% |
| <u>BSRJ A/T/V</u> | | | | | |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazensandsawyer.com 516-881-7843 | \$28,674,700 | January-17 | 98% |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazensandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 25% |
| <u>RJ / Scalimandre, Joint Venture</u> | | | | | |
| Bay Park Sewage Treatment Plant Grt Removal Facility Improvements Contract No. S3B120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazensandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S3B119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2016 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3464 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 631-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7515 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Recreation District | Carneron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-756-8000 | \$4,872,523 | 2013 |

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> Plumbing) | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$814,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvika Bartilucci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Well Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading River CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Behrendt Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Steven Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const. | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,647,700 | 2011 |
| Manhasset Lakeville Water District IU Willets Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bliesch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District IU Willets Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bliesch H2M Group 631-756-8000 | \$548,440 | 2011 |

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|------------------------|--|------------------------|-----------------------|
| Jericho Water District Well No. 5 - GC & Mechanical Work | Jericho Water District | Joe Todaro Sidney Bowme 516-748-2350 | \$774,880 | 2011 |
| Cedar Creek WPCP Install New Gravity Belt Thickner | Nassau County DPW | Hazen and Sawyer Mike De Nicola 212-539-7038 | \$14,424,400 | 2010 |
| SUNY - Stony Brook, Sewer Dist No. 21 Standby Effluent Pump Station | Suffolk County, DPW | Suffolk County - DPW John Donovan | \$622,980 | 2010 |
| SUNY - Stony Brook East Campus Cooling Tower Replacement | SUNY - Stony Brook | Kevin Rooney 631-632-6222 | \$10,389,900 | 2010 |
| Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist. | Ben Bleisch H2M Group 631-756-8000 | \$929,800 | 2010 |

PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name John E. Kozlarz
Date of birth 05 / 05 / 1955
Home address 10000 10th Ave
City/state/zip Plainview, NY 11803
Business address 75 East Bethpage Road; PO Box 349
City/state/zip Plainview, NY 11803
Telephone 516-845-9772
Other present address(es) _____
City/state/zip _____
Telephone _____
List of other addresses and telephone numbers attached _____
2. Positions held in submitting business and starting date of each (check all applicable)
President _____/_____/_____ Treasurer _____/_____/_____
Chairman of Board _____/_____/_____ Shareholder 1 / 1 / 2008
Chief Exec. Officer _____/_____/_____ Secretary _____/_____/_____
Chief Financial Officer _____/_____/_____ Partner _____/_____/_____
Vice President 1 / 1 / 2008 to present _____/_____/_____
(Other) _____
3. Do you have an equity interest in the business submitting the questionnaire?
YES x NO _____ If Yes, provide details. stockholder (5% interest in R.J. Industries, Inc.)
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES _____ NO x If Yes, provide details.
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO _____; If Yes, provide details. Principal owner (51% stake) of RJI Mechanical, Inc., an affiliate of RJ Industries, Inc.

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES x NO

If Yes, provide details. See Attached schedule of projects

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency?
YES NO x If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES NO x If Yes, provide details for each such instance.
 - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES NO x If Yes, provide details for each such instance.
 - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES NO x If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES NO x If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES NO x If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES NO x If Yes, provide details for each such charge.
 - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES NO x If Yes, provide details for each such conviction.

e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES ____ NO x If Yes, provide details for each such conviction.

f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ____ NO x If Yes, provide details for each such occurrence.

9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES ____ NO x If Yes, provide details for each such investigation.

10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES ____ NO x If Yes; provide details for each such investigation.

11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES ____ NO x If Yes; provide details for each such instance.

12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES ____ NO x If Yes, provide details for each such year.

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, John E. Kozlars, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 20 day of January 2017



Notary Public

EVELYN DELLA RATTI
Notary Public, State of New York
01DE4854133
Qualified in Nassau County
Commission Expires May 27, 2018

R.J. Industries, Inc.

Name of submitting business

John E. Kozlars

Print name



Signature

Vice President

Title

1 / 20 / 2017

Date

PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name William J. Doremus
Date of birth 04 / 04 / 1994
Home address [REDACTED]
City/state/zip [REDACTED]
Business address 75 East Bethpage Road; PO Box 349
City/state/zip Plainville, NY 11803
Telephone 516-845-9772
Other present address(es) _____
City/state/zip _____
Telephone _____
List of other addresses and telephone numbers attached _____

2. Positions held in submitting business and starting date of each (check all applicable)
President / / Treasurer 1 / 1 / 2008
Chairman of Board / / Shareholder 1 / 1 / 2008
Chief Exec. Officer / / Secretary 1 / 1 / 2008
Chief Financial Officer / / Partner / /
Vice President / / _____
(Other) _____
3. Do you have an equity interest in the business submitting the questionnaire?
YES x NO If Yes, provide details. stockholder (5% interest in R.J. Industries, Inc.)
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES NO x If Yes, provide details.
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO ;
If Yes, provide details. RJI Mechanical, Inc., an affiliate of RJ Industries, Inc.

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES x NO

If Yes, provide details. See Attached schedule of projects

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency. Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency? YES NO x If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES NO x If Yes, provide details for each such instance.
 - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES NO x If Yes, provide details for each such instance.
 - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES NO x If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES NO x If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES NO x If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES NO x If Yes, provide details for each such charge.
 - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES NO x If Yes, provide details for each such conviction.

e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES ____ NO x If Yes, provide details for each such conviction.

f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ____ NO x If Yes, provide details for each such occurrence.

9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES ____ NO x If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES ____ NO x If Yes; provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES ____ NO x If Yes; provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES ____ NO x If Yes, provide details for each such year.

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, William J. Doremus, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 20th day of January 2017



Notary Public

EVELYN DELLA RATT
Notary Public, State of New York
010E4854133
Qualified in Nassau County
Commission Expires May 27, 2018

R.J. Industries, Inc.

Name of submitting business

William J. Doremus

Print name



Signature

Secretary - Treasurer

Title

1 / 20 / 2017

Date

Business History Form

The contract shall be awarded to the responsible proposer who, at the discretion of the County, taking into consideration the reliability of the proposer and the capacity of the proposer to perform the services required by the County, offers the best value to the County and who will best promote the public interest.

In addition to the submission of proposals, each proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the Proposal.

NOTE: All questions require a response, even if response is "none" or "not-applicable." No blanks.

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: Nov. 22, 2016

- 1) Proposer's Legal Name: R.J. Industries, Inc.
- 2) Address of Place of Business: 75 East Bethpage Road; Plainview, NY 11803

List all other business addresses used within last five years:

- 3) Mailing Address (if different): PO Box 349; Plainview, NY 11803

Phone : 516-845-9772

Does the business own or rent its facilities? own

- 4) Dun and Bradstreet number: _____

- 5) Federal I.D. Number: 11-3401288

- 6) The proposer is a (check one): _____ Sole Proprietorship _____ Partnership _____
Corporation _____ Other (Describe) Subchapter s-corp

- 7) Does this business share office space, staff, or equipment expenses with any other business?

Yes x No _____ If Yes, please provide details: BSRJ A TV, RJ/Scalamandre, JV

- 8) Does this business control one or more other businesses? Yes _____ No _____ If Yes, please provide details: RJ East Bethpage Road, LLC (operates the main office building in Plainview, NY)

- 9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business? Yes x No ____ If Yes, provide details. R.J.I. Mechanical, Inc.
-
- 10) Has the proposer ever had a bond or surety cancelled or forfeited, or a contract with Nassau County or any other government entity terminated? Yes ____ No x If Yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture; or details regarding the termination (if a contract). _____
-
- 11) Has the proposer, during the past seven years, been declared bankrupt? Yes ____ No x If Yes, state date, court jurisdiction, amount of liabilities and amount of assets _____
-
- 12) In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency? And/or, in the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business.
Yes ____ No x If Yes, provide details for each such investigation. _____
-
- 13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business. Yes ____ No x If Yes, provide details for each such investigation. _____
-
- 14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:
- a) Any felony charge pending? Yes ____ No x If Yes, provide details for each such charge. _____
-
- b) Any misdemeanor charge pending? Yes ____ No x If Yes, provide details for each such charge. _____
-
- c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? Yes ____ No x

----- If Yes, provide details for each such conviction -----

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor?
Yes ____ No x If Yes, provide details for each such conviction. -----

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions? Yes ____ No x If Yes, provide details for each such occurrence. -----

15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? Yes ____ No x If Yes, provide details for each such instance. -----

16) For the past (5) tax years, has this business failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? Yes ____ No x If Yes, provide details for each such year. Provide a detailed response to all questions checked 'YES'. If you need more space, photocopy the appropriate page and attach it to the questionnaire. -----

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

17) Conflict of Interest:

a) Please disclose any conflicts of interest as outlined below. **NOTE: If no conflicts exist, please expressly state "No conflict exists."**

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No conflict exists

(ii) Any family relationship that any employee of your firm has with any County public servant that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County. On the previous disclosure form we noted that one of our employees is related to an employee of Hazen and Sawyer which is employed by Nassau County. Nassau County has since awarded contracts to us.

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No conflict exists

b) Please describe any procedures your firm has, or would adopt, to assure the County that a conflict of interest would not exist for your firm in the future. We would be pleased to assist Nassau County in its efforts to eliminate conflicts of interest. Should we learn of any potential conflicts, we intend to notify the County for its determination on what is appropriate.

- A. Include a resume or detailed description of the Proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

Should the proposer be other than an individual, the Proposal **MUST** include:

- i) Date of formation; 9/2/1997
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner; see attached
- iii) Name, address and position of all officers and directors of the company; see attached
- iv) State of incorporation (if applicable); NY
- v) The number of employees in the firm; 25 non-union / union staff varies (usually between 25 & 35)
- vi) Annual revenue of firm; \$30 million
- vii) Summary of relevant accomplishments see attached list of projects
- viii) Copies of all state and local licenses and permits. None

- B. Indicate number of years in business. 19 years

- C. Provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.

- D. Provide names and addresses for no fewer than three references for whom the Proposer has provided similar services or who are qualified to evaluate the Proposer's capability to perform this work.

Company see attached list of projects

Contact Person

Address

City/State

Telephone

Fax #

E-Mail Address

~~Proposer's Certificate of Incorporation or Partnership Agreement, if applicable, must be submitted with the proposal.~~

Company _____

Contact Person _____

Address _____

City/State _____

Telephone _____

Fax # _____

E-Mail Address _____

Company _____

Contact Person _____

Address _____

City/State _____

Telephone _____

Fax # _____

E-Mail Address _____

R.J. Industries, Inc.

Prime Contracts In Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|---|-----------------------------|---|---------------------------------|------------------------------------|-------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-16TR) | Nassau County DPW | Damon Urso, PE 516-571-7508 | \$1,247,200 | June-17 | 1% |
| Car Washer Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bronx) Contract No. C-34913 | MTA - New York City Transit | Dimitrios Milonas 646-252-4127 | \$10,733,360 | December-16 | 55% |
| Pump Station Repair & Mitigation (Various Loc's) Wantagh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-571-7359 | \$7,647,700 | June-17 | 7% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$6,947,700 | September-17 | 0% |
| <u>BSRJA JV</u> Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$28,674,700 | January-17 | 98% |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 25% |
| <u>RJ/Scalamandre Joint Venture</u> Bay Park Sewage Treatment Plant Grit Removal Facility Improvements Contract No. S3B120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

as of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S3B119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2016 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot; Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3484 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 631-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7515 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Reclamation District | Cameron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-758-8000 | \$4,872,523 | 2013 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> Plumbing) | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$814,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvirka Bartilucci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Wall Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading River CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Behrendt Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Steven Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,647,700 | 2011 |
| Manhasset Lakeville Water District IU Willels Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District IU Willels Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$548,440 | 2011 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|------------------------|--|------------------------|-----------------------|
| Jericho Water District Well No. 5 - GC & Mechanical Work | Jericho Water District | Joe Todaro Sidney Bowne 516-746-2350 | \$774,880 | 2011 |
| Cedar Creek WPCP Install New Gravity Belt Thickner | Nassau County DPW | Hazen and Sawyer Mike De Nicola 212-539-7038 | \$14,424,400 | 2010 |
| SUNY - Stony Brook, Sewer Dist No. 21 Standby Effluent Pump Station | Suffolk County, DPW | Suffolk County - DPW John Donovan | \$622,980 | 2010 |
| SUNY - Stony Brook East Campus Cooling Tower Replacement | SUNY - Stony Brook | Kevin Rooney 631-632-6222 | \$10,389,900 | 2010 |
| Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist. | Ben Bletsch H2M Group 631-758-8000 | \$929,800 | 2010 |

As of September 30, 2016

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, Richard O. Felicetta, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 22nd day of November 2016

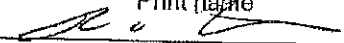

Notary Public

EVELYN DELLA RATTA
Notary Public, State of New York
01DE4854133
Qualified in Nassau County
Commission Expires May 27, 2018

Name of submitting business: R. J. Industries, Inc.

By: Richard O. Felicetta

Richard O. Felicetta
Print name


Signature

President
Title

11 / 22 / 16
Date

COUNTY OF NASSAU

CONSULTANT'S, CONTRACTOR'S AND VENDOR'S DISCLOSURE FORM

1. Name of the Entity: R.J. Industries, Inc.

Address: 75 East Bethpage Road; PO Box 349

City, State and Zip Code: Plainview, NY 11803

2. Entity's Vendor Identification Number: 11-3401288

3. Type of Business: ☐ Public Corp ☐ Partnership ☐ Joint Venture
☐ Ltd. Liability Co ☐ Closely Held Corp ☐ Sub S-Corp ☐ Other (specify)

4. List names and addresses of all principals; that is, all individuals serving on the Board of Directors or comparable body, all partners and limited partners, all corporate officers, all parties of Joint Ventures, and all members and officers of limited liability companies (attach additional sheets if necessary):

Richard O. Felicetta, President; [REDACTED]

John C. Doremus, Vice President; [REDACTED]

John E. Koziarz, Vice President; [REDACTED]

William J. Doremus, Secretary-Treasurer; [REDACTED]

5. List names and addresses of all shareholders, member shareholder is not an individual, list the individual shareholder Corporation, include a copy of the 10K in lieu of

Bay Park

Engine Gener. Publicly
File.

see response to question #4

6. List all affiliated and related companies and their relationship to the firm entered on line 1. above (If none, enter "None"). Attach a separate disclosure form for each affiliated or subsidiary company that may take part in the performance of this contract. Such disclosure shall be updated to include affiliated or subsidiary companies not previously disclosed that participate in the performance of the contract.

RJI Mechanical, Inc.; 18-15 129th Street; College Point, NY 11356; an affiliate of RJ Industries, Inc.

BSRJ A TV; 75 East Bethpage Road; Plainview, NY 11803; a joint venture of Bana Electric, Corp., Peter Scalamandre and Sons, Corp and RJ Industries, Inc.

RJ/Scalamandre, JV; 75 East Bethpage Road; Plainview, NY 11803; a joint venture of Peter Scalamandre and Sons, Corp. and RJ Industries, Inc.

None of the above firms are scheduled to work on this contract (S35121-16A)

7. List all lobbyists whose services were utilized at any stage in this matter (i.e., pre-bid, bid, post-bid, etc.). If none, enter "None." The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

(a) Name, title, business address and telephone number of lobbyist(s):

none

Page 3 of 4

(b) Describe lobbying activity of each lobbyist. See below for a complete description of lobbying activities.

none

(c) List whether and where the person/organization is registered as a lobbyist (c.g., Nassau County, New York State):

None

8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Dated: Nov. 22, 2016

Signed: 

Print Name: Richard O. Felicetta

Title: President

Page 4 of 4

The term lobbying shall mean any attempt to influence: any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including but not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

COUNTY OF NASSAU
Inter-Departmental Memo

TO: Office of the County Executive
Att: Richard R. Walker, Chief Deputy County Executive

FROM: Department of Public Works

DATE: January 30, 2017

SUBJECT: RECOMMENDATION OF AWARD

Contract No: S35121-16A

**Title: CONTRACT S35121-16A – BAY PARK SEWAGE TREATMENT PLANT
ENGINE GENERATOR FACILITY AUXILIARY IMPROVEMENTS**

Bids received on: November 22, 2016

I have examined the bids submitted for the contract mentioned above. Finding them to be in order, I recommend this contract be awarded to **R.J. Industries, Inc.**, as the lowest responsible bidder with a total bid amount of **\$2,977,700.00**. In order to facilitate processing of the above referenced contract, I request that the attached "Request to Initiate" form be approved.

Shila Shah-Gavnoudias
Commissioner

SSG:KGA:jh



REQUEST TO INITIATE

RTI Number 16-0220**REQUEST FOR QUALIFICATIONS/REQUEST FOR PROPOSAL/REQUEST FOR BID CONTRACT**PART I: Approval by the Deputy County Executive for Operations must be obtained prior to ANY RFQ/RFP/RFBC
☐ RFQ ☐ RFP ☒ RFBC ☐ In-House or Requirements Work Order
Project Title: Bay Park STP Engine Generator Facility Auxiliary Improvements (S35121-16A)Department: Public WorksProject Manager: Damon W. UrsoDate: May 25, 2016Service Requested: General Contract for Construction

Justification: The Bay Park STP currently operates two (2) primary source generators. However, for the plant to meet future peak power demands until utility power becomes available through a contract with PSEG, the operation of three (3) generators will become critical. Therefore in order to support simultaneous operation of three (3) generators, several auxiliary systems will need to be improved. Those improvements will require the addition of a third or standby primary engine cooling loop heat exchanger and a third primary turbocharger cooling loop heat exchanger (2 duty 1 standby), new Natural Gas Compressors & After Coolers.

Requested by: Public Works – Water/Wastewater Engineering Unit
Project Cost for this Phase/Contract: (Plan/Design/Construction/CM/Equipment): \$2,620,000.00
 Circle appropriate phase

Total Project Cost: \$4,750,000.00
 Includes, design, construction and CM

Date Start Work: October 1, 2016
 Phase being requested

Duration: Twelve (12) months
 Phase being requested
Capital Funding Approval: YES ☒ NO ☐

SIGNATURE

DATE

Funding Allocation (Capital Project):See Attached Sheet if multiyear ☐NIFS Entered:

SIGNATURE

DATE

AIM Entered:

SIGNATURE

DATE

Funding Code:

use this on all encumbrances

Timesheet Code:

use this on timesheets

State Environmental Quality Review Act (SEQRA):

Type II Action ☒ or, Environmental Assessment Form Required ☐

Supplemental Environmental Documentation

Department Head Approval:

YES ☒ NO ☐

SIGNATURE

DCE/Ops Approval:

YES ☐ NO ☐

SIGNATURE

PART II: To be submitted to Chief Deputy County Executive after Qualifications/Proposals/Contracts are received from responding vendors.

| Vendor | Quote | Comment | See Attached Sheet <input type="checkbox"/> |
|------------------------|----------------|---------|---|
| 1. RJ Industries | \$2,977,700.00 | Low Bid | |
| 2. John P. Picone Inc. | \$3,312,000.00 | | |
| 3. Philip Ross Ind. | \$3,999,000.00 | | |
| 4. | | | |

DCE/Ops Approval:

YES ☐ NO ☐

Signature

Nassau DPW B.I.D.S. - Summary of Bid Opening

S35121-16A - General Contracting

Bay Park Sewage Treatment Plant-Engine Generator Facility Auxiliary Improvements

11/22/2016

Bid Opening: 11/22/2016

Engineer: Damon Urso Phone: (516) 571-7534

| Contractor | Address | Insurance | Payment | Bid Amount | Alternate Bid |
|------------------------------|--|-------------------------------|-------------|----------------|---------------|
| RJ Industries | 75 East Bethpage Road Plainview, NY 11803-0349 | Liberty Mutual Insurance Comp | 10% Amt Bid | \$2,977,700.00 | \$0.00 |
| John P. Picone Inc. | 31 Garden Lane, PO Box 913 Lawrence, NY 11559 | Liberty Mutual Insurance Comp | 10% Amt Bid | \$3,312,000.00 | \$0.00 |
| Philip Ross Industries, Inc. | 200 Long Island Avenue Wyandanch, NY 11798 | Liberty Mutual Insurance Comp | 10% Amt Bid | \$3,999,000.00 | \$0.00 |

The above is a review of the bids and subsequent list of all the bids that were read aloud at the public bid opening. Listed bids may be subsequently withdrawn or disqualified. The list does not reflect the Department's determination of the lowest responsible bidder.

S35121-16A-Engine Generator Facility Auxiliary Improvements

DATE: 01/03/2017

TO: Damon W. Urso, P.E.
FROM: Chris M. Leal, P.E.
SUBJECT: Bid Evaluation and Recommendation

Bids for Contract S35121-16A were opened on November 22, 2016 at 10:30 AM at Nassau County's Theodore Roosevelt Executive and Legislative Building. At the request of the Nassau County Department of Public Works (NCDPW), Hazen and Sawyer and ARCADIS (PMJV) has evaluated the bids for Contract S35121-16A.

Bid Comparison

Table 1 below summarizes the bids received for the contract and includes the Engineer's Estimate.

| Table 1 | |
|--|----------------------------|
| Summary of Submitted Bids for Contract S35121-16A | |
| Contractor | Submitted Bid Total |
| Engineer's Estimate | \$2,620,004.00 |
| R.J. Industries, Inc. | \$2,977,700.00 |
| John P. Picone, Inc. | \$3,312,000.00 |
| Philip Ross Industries, Inc. | \$3,999,000.00 |

As shown in Table 1, the Engineer's Estimate is \$2,620,004.00. The lower of the three bids received was \$2,977,700.00 from R.J. Industries, Inc. (RJII), with a mean value of the three received bids of \$3,429,567.00. The apparent low bidder, RJII, is approximately 13.7% higher than the Engineer's Estimate. The difference can be attributed to the following:

- Specialty mechanical and instrumentation labor and effort required for the engine upgrade can create uncertainties and render additional costs,
- The element of field design with respect to the Maintenance of Plant Operations (MOPO) during equipment installation, can cause conservative assumptions to ensure uninterrupted plant power.

MEMORANDUM (Cont'd)

Evaluation of Apparent Low Bidder – R.J. Industries, Inc.

At the request of the NCDPW, PMJV has evaluated RJII, the apparent low bidder. A Dun & Bradstreet (D&B) report is attached. In summary, the D&B Business Information Report indicated the following, listed below in Table 2, as of the reporting date, 11/29/2016:

| Table 2 | | |
|---|--------------|---|
| R.J. Industries, Inc. D&B Report Summary | | |
| D&B Item | Score | Comment |
| D&B Rating | 1R3 | Composite credit appraisal fair |
| D&B Paydex | 55 | Payments to suppliers average 26 days beyond payment terms based on payments collected over the last 3 months |
| Credit Score Class | 5 | High Risk |
| Financial Stress Class | 4 | Moderate to High Risk |
| Viability Rating | -8-B-G | See discussion below |

From the D&B report, it can be noted that RJII is a small water/sewer/utility construction services company. They have been in business since 1997. Their credit history is clear with no major issues and they currently employ 20 people. The report contains no financial information to review, such as a balance sheet or profit and loss statement (P&L). They pay vendors on average at a somewhat slower rate than the industry average. The industry pays at five days beyond terms on average and RJII averages 26 days. However, they do pay approximately 78% of vendors according to payment terms, so their payment history is not of particular concern. While there is somewhat limited information beyond what is noted above, there are no significant issues noted.

The D&B Viability Rating uses D&B's proprietary analytics to compare predictive business risk indicators and assess the probability that a company will go out of business, become dormant/inactive, or file for bankruptcy within the next 12 months. The first value is a Viability Score, based on a scale of 1-9 with lower values representing lower risk, which assesses the probability that a company will no longer be in business, within the next 12 months, compared to all U.S. businesses within the D&B database. The second, also on a 1-9 scale, is a Portfolio Comparison which assesses the viability of a company compared to similar businesses. The scores for RJII place the firm in D&B's Moderate/High risk level categories with probabilities of the firms becoming no longer viable within the next 12 months of 11%.

The third D&B Viability Rating is for data depth, an indicator of how much business intelligence is known about a business based on the availability of predictive information such as commercial trading activity and financial attributes. This indicator serves as a score qualifier and is based on a scale of A to M. RJII has a B score.

MEMORANDUM (Cont'd)

The last D&B Viability Rating examines how established a company is based on a combination of categories including financial data, trade payments, years in business, and company size (number of employees or sales). This indicator also serves as a score qualifier and is based on a scale of A to Z. RJII has a G score.

Discussions with the project references contacted did not provide any insight into the firms' financials.

Reference Checks of R.J. Industries, Inc. Projects

Table 3 below lists three referenced RJII projects for which reference information was provided by RJII and for which the PMJV contacted references.

| Table 3 | | |
|--|---|------------------------|
| R.J. Industries, Inc. Reference Summary | | |
| Client | Project | Contract Amount |
| County of Suffolk | Yaphank County Center WWTP Denitrification System Improvements | \$1.87M |
| Town of Riverhead | Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | \$17.9M |
| State University of NY | East Campus Well Replacement | \$1.08M |

- County of Suffolk: Yaphank County Center WWTP Denitrification System Improvements (\$1,868,800)
 - Contact: Janice McGovern (631-852-4188)
 - Scope: RJII performed General Contractor responsibilities, pouring concrete for above ground tanks, overseeing sitework, replacement of pipework in connection with all tanks being constructed, replacement of buried infrastructure with relation to the tanks being constructed, including wet well, and pump station mechanical work.
 - Comments:
 - Project was completed a little over expected budget and completion date, but RJII is not considered responsible.
 - The quality of work performed by RJII was considered good.
 - RJII provided accurate and up to date schedules.
 - RJII coordinated well with subcontractors.
 - Janice McGovern would recommend RJII for future work.
- Town of Riverhead: Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts (\$17,869,900)
 - Contact: Chris Weiss (H2M Group) (631-756-8000)
 - Scope: RJII converted an existing batch reactor plant to a membrane plant. Installed all associated mechanical work, piping, tanks, walls, yard piping, sitework, and paving.

MEMORANDUM (Cont'd)

- Comments:
 - Projects was completed on budget and a little over expected completion date, but RJII is not considered responsible. They did not cause any delay.
 - The quality of work performed by RJII was considered excellent.
 - RJII provided accurate and up to date schedules.
 - RJII coordinated well with subcontractors.
 - Chris Weiss would absolutely recommend RJII for future work.
- State University of NY: Stony Brook University East Campus Well Replacement (\$1,076,423)
 - Contact: Paul Van Loan (631-632-3067)
 - Scope: Replacement of two wells for a 600 ft cooling tower.
 - Comments:
 - Projects was completed on budget and a little over expected completion date, but RJII is not considered responsible. Delay was due to unforeseen issues with bedrock.
 - The quality of work performed by RJII was considered excellent.
 - For the most part RJII provided accurate and up to date schedules.
 - RJII coordinated well with subcontractors.
 - Paul Van Loan would recommend RJII for future work.
 - Mentioned there was one project manager that was adversarial with regards to change orders.

Bid Bond

A bid bond in the amount of 10% of the bid amount was provided. The surety on the bond was provided by Liberty Mutual Insurance Company.

Subcontractors

RJII listed the following subcontractors for this contract:

- Plumbing and Gas: None
- Steam Heating, Hot Water Heating, Ventilating and AC Apparatus: None
- Electrical Wiring and Standard Illuminating Fixtures: Bana Electric Corp.

RJII indicated the Plumbing and Gas Fitting work and Steam Heating, Hot Water Heating, Ventilating and AC Apparatus will be self-performed.

Apprenticeship Training Program

RJII provided documentation indicating that they and their subcontractors participate in registered and

MEMORANDUM (Cont'd)

approved apprenticeship training programs with the following Long Island Union:

- Local 200 Plumbers
- Local 138 Operating Engineers
- Local 25 Electrical Workers
- Local 66 Building Laborers
- NYC District Council of Carpenters

MWBE

RJII provided documentation indicating that their current MWBE participation level is \$514,500.00 (17.27% of the bid amount). It is noted that this is below the 20% target; however, RJII will continue to solicit MWBE firms throughout the course of the project and they expect this participation to increase.

Recommendation

PMJV reviewed the documentation provided by RJII and attended the Pre-Award Conference on December 6, 2016 to determine the contractor's ability and capability to perform the work. RJII indicated that they can meet the contract specifications and satisfy the project schedule within their bid price. Our review of their qualifications indicates that RJII has the necessary experience and resources to complete the work. Based on this information, we believe that Nassau County should award the work to the lowest responsive bidder, RJII, for Contract S35121-16A in the amount of \$2,977,700.00. This recommendation is based on further legal and administrative review of the bid packages by Nassau County.

Please contact Chris Leal at (914) 641-2839 or Chris.Leal@arcadis.com if there are any questions or comments.

Very truly yours,



Christopher M. Leal, PE
Senior Civil Engineer
Arcadis US, Inc.

CC:

NCDPW: Davenport
ARCADIS: O'Loughlin

MEMORANDUM (Cont'd)

ATTACHMENT 1-

**R.J. Industries, Inc.
D&B REPORT**

Live Report : R.J. INDUSTRIES, INC.

D-U-N-S® Number: 62-030-8390

Endorsement/Billing Reference: Ellen.Hooper@arcadis-us.com

D&B Address

Address 75 E Bethpage Rd
Plainview, NY, US - 11803

Phone 516 293-8800

Fax

Location Type Single Location

Web

Added to Portfolio: 06/30/2015

Last View Date: 10/26/2015

Endorsement : Ellen.Hooper@arcadis-us.com

Company Summary

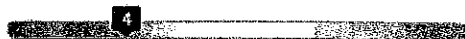
Currency: Shown In USD unless otherwise indicated

Score Bar
PAYDEX®


Paying 26 days past due

Commercial Credit Score Class


High Risk of severe payment delinquency.

Financial Stress Score Class


Moderate to High Risk of severe financial stress.

Credit Limit - D&B Conservative

Unavailable

D&B Rating

1R3

1R indicates 10 or more Employees, Credit appraisal of 3 is fair

Detailed Trade Risk Insight™
Days Beyond Terms Past 3 Months


Dollar-weighted average of 11 payment experiences reported from 11 Companies

Recent Derogatory Events

| | Sep-16 | Oct-16 | Nov-16 |
|-----------------------|--------|--------|--------|
| Placed for Collection | - | - | - |
| Bad Debt Written Off | - | - | - |

Total Amount Current & Past Due - 13 Month Trend

D&B Viability Rating
Viability Score

6



High Risk Low Risk

Portfolio Comparison

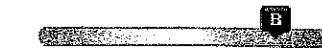
8



High Risk Low Risk

Data Depth Indicator

B



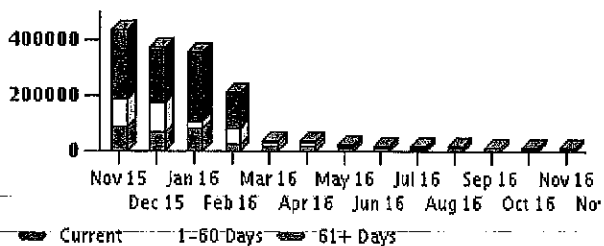
Descriptive Predictive

Company Profile

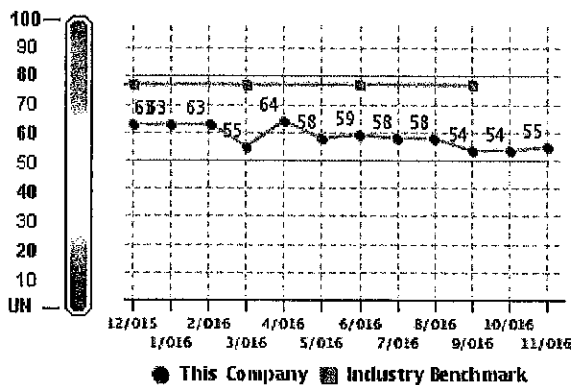
| Financial Data | Trade Payments | Company Size | Years in Business |
|----------------|---------------------|--------------|-------------------|
| Not Available | Available (3+Trade) | Large | Established |

D&B Company Overview

Do not confuse with DUNS 825313088 For R J Industries
And Eldor Contracting At Same Addr (DUNS for Govt)



PAYDEX® Trend Chart



Use)
This is a single location

| | |
|------------------|---------------------------------------|
| Mailing Address | PO BOX 349 PLAINVIEW, NY11803 |
| Chief Executive | RICHARD O FELICETTA, PRES |
| Year Started | 1997 |
| Employees | 20 |
| SIC | 1623 |
| Line of business | Water/ sewer/ utility construction |
| NAICS | 237110 |
| History Status | CLEAR |

FirstRain Company News

i
This Company is not currently tracked for Company News

Powered by FirstRain

Public Filings

The following data includes both open and closed filings found in D&B's database on this company.

| Record Type | Number of Records | Most Recent Filing Date |
|--------------|-------------------|-------------------------|
| Bankruptcies | 0 | - |
| Judgments | 0 | - |
| Liens | 0 | - |
| Suits | 0 | - |
| UCCs | 7 | 08/26/16 |

The public record items contained herein may have been paid, terminated, vacated or released prior to today's date.

Predictive Scores

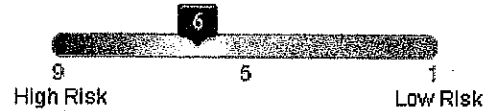
Currency: Shown in USD unless otherwise indicated

D&B Viability Rating Summary

The D&B Viability Rating uses D&B's proprietary analytics to compare the most predictive business risk indicators and deliver a highly reliable assessment of the probability that a company will go out of business, become dormant/inactive, or file for bankruptcy/insolvency within the next 12 months. The D&B Viability Rating is made up of 4 components:

6

Viability Score



Compared to All US Businesses within the D&B Database:

- Level of Risk: **Moderate Risk**
- Businesses ranked 6 have a probability of becoming no longer viable: **13 %**
- Percentage of businesses ranked 6: **30 %**
- Across all US businesses, the average probability of becoming no longer viable: **14 %**

8

Portfolio Comparison

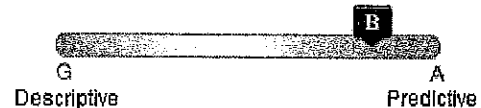


Compared to All US Businesses within the same MODEL SEGMENT:

- Model Segment : **Established Trade Payments**
- Level of Risk: **High Risk**
- Businesses ranked 8 within this model segment have a probability of becoming no longer viable: **11 %**
- Percentage of businesses ranked 8 with this model segment: **13 %**
- Within this model segment, the average probability of becoming no longer viable: **5 %**

B

Data Depth Indicator



Data Depth Indicator:

- ✓ Rich Firmographics
- ✓ Extensive Commercial Trading Activity
- ✓ Basic Financial Attributes

Greater data depth can increase the precision of the D&B Viability Rating assessment.

G

Company Profile

| Financial Data | Trade Payments | Company Size | Years in Business |
|----------------|----------------------|--------------|-------------------|
| Not Available | Available (3+ Trade) | Large | Established |

Company Profile Details:

- Financial Data: **Not Available**
- Trade Payments: **Available (3+ Trade)**
- Company Size: **Large** (Employees: 50+ or Sales: \$500K+)
- Years in Business: **Established (5+)**

Credit Capacity Summary

This credit rating was assigned because of D&B's assessment of the company's creditworthiness. For more information, see the

D&B Rating Key

D&B Rating : 1R3

Number of employees: 1R indicates 10 or more employees
Composite credit appraisal: 3 is fair

The 1R and 2R ratings categories reflect company size based on the total number of employees for the business. They are assigned to business files that do not contain a current financial statement. In 1R and 2R Ratings, the 2, 3, or 4 creditworthiness indicator is based on analysis by D&B of public filings, trade payments, business age and other important factors. 2 is the highest Composite Credit Appraisal a company not supplying D&B with current financial information can receive.

Below is an overview of the company's rating history since 09-11-2007

| D&B Rating | Date Applied |
|------------|--------------|
| 1R3 | 04-24-2009 |
| — | 09-11-2007 |

| | |
|-----------------------------------|---------------|
| Sales: | 30,000,000.00 |
| Number of Employees Total: | 20 |

| | |
|------------------------------|---------------------------|
| Payment Activity: | (based on 27 experiences) |
| Average High Credit: | 27,735 |
| Highest Credit: | 250,000 |
| Total Highest Credit: | 666,150 |

D&B Credit Limit Recommendation

Due to adverse or incomplete information, we are unable to provide a Credit Limit Recommendation for this business. Please contact your sales representative or D&B's Customer Resource Center at 800-234-3867 for assistance.

The Credit Limit Recommendation (CLR) is intended to serve as a directional benchmark for all businesses within the same line of business or industry, and is not calculated based on any individual business. Thus, the CLR is intended to help guide the credit limit decision, and must be balanced in combination with other elements which reflect the individual company's size, financial strength, payment history, and credit worthiness, all of which can be derived from D&B reports.

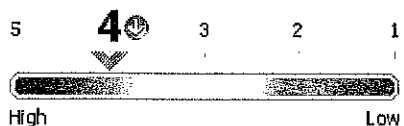
Risk is assessed using D&B's scoring methodology and is one factor used to create the recommended limits. See Help for details.

Financial Stress Class Summary

The Financial Stress Score predicts the likelihood of a firm ceasing business without paying all creditors in full, or reorganization or obtaining relief from creditors under state/federal law over the next 12 months. Scores were calculated using a statistically valid model derived from D&B's extensive data files.

The Financial Stress Class of 4 for this company shows that firms with this class had a failure rate of 0.84% (84 per 10,000), which is 1.75 times higher than the average of businesses in D & B's database.

Financial Stress Class :



Moderately higher than average risk of severe financial stress, such as a bankruptcy or going out of business with unpaid debt, over the next 12 months.

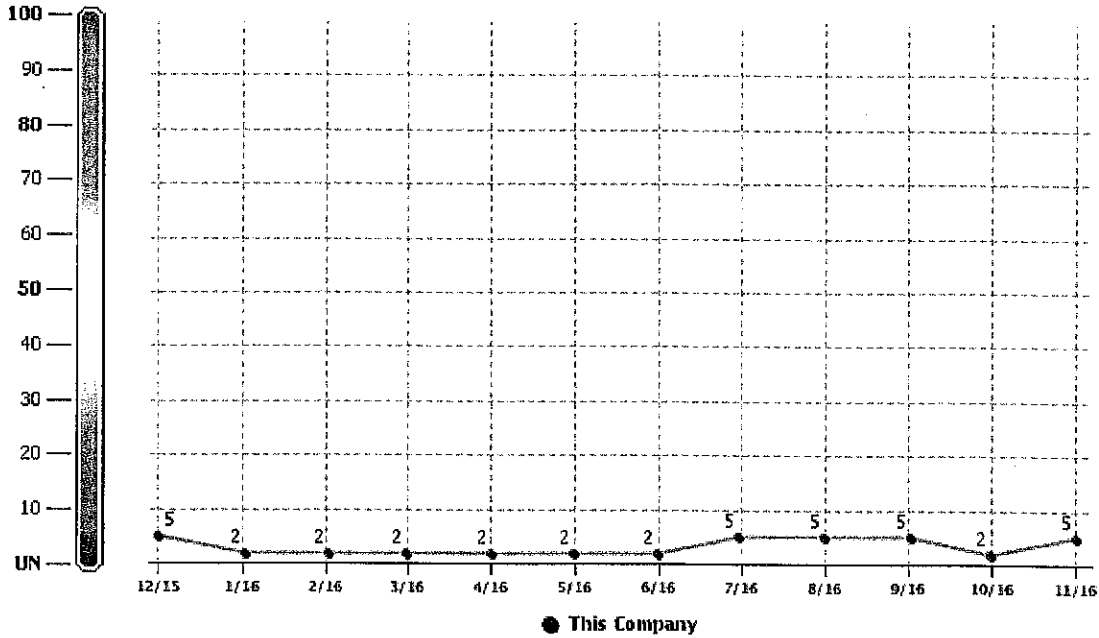
Probability of Failure:

Risk of Severe Financial Stress for Businesses with this Class: **0.84 %** (84 per 10,000)
Financial Stress National Percentile : **5** (Highest Risk: 1; Lowest Risk: 100)
Financial Stress Score : **1370** (Highest Risk: 1,001; Lowest Risk: 1,875)
Average Risk of Severe Financial Stress for Businesses in D&B database: **0.48 %** (48 per 10,000)

The Financial Stress Class of this business is based on the following factors:

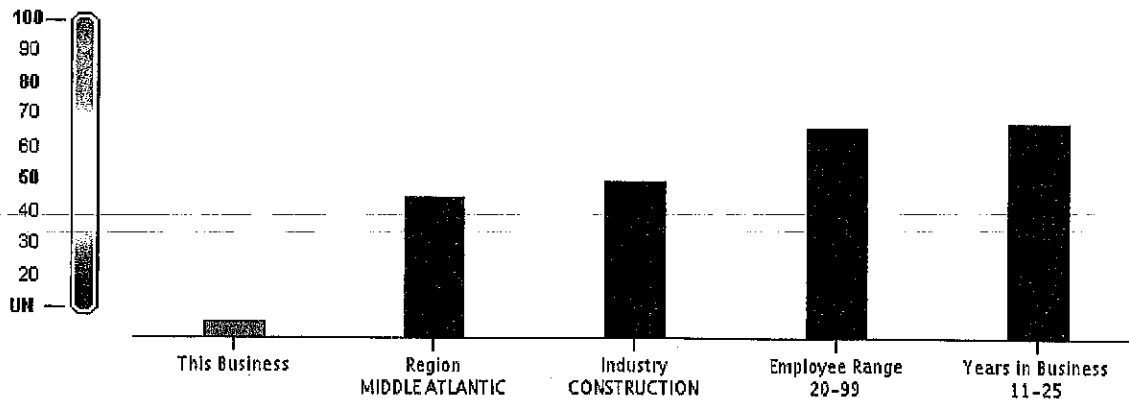
Low proportion of satisfactory payment experiences to total payment experiences.
High number of inquiries to D & B over last 12 months.
Low Paydex Score.
High proportion of past due balances to total amount owing.
Unstable Paydex over last 12 months.

Financial Stress Percentile Trend:



Notes:

The Financial Stress Class indicates that this firm shares some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience financial stress.
The Probability of Failure shows the percentage of firms in a given Class that discontinued operations over the past year with loss to creditors. The Probability of Failure - National Average represents the national failure rate and is provided for comparative purposes.
The Financial Stress National Percentile reflects the relative ranking of a company among all scorable companies in D&Bs file.
The Financial Stress Score offers a more precise measure of the level of risk than the Class and Percentile. It is especially helpful to customers using a scorecard approach to determining overall business performance.



| Norms | National % |
|--------------------------|------------|
| This Business | 5 |
| Region: MIDDLE ATLANTIC | 44 |
| Industry: CONSTRUCTION | 49 |
| Employee range: 20-99 | 66 |
| Years in Business: 11-25 | 68 |

This Business has a Financial Stress Percentile that shows:

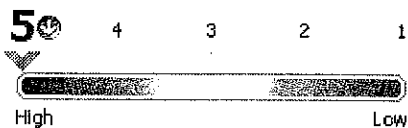
- Higher risk than other companies in the same region.
- Higher risk than other companies in the same industry.
- Higher risk than other companies in the same employee size range.
- Higher risk than other companies with a comparable number of years in business.

Credit Score Summary

The Commercial Credit Score (CCS) predicts the likelihood of a business paying its bills in a severely delinquent manner (91 days or more past terms).

The Credit Score class of 5 for this company shows that 53.1% of firms with this class paid one or more bills severely delinquent, which is 5.21 times higher than the average of businesses in D & B's database.

Credit Score Class :



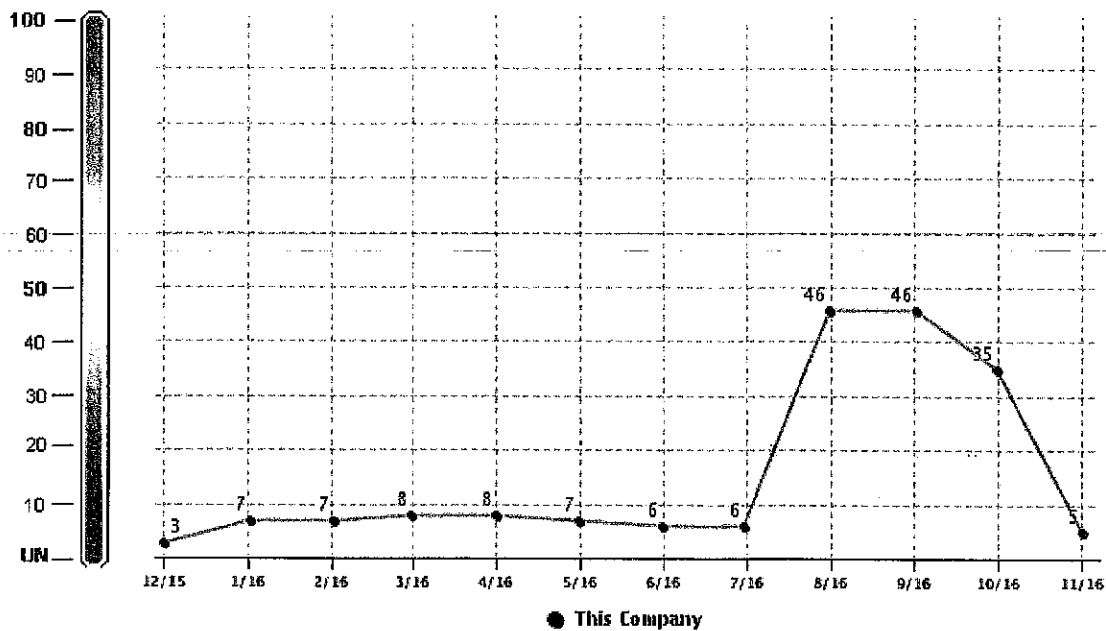
Incidence of Delinquent Payment

Among Companies with this Classification: **53.10 %**
 Average compared to businesses in D&B's database: **10.20 %**
 Credit Score Percentile : **5** (Highest Risk: 1; Lowest Risk: 100)
 Credit Score : **288** (Highest Risk: 101; Lowest Risk: 670)

The Credit Score Class of this business is based on the following factors:

- Evidence of negative trade
- Recent amount past due
- Increase in proportion of delinquent payments in recent payment experiences
- Vendor payment commentary
- Proportion of slow payment experiences to total number of payment experiences reported
- Proportion of satisfactory balances to total payment balances reported

Credit Score Class Percentile Trend:



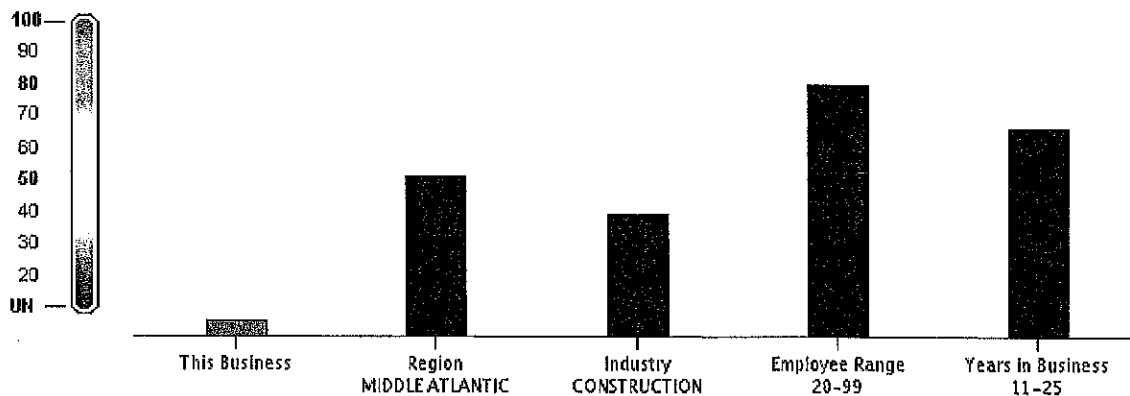
Notes:

The Commercial Credit Score Risk Class indicates that this firm shares some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience severe delinquency.

The Incidence of Delinquent Payment is the percentage of companies with this classification that were reported 91 days past due or more by creditors. The calculation of this value is based on D&B's trade payment database.

The Commercial Credit Score percentile reflects the relative ranking of a firm among all scorable companies in D&B's file.

The Commercial Credit Score offers a more precise measure of the level of risk than the Risk Class and Percentile. It is especially helpful to customers using a scorecard approach to determining overall business performance.



| Norms | National % |
|--------------------------|------------|
| This Business | 5 |
| Region: MIDDLE ATLANTIC | 51 |
| Industry: CONSTRUCTION | 39 |
| Employee range: 20-99 | 80 |
| Years in Business: 11-25 | 66 |

This business has a Credit Score Percentile that shows:

Higher risk than other companies in the same region.

Higher risk than other companies in the same industry.

Higher risk than other companies in the same employee size range.

Higher risk than other companies with a comparable number of years in business.

Trade Payments

D&B PAYDEX®

The D&B PAYDEX is a unique, weighted indicator of payment performance based on payment experiences as reported to D&B by trade references. Learn more about the D&B PAYDEX

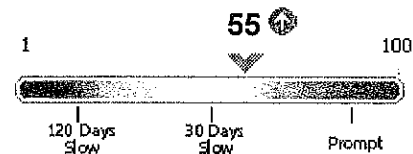
Timeliness of historical payments for this company.


Current PAYDEX is 55 Equal to 26 days beyond terms (Pays more slowly than the average for its industry of 5 days beyond terms)
Industry Median is 77 Equal to 5 days beyond terms
Payment Trend currently is ↔ Unchanged, compared to payments three months ago

Indications of slowness can be the result of dispute over merchandise, skipped invoices etc. Accounts are sometimes placed for collection even though the existence or amount of the debt is disputed.

| | |
|---|---------|
| Total payment Experiences In D&Bs File (HQ) | 27 |
| Payments Within Terms (not weighted) | 78 % |
| Trade Experiences with Slow or Negative Payments(%) | 29.63% |
| Total Placed For Collection | 0 |
| High Credit Average | 27,735 |
| Largest High Credit | 250,000 |
| Highest Now Owing | 50,000 |
| Highest Past Due | 5,000 |

D&B PAYDEX



 High risk of late payment (Average 30 to 120 days beyond terms)

 Medium risk of late payment (Average 30 days or less beyond terms)


 Low risk of late payment (Average prompt to 30+ days sooner)


When weighted by amount, payments to suppliers average 26 days beyond terms

3-Month D&B PAYDEX



 High risk of late payment (Average 30 to 120 days beyond terms)

 Medium risk of late payment (Average 30 days or less beyond terms)

 Low risk of late payment (Average prompt to 30+ days sooner)

Based on payments collected over last 3 months.

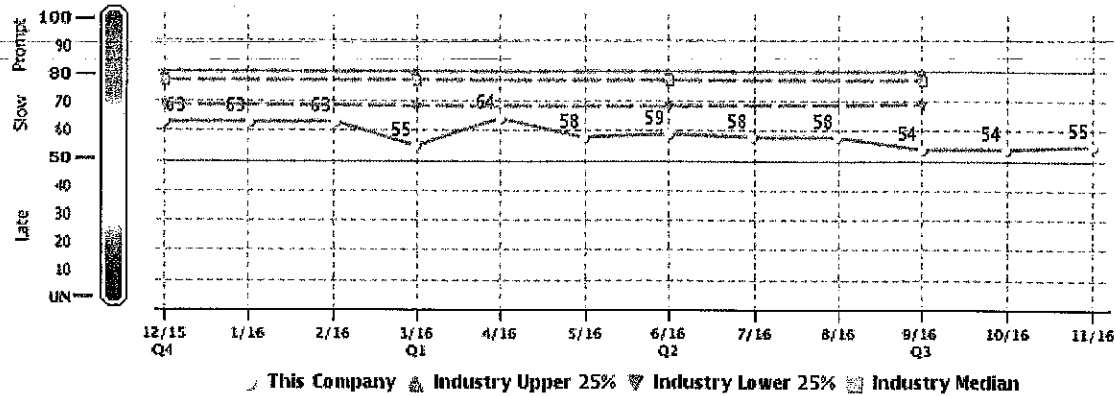
When weighted by amount, payments to suppliers average 27 days beyond terms

D&B PAYDEX® Comparison

Current Year

PAYDEX® of this Business compared to the Primary Industry from each of the last four quarters. The Primary Industry is Water/sewer/utility construction , based on SIC code 1623 .

Shows the trend in D&B PAYDEX scoring over the past 12 months.

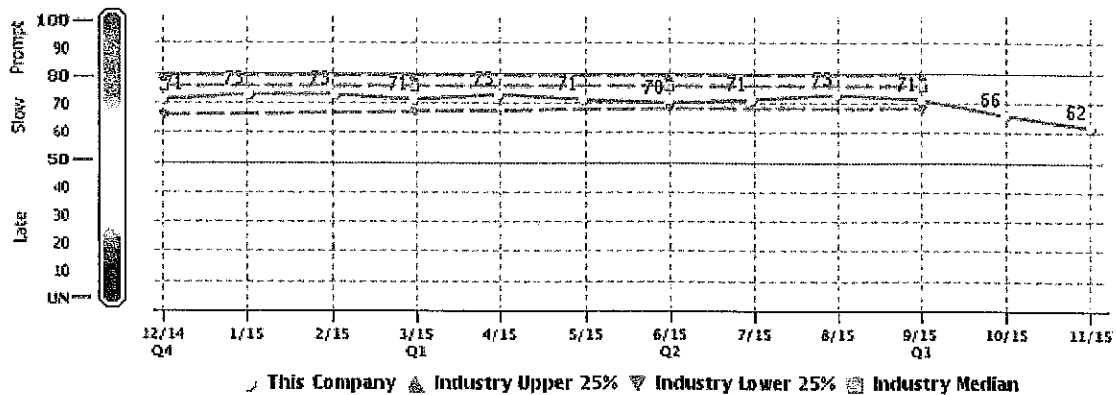


| | 12/15 | 1/16 | 2/16 | 3/16 | 4/16 | 5/16 | 6/16 | 7/16 | 8/16 | 9/16 | 10/16 | 11/16 |
|---------------------------|-------|------|------|------|------|------|------|------|------|------|-------|-------|
| This Business | 63 | 63 | 63 | 55 | 64 | 58 | 59 | 58 | 58 | 54 | 54 | 55 |
| Industry Quartiles | | | | | | | | | | | | |
| Upper | 80 | . | . | 80 | . | . | 80 | . | . | 80 | . | . |
| Median | 77 | . | . | 77 | . | . | 77 | . | . | 77 | . | . |
| Lower | 69 | . | . | 68 | . | . | 68 | . | . | 69 | . | . |

Current PAYDEX for this Business is 55 , or equal to 26 days beyond terms
The 12-month high is 64 , or equal to 19 DAYS BEYOND terms
The 12-month low is 54 , or equal to 27 DAYS BEYOND terms

Previous Year

Shows PAYDEX of this Business compared to the Primary Industry from each of the last four quarters. The Primary Industry is Water/sewer/utility construction , based on SIC code 1623 .



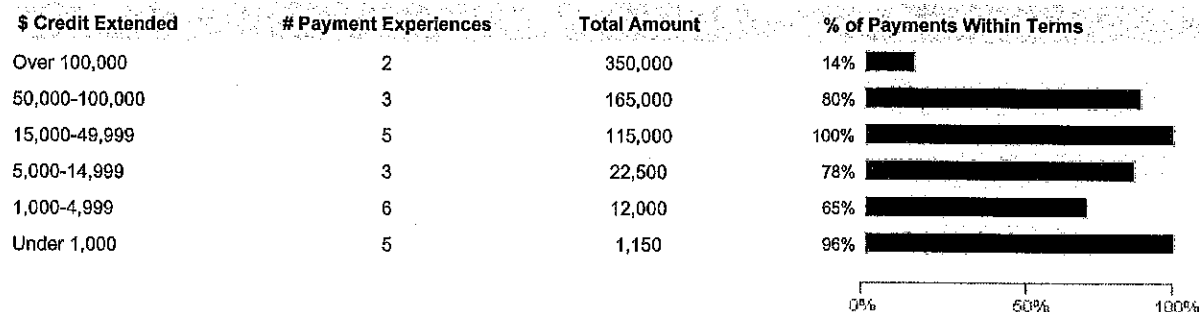
| Previous Year | 12/14 Q4'14 | 03/15 Q1'15 | 06/15 Q2'15 | 09/15 Q3'15 |
|---------------------------|----------------|----------------|----------------|----------------|
| This Business | 71 | 71 | 70 | 71 |
| Industry Quartiles | | | | |
| Upper | 79 | 79 | 79 | 80 |
| Median | 76 | 76 | 76 | 76 |
| Lower | 66 | 67 | 68 | 68 |

Based on payments collected over the last 4 quarters.

Current PAYDEX for this Business is 55 , or equal to 26 days beyond terms
The present industry median Score is 77 , or equal to 5 days beyond terms
Industry upper quartile represents the performance of the payers in the 75th percentile
Industry lower quartile represents the performance of the payers in the 25th percentile

Payment Habits

For all payment experiences within a given amount of credit extended, shows the percent that this Business paid within terms. Provides number of experiences to calculate the percentage, and the total credit value of the credit extended.



Based on payments collected over last 24 months.

All Payment experiences reflect how bills are paid in relation to the terms granted. In some instances, payment beyond terms can be the result of disputes over merchandise, skipped invoices etc.

Payment Summary

There are 27 payment experience(s) in D&Bs file for the most recent 24 months, with 18 experience(s) reported during the last three month period.

The highest Now Owes on file is 50,000 . The highest Past Due on file is 5,000

Below is an overview of the company's currency-weighted payments, segmented by its suppliers primary industries:

| | Total Rev'd (#) | Total Amts | Largest High Credit Within Terms (%) | Days Slow <31 31-60 61-90 90> (%) (%) (%) (%) | | | | |
|------------------------|-----------------------|---------------|--|---|-----|---|-----|----|
| Top Industries | | | | | | | | |
| Short-trlm busn credit | 6 | 200,000 | 50,000 | 100 | 0 | 0 | 0 | 0 |
| Investment advice | 2 | 550 | 500 | 91 | 9 | 0 | 0 | 0 |
| Misc business credit | 2 | 50 | 50 | 100 | 0 | 0 | 0 | 0 |
| Whol plumb/hydronics | 1 | 250,000 | 250,000 | 0 | 0 | 0 | 100 | 0 |
| Mfg misc plastic prdt | 1 | 100,000 | 100,000 | 50 | 0 | 0 | 0 | 50 |
| Business consulting | 1 | 65,000 | 65,000 | 50 | 50 | 0 | 0 | 0 |
| Public finance | 1 | 15,000 | 15,000 | 100 | 0 | 0 | 0 | 0 |
| Misc equipment rental | 1 | 10,000 | 10,000 | 50 | 0 | 0 | 0 | 50 |
| Misc business service | 1 | 7,500 | 7,500 | 100 | 0 | 0 | 0 | 0 |
| Natnl commercial bank | 1 | 5,000 | 5,000 | 100 | 0 | 0 | 0 | 0 |
| Steel works | 1 | 2,500 | 2,500 | 0 | 100 | 0 | 0 | 0 |
| Whol service paper | 1 | 2,500 | 2,500 | 100 | 0 | 0 | 0 | 0 |
| Radiotelephone commun | 1 | 2,500 | 2,500 | 50 | 50 | 0 | 0 | 0 |
| Management services | 1 | 2,500 | 2,500 | 100 | 0 | 0 | 0 | 0 |
| Electric services | 1 | 1,000 | 1,000 | 100 | 0 | 0 | 0 | 0 |
| Whol chemicals | 1 | 1,000 | 1,000 | 50 | 0 | 0 | 0 | 50 |
| Telephone communictns | 1 | 500 | 500 | 100 | 0 | 0 | 0 | 0 |
| Lithographic printing | 1 | 50 | 50 | 100 | 0 | 0 | 0 | 0 |

Other payment categories

| | | | |
|--------------------------------|-----------|----------------|----------------|
| Cash experiences | 2 | 500 | 250 |
| Payment record unknown | 0 | 0 | 0 |
| Unfavorable comments | 0 | 0 | 0 |
| Placed for collections | 0 | N/A | 0 |
| Total in D&B's file | 27 | 666,150 | 250,000 |

Accounts are sometimes placed for collection even though the existence or amount of the debt is disputed.

Indications of slowness can be result of dispute over merchandise, skipped invoices etc.

Detailed payment history for this company

| Date Reported (mm/yy) | Paying Record | High Credit | Now Owes | Past Due | Selling Terms | Last Sale Within (month) |
|-----------------------|---------------|-------------|----------|----------|-----------------|--------------------------|
| 10/16 | Ppt | 50,000 | 50,000 | 0 | | 1 mo |
| | Ppt | 50,000 | 50,000 | 0 | | 1 mo |
| | Ppt | 45,000 | 45,000 | 0 | | 1 mo |
| | Ppt | 20,000 | 20,000 | 0 | | 1 mo |
| | Ppt | 20,000 | 20,000 | 0 | | 1 mo |
| | Ppt | 7,500 | 5,000 | 0 | | 1 mo |
| | Ppt | 2,500 | 50 | 0 | | 1 mo |
| | Ppt | 1,000 | 250 | 0 | | 1 mo |
| | Ppt | 500 | 0 | 0 | | 4-5 mos |
| | Ppt | 500 | 500 | 0 | | 1 mo |
| | Ppt | 50 | 50 | 0 | Lease Agreement | 1 mo |
| | Ppt-Slow 15 | 2,500 | 1,000 | 0 | | 1 mo |
| | Ppt-Slow 30 | 65,000 | 5,000 | 5,000 | | 2-3 mos |
| | Ppt-Slow 120 | 10,000 | 50 | 0 | | 1 mo |
| | Ppt-Slow 180 | 1,000 | 250 | 100 | | 1 mo |
| | Slow 30 | 2,500 | 0 | 0 | | 6-12 mos |
| | Slow 90 | 250,000 | 1,000 | 1,000 | | 1 mo |
| 09/16 | (018) | 250 | | | Cash account | 1 mo |
| 07/16 | Ppt | 5,000 | 1,000 | 0 | | |
| 04/16 | Ppt | 50 | | | | 1 mo |
| 03/16 | Ppt | 15,000 | | | | 1 mo |
| | Ppt-Slow 120 | 100,000 | 0 | 0 | | 6-12 mos |
| | (023) | 250 | | | Cash account | 1 mo |
| 02/16 | Ppt | 15,000 | 0 | 0 | | 6-12 mos |
| 04/15 | Ppt | 2,500 | 0 | 0 | | 6-12 mos |
| 03/15 | Slow 30 | 50 | 0 | 0 | | 6-12 mos |
| 11/14 | Ppt | | 0 | 0 | | 6-12 mos |

Payments Detail Key: ■ 30 or more days beyond terms

Payment experiences reflect how bills are paid in relation to the terms granted. In some instances payment beyond terms can be the result of disputes over merchandise, skipped invoices, etc. Each experience shown is from a separate supplier. Updated trade experiences replace those previously reported.

Public Filings

Summary

The following data includes both open and closed filings found in D&B's database on this company.

| Record Type | # of Records | Most Recent Filing Date |
|------------------------|--------------|-------------------------|
| Bankruptcy Proceedings | 0 | - |
| Judgments | 0 | - |
| Liens | 0 | - |
| Suits | 0 | - |
| UCCs | 7 | 08/26/16 |

The following Public Filing data is for information purposes only and is not the official record. Certified copies can only be obtained from the official source.

UCC Filings

Collateral Account(s) and proceeds - Chattel paper and proceeds - General Intangibles(s) and proceeds - Contract rights and proceeds - and OTHERS

Type Original

Sec. Party SIGNATURE BANK, MELVILLE, NY

Debtor RJ EAST BETHPAGE ROAD, LLC

Filing No. 1512300674882

Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2015-12-30

Latest Info Received 01/12/16

Collateral Equipment and proceeds

Type Original

Sec. Party CATERPILLAR FINANCIAL SERVICES CORPORATION, NASHVILLE, TN

Debtor R.J. INDUSTRIES, INC.

Filing No. 1608266026601

Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2016-08-26

Latest Info Received 09/05/16

Collateral Equipment and proceeds

Type Original

Sec. Party CATERPILLAR FINANCIAL SERVICES CORPORATION, NASHVILLE, TN

Debtor R.J. INDUSTRIES, INC.

Filing No. 1606025657665

Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2016-06-02

Latest Info Received 06/10/16

Collateral Equipment and proceeds

Type Original

Sec. Party SIGNATURE FINANCIAL LLC, MELVILLE, NY
Debtor R.J. INDUSTRIES, INC.
Filing No. 1312316366770
Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2013-12-31

Latest Info Received 01/10/14

Type Original
Sec. Party SIGNATURE BANK, NEW YORK, NY
Debtor R.J. INDUSTRIES, INC.
Filing No. 0901135043802
Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2009-01-13

Latest Info Received 01/29/09

Type Amendment
Sec. Party SIGNATURE BANK
Debtor R.J. INDUSTRIES, INC.
Filing No. 0902260114794
Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2009-02-26

Latest Info Received 03/06/09

Original UCC Filed Date 2009-01-13

Original Filing No. 0901135043802

Type Continuation
Sec. Party SIGNATURE BANK, NEW YORK, NY
Debtor R.J. INDUSTRIES, INC.
Filing No. 1308065844377
Filed With SECRETARY OF STATE/UCC DIVISION, ALBANY, NY

Date Filed 2013-08-06

Latest Info Received 08/30/13

Original UCC Filed Date 2009-01-13

Original Filing No. 0901135043802

Government Activity

Activity summary

| | |
|--|----|
| Borrower (Dir/Guar) | NO |
| Administrative Debt | NO |
| Contractor | NO |
| Grantee | NO |
| Party excluded from federal program(s) | NO |

Possible candidate for socio-economic program consideration

| | |
|---------------------|------------|
| Labour Surplus Area | N/A |
| Small Business | YES (2016) |
| 8(A) firm | N/A |

The details provided in the Government Activity section are as reported to Dun & Bradstreet by the federal government and other sources.

History & Operations

Currency: Shown in USD unless otherwise indicated 

Company Overview

| | |
|----------------------------|--|
| Company Name: | R.J. INDUSTRIES, INC. |
| Street Address: | 75 E Bethpage Rd Plainview , NY 11803 |
| Mailing Address: | PO Box 349 Plainview NY 11803 |
| Phone: | 516 293-8800 |
| History | Is clear |
| Present management control | 19 years |
| Annual Sales | 30,000,000 |

History

The following information was reported: 10/29/2016

Officer(s): RICHARD O FELICETTA, PRES
JOHN C DOREMUS, V PRES
JOHN E KOZIARZ, V PRES
BILL DOREMUS, SEC-TREAS

DIRECTOR(S) : THE OFFICER(S)

The New York Secretary of State's business registrations file showed that R.J. Industries, Inc. was registered as a Corporation on September 2, 1997.

Business started 1997 by the officers. 45% of capital stock is owned by Richard O Felicetta. 45% of capital stock is owned by John C Doremus. 5% of capital stock is owned by John E Koziarz. 5% of capital stock is owned by Bill Doremus.

RICHARD O FELICETTA. Antecedents not available.

JOHN C DOREMUS. Antecedents are unknown.

JOHN E KOZIARZ. Antecedents are unknown.

BILL DOREMUS. Antecedents are unknown.

Business Registration

CORPORATE AND BUSINESS REGISTRATIONS REPORTED BY THE SECRETARY OF STATE OR OTHER OFFICIAL SOURCE AS OF

Nov 18 2016

Registered Name: R.J. INDUSTRIES, INC.
Business type: CORPORATION
Corporation type: PROFIT

Date Incorporated: Sep 02 1997
State of Incorporation: NEW YORK
Filing date: Sep 02 1997
Registration ID: 2176418
Duration: PERPETUAL
Status: ACTIVE
Where filed: SECRETARY OF STATE/CORPORATION DIVISION, ALBANY, NY
Principals: RICHARD O. FELICETTA, CHAIRMAN OF THE BOARD, 21 KIM PLACE,
KINGS PARK, NY, 117540000

Operations

10/29/2016

Description: Contractor of water, sewer and utility lines (100%).
Terms are Net 30 days. Sells to commercial concerns. Territory : Local.
Employees: 20 which includes officer(s) and 3 part-time.
Facilities: Leases 2,500 sq. ft. in a two story building.
Location: Central business section on main street.

SIC & NAICS

SIC:

Based on information in our file, D&B has assigned this company an extended 8-digit SIC. D&B's use of 8-digit SICs enables us to be more specific about a company's operations than if we use the standard 4-digit code.

The 4-digit SIC numbers link to the description on the Occupational Safety & Health Administration (OSHA) Web site. Links open in a new browser window.

1623 0000 Water, sewer, and utility lines

NAICS:

237110 Water and Sewer Line and Related Structures Construction

Financials

Company Financials: n/a

Additional Financial Data

D & B has updated this report using available sources.

Request Financial Statements



Requested financials are provided by R.J. INDUSTRIES, INC. and are not DUNSRight certified.



Key Business Ratios

D & B has been unable to obtain sufficient financial information from this company to calculate business ratios. Our check of additional outside sources also found no information available on its financial performance.

To help you in this instance, ratios for other firms in the same industry are provided below to support your analysis of this business.

Based on this Number of Establishments

57

Industry Norms Based On 57 Establishments

| | This Business | Industry Median | Industry Quartile |
|-----------------------------------|---------------|-----------------|-------------------|
| Profitability | | | |
| Return on Sales % | UN | 6.2 | UN |
| Return on Net Worth % | UN | 25.3 | UN |
| Short-Term Solvency | | | |
| Current Ratio | UN | 2.1 | UN |
| Quick Ratio | UN | 1.6 | UN |
| Efficiency | | | |
| Assets to Sales % | UN | 50.2 | UN |
| Sales / Net Working Capital | UN | 5.6 | UN |
| Utilization | | | |
| Total Liabilities / Net Worth (%) | UN | 72.5 | UN |

UN = Unavailable

View Snapshots

View Snapshots

Detailed Trade Risk Insight™

Detailed Trade Risk Insight provides detailed updates on over 1.5 billion commercial trade experiences collected from more than 260 million unique supplier/purchaser relationships.

Days Beyond Terms - Past 3 & 12 Months

3 months from Sep 16 to Nov 16

9
Days

120+ Days Beyond Terms 0

Dollar-weighted average of 11 payment experiences reported from 11 companies

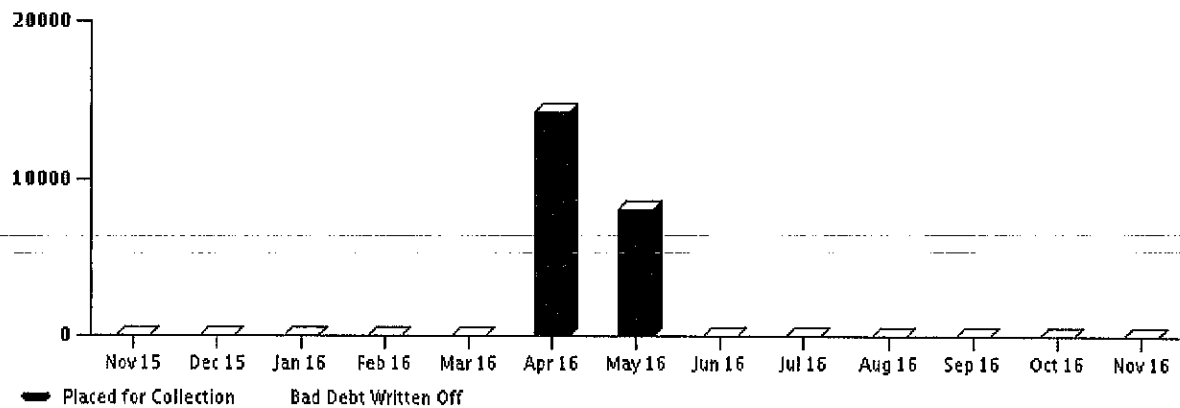
12 months from Dec 15 to Nov 16

15
Days

120+ Days Beyond Terms 0

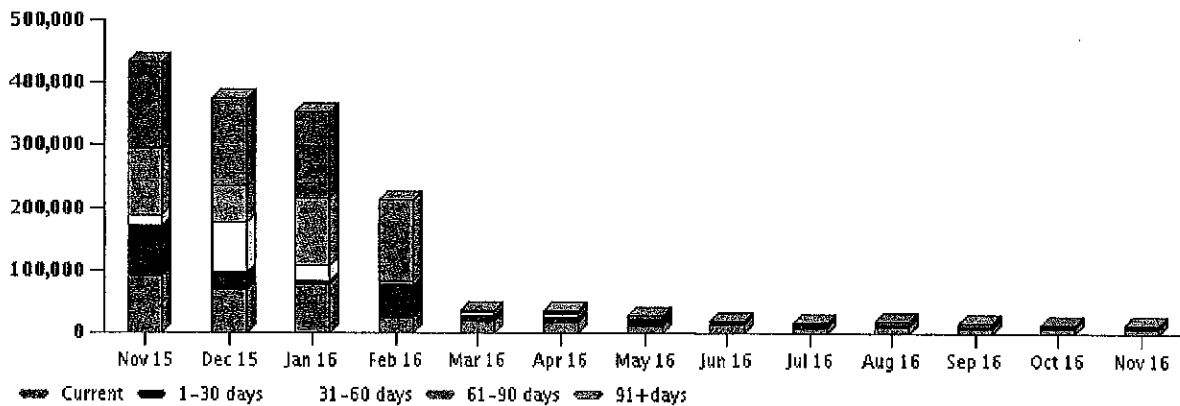
Dollar-weighted average of 24 payment experiences reported from 17 companies

Derogatory Events Last 13 Months from Nov 15 to Nov 16



| Status | Nov-15 | Dec-15 | Jan-16 | Feb-16 | Mar-16 | Apr-16 | May-16 | Jun-16 | Jul-16 | Aug-16 | Sep-16 | Oct-16 | Nov-16 |
|-----------------------|--------|--------|--------|--------|--------|------------------|-----------------|--------|--------|--------|--------|--------|--------|
| Placed for collection | - | - | - | - | - | 14,290 on 1 acct | 8,080 on 1 acct | - | - | - | - | - | - |
| Bad debt written off | - | - | - | - | - | - | - | - | - | - | - | - | - |

Total Amount Current and Past Due - 13 month trend from Nov 15 to Nov 16



| Status | Nov-15 | Dec-15 | Jan-16 | Feb-16 | Mar-16 | Apr-16 | May-16 | Jun-16 | Jul-16 | Aug-16 | Sep-16 | Oct-16 | Nov-16 |
|---------------------|---------|---------|---------|---------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| Total | 434,696 | 374,620 | 353,204 | 213,788 | 35,340 | 35,594 | 27,794 | 20,518 | 17,200 | 19,583 | 15,416 | 14,071 | 14,071 |
| Current | 90,296 | 68,294 | 78,606 | 23,905 | 20,158 | 17,918 | 12,256 | 13,029 | 8,276 | 10,432 | 9,610 | 7,542 | 7,542 |
| 1-30 Days Past Due | 81,374 | 27,285 | 4,264 | 54,290 | 6,692 | 7,347 | 8,573 | 2,724 | 3,846 | 3,840 | 1,702 | 1,918 | 1,918 |
| 31-60 Days Past Due | 17,380 | 81,511 | 24,528 | 5,903 | 6,723 | 5,295 | 969 | 984 | 399 | 313 | 127 | 595 | 595 |
| 61-90 Days Past Due | 106,996 | 58,880 | 106,806 | 128,465 | 414 | 3,505 | 1,119 | 957 | 984 | 399 | 174 | 105 | 105 |
| 90+ Days Past Due | 138,650 | 138,650 | 139,000 | 1,225 | 1,353 | 1,529 | 4,877 | 2,824 | 3,695 | 4,599 | 3,803 | 3,911 | 3,911 |

ATTACHMENT 2-

Disadvantage Business Enterprise Program Subcontractor Utilization Form

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

| | | | |
|--|--|---|--|
| Prime Contractor Name R.J. Industries, Inc. | | Project Name Bay Park STP Engine Generator Facility Auxiliary Improvements | |
| Bid/ Proposal No. S35121-16A | Assistance Agreement ID No. (if known) | Point of Contact Richard Felicetta, President | |
| Address PO BOX 349, Plainview, NY 11803 | | | |
| Telephone No. 516-845-9772 | | Email Address RFelicetta@rji.net | |
| Issuing/Funding Entity: | | | |

| I have identified potential DBE certified subcontractors | <input checked="" type="checkbox"/> YES | <input type="checkbox"/> NO | |
|---|---|-----------------------------|--------------------------|
| If yes, please complete the table below. If no, please explain: | | | |
| | | | |
| Subcontractor Name/ Company Name | Company Address/ Phone/ Email | Est. Dollar Amt | Currently DBE Certified? |
| LB Consulting Inc. | 296 Sport Hill Road Easton, CT 06612 Phone No.: 203-373-1195 Email: lboffa@lbconsulting.com | \$15,000.00 | WBE |
| FCS Group LLC. | 57-12 Grand Ave., 2nd Floor Maspeth, NY 11378 Phone No.: 516-599-4100 Email: nslng@fcsnewyork.com | \$19,500.00 | MBE |
| Metrofab Pipe Inc. | 15 Fairchild Court Plainview, NY 11803 Phone No.: 516-349-7373 Email: lizmetrofab@yahoo.com | \$65,000.00 | WBE |

Continue on back if needed

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

| | | | |
|--|--|---|--|
| Prime Contractor Name R.J. Industries, Inc. | | Project Name Bay Park STP Engine Generator Facility Auxiliary Improvements | |
| Bid/ Proposal No. S35121-16A | Assistance Agreement ID No. (if known) | Point of Contact Richard Feliceita, President | |
| Address PO BOX 349, Plainview, NY 11803 | | | |
| Telephone No. 516-845-9772 | | Email Address RFeliceita@rjl.net | |
| Issuing/Funding Entity: | | | |

| I have identified potential DBE certified subcontractors | <input checked="" type="checkbox"/> YES | <input type="checkbox"/> NO | |
|---|---|-----------------------------|--------------------------|
| If yes, please complete the table below. If no, please explain: | | | |
| | | | |
| Subcontractor Name/ Company Name | Company Address/ Phone/ Email | Est. Dollar Amt | Currently DBE Certified? |
| Callahan Industries, Inc. (Pending NYS WBE Approval) | 26 Wernan Ct. Plainview, NY 11803 Phone No.: 516-586-5549 Email: Jessica@CallahanPiping.com | \$302,000.00 | WBE |
| Halley Insulation Corp. | 815 Route 25A Rocky Point, NY 11778 Phone No.: 631-689-0450 Email: adonnelly@halleyinsulation.com | \$68,000.00 | WBE |
| | | | |

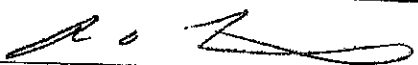
Continue on back if needed

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

| | |
|---|-------------------|
| Prime Contractor Signature | Print Name |
|  | Richard Felicetta |
| Title | Date |
| President | 11/22/2016 |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

This form is intended to capture the DBE¹ subcontractor's² description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractor's bid or proposal package.

| | | | |
|---|--|--|--|
| Subcontractor Name A. K. DE RAMA INDUSTRIAL CONTROL SYSTEMS, INC. | | Project Name BAY PARK WWTP ENGINE GEN S35121-16A-BPSTP | |
| Bid/ Proposal No. S35121-16A | Assistance Agreement ID No. (if known) | Point of Contact ANTONIO K. DE RAMA | |
| Address 253 Sheffield St. Mountainside NJ 07092 | | | |
| Telephone No. 908-789-1600 | | Email Address derama@aol.com | |
| Prime Contractor Name R.J. Industries, Inc. | | Issuing/Funding Entity: | |


| Contract Item Number | Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies | Price of Work Submitted to the Prime Contractor |
|---|--|---|
| SPEC SEC DIV 13 | INSTRUMENTATION & CONTROLS | |
| DBE Certified By: <input type="radio"/> DOT <input type="radio"/> SBA <input checked="" type="checkbox"/> Other: NY STATE ESD | | Meets/ exceeds BPA certification standards? <input checked="" type="checkbox"/> YES <input type="radio"/> NO <input type="radio"/> Unknown |

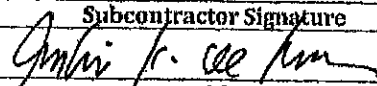
¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

| | |
|--|--|
| Prime Contractor Signature  | Print Name Richard Felicetta |
| Title President | Date 11/22/2016 |

| | |
|---|---|
| Subcontractor Signature  | Print Name ANTONIO K. DE RAMA |
| Title PRESIDENT | Date 11/21/16 |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

Brittany Pedenzin

From: Brittany Pedenzin
Sent: Wednesday, November 16, 2016 10:25 AM
To: Erin
Subject: Request for Quote - Bay Park Engine Generator Rebar
Attachments: EPA Form 6100-2 (DBE Subcontractor Participation Form) - Subs.pdf; EPA Form 6100-3 (DBE Subcontractor Performance Form).pdf

Good Morning,

We are requesting a quote for rebar for a union project we will be bidding on 11/22/2016, Bay Park Engine Generator Improvements. If you are interested in providing a quote, please do so. If you are not interested, please advise.

Here is the information to our FTP site where you can download the plans and specs, please see Bay Park Engine Generator Improvements, division 3. Please note that Internet Explorer is required to access the site.

<ftp://mail.rji.net>

Username: bids
Password: RJ!1bd#

Please note this project requires the same forms as the one that bid yesterday, attached. Please complete and return as we have to include them with our bid package.

Thank you!!

Brittany Pedenzin
R.J. Industries, Inc.
75 East Bethpage Rd.
Plainview, NY 11803
P: 516-845-9772 ext. 154
F: 516-843-8198
BPedenzin@rji.net

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Participation Form**

An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE¹ subcontractor² the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

| | | | |
|--|--|---|--|
| Subcontractor Name | | Project Name Bay Park STP Engine Generator Facility Auxiliary Improvements | |
| Bid/ Proposal No. S35121-16A | Assistance Agreement ID No. (if known) | Point of Contact | |
| Address | | | |
| Telephone No. | | Email Address | |
| Prime Contractor Name R.J. Industries, Inc. | | Issuing/Funding Entity: | |

| Contract Item Number | Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies | Amount Received by Prime Contractor |
|----------------------|--|-------------------------------------|
| | | |

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

ATTACHMENT 3-

Pre-Award Meeting Sign In Sheet

HAZEN AND SAWYER|ARCADIS
CONSTRUCTION MANAGEMENT OFFICE
PROGRAM MANAGEMENT SERVICES

Owner:

Date: 12/06/2016

NASSAU COUNTY
DEPARTMENT OF PUBLIC WORKS
DIVISION OF ENGINEERING

Time: 10:30 AM.

Place: BPSTP

[illegible]

COUNTY OF NASSAU
DEPARTMENT OF PUBLIC WORKS
Inter-Departmental Memo

TO: Civil Service Employees Association, Nassau Local 830
Att: Ronald Gurrieri, Executive Vice President

FROM: Department of Public Works

DATE: June 6, 2016

SUBJECT: CSEA Notification of a Proposed DPW Contract
Bay Park STP Engine Generator Facility Auxiliary Improvements
Construction Services
Proposed Contract No. S35121-16A

The following notification is to comply with the spirit and intent of Section 32 of the County/CSEA contract. It should not be implied that the proposed DPW authorization is for work, which has "historically and exclusively been performed by bargaining unit members."

1. DPW plans to recommend a contract/agreement for the following services:

General Construction services for improvements to the primary source engine generator cooling systems and natural gas systems at the Bay Park Sewage Treatment Plant (STP).

2. The work involves the following:

Scope of Work: This contract is to provide the necessary labor and materials associated with the construction of an additional primary engine cooling loop heat exchanger and a primary turbocharger cooling loop heat exchanger, and new natural gas compressor system.

3. An estimate of the cost is: \$2,620,000.00
4. An estimate of the duration is: Twelve (12) months

Should you wish to propose an alternative to the proposed contract/agreement, please respond within 10 days to: Department of Public Works, Att: Kenneth G. Arnold, Assistant to Commissioner, telephone 1-9607, fax 1-9657.



Kenneth G. Arnold
Assistant to Commissioner

KGA:WSN:JLD:rp

c: Christopher Fusco, Director, Office of Labor Relations
Brian Libert, Deputy Director, Office of Labor Relations
Keith Cromwell, Office of Labor Relations
William S. Nimmo, Deputy Commissioner
Joseph L. Davenport, Unit Head, Water/Wastewater Engineering Unit
Patricia Kivo, Unit Head, Human Resources Unit
Damon W. Urso, Sanitary Engineer III
Loretta V. Dionisio, Hydrogeologist II
Jonathan Lesman, Management Analyst II



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

**Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19180-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Richard O. Felicetta, President

Name and Title of Authorized Representative

m/d/yy

Signature

Date

R.J. Industries, Inc.

Name of Organization

75 East Bethpage Road; PO Box 349; Plainview, NY 11803

Address of Organization

Minority & Women Owned Business Enterprise (MWBE) Utilization Plan & Waiver Request Form
(Revised 09/2014)

SECTION 1: MUNICIPAL INFORMATION

| | | | |
|--|------------------|--------------------------------|-------------------------------------|
| Recipient/Municipality: Department of Public Works | | County: Nassau | |
| SRF Project No.: | CICP No.: | Contract ID: S35121-16A | Registration No. (NYC only): |
| Minority Business Officer: | | Email: | Phone #: |
| Address of MBO: | | | |
| Signature of MBO: (Required even if Authorized Rep. is filed out) <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief. <i>Complete if applicable: MBO may authorize representative to complete & submit quarterly payment reports.</i> | | | Date: |
| Authorized Representative: | | Title: | |
| Authorized Rep. Company: | | Email: | Phone #: |
| Electronic Signature of Authorized Rep.: <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief. | | | Date: |

SECTION 2: PRIME CONTRACTOR / SERVICE PROVIDER INFORMATION

| | | | | | |
|--|--------------------|-------------------------|--|----------------------|--|
| If contract is performed through an MWBE Joint Venture or Teaming Arrangement please submit the additional form found at www.effc.ny.gov/mwbe | | | | | |
| Firm Name: R.J. Industries, Inc. | | | Contract Type: <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Other Services | | |
| Prime Firm is Certified as: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input checked="" type="checkbox"/> N/A <input type="checkbox"/> Other: Please repeat information in the Utilization Plan below (Section 3). If dual certified, you must select either MBE or WBE. Address: PO BOX 349, Plainview, NY 11803 Phone #: 516-845-9772 Fed. Employer ID #: 11-3401288 | | | | | |
| Description of Work: Bay Park STP Engine Generator Facility Aux. Improvements | | | | | |
| Award Date: | Start Date: | Completion Date: | MWBE GOAL Total | | |
| Total Contract Amount: \$2,977,700.00 | | | MBE: % \$ | MBE: 2.83% | PROPOSED MWBE Participation |
| MWBE Eligible Contract Amount: \$ | | | WBE: % \$ | WBE: 14.44% | \$430,000.00 |
| (MWBE Goals are applied to this amount and includes all change orders, amendments, & waivers) | | | Total: 20.00% | \$ 595,540.00 | Total: 17.27% \$514,500.00 |
| If waivers are requested, documentation must be attached: <input type="checkbox"/> Full Waiver (No Participation) <input type="checkbox"/> Partial Waiver (Short of the MWBE Goal) | | | | | |
| <input type="checkbox"/> Specialty Equipment/Services Waiver (must be of SIGNIFICANT cost - list of equipment and cost & good faith effort documentation must be attached) <input checked="" type="checkbox"/> Electronic Signature of Contractor: I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and that all MWBE subcontractors will perform a commercially useful function. | | | | | |
| Name (Please Type): | | | | | Date: 12/2/2016 |

Minority & Women Owned Business Enterprise (M/WBE) Utilization Plan & Waiver Request Form
(Revised 09/2014)

SECTION 3: UTILIZATION PLAN

| | | | | | |
|---|--|---|--|--|----------|
| This Submittal is: | | <input checked="" type="checkbox"/> The First/Original Utilization Plan | | <input type="checkbox"/> Revised Utilization Plan #: | |
| NYS Certified M/WBE Contractor & Subcontractor Info (MBO to check certifications) | | | | | |
| Name: LB Consulting Inc. | | Fed. Employer ID#: 06-1415546 | | Contract Amount: | |
| Address: 296 Sport Hill Rd., Easton, CT 06612 | | Phone #: 203-373-1195 | | MBE (\$) | WBE (\$) |
| Scope of Work: Scheduling | | Email: lboffa@lbconsulting.com | | 15,000.00 | |
| Select Only One: <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other: | | Start Date: | | | |
| Full Contract Amount: \$ | | Completion Date: | | | |
| Name: FCS Group LLC. | | Fed. Employer ID#: 37-1462733 | | | |
| Address: 57-12 Grand Ave., Maspeth, NY 11378 | | Phone #: 516-599-4100 | | | |
| Scope of Work: Painting | | Email: usingh@fcsnewyork.com | | 19,500.00 | |
| Select Only One: <input checked="" type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: | | Start Date: | | | |
| Full Contract Amount: \$ | | Completion Date: | | | |
| Name: PCS Pump and Process | | Fed. Employer ID#: | | | |
| Address: 41 Plymouth St., Fairfield, NJ 07004 | | Phone #: 973-575-7464 | | | |
| Scope of Work: I&C | | Email: plabone@pcspump.com | | 65,000.00 | |
| Select Only One: <input checked="" type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: | | Start Date: | | | |
| Full Contract Amount: \$ | | Completion Date: | | | |
| Name: Callahan Industries, Inc. (Pending NYS Approval) | | Fed. Employer ID#: | | | |
| Address: 26 Wernan Ct., Plainview, NY 11803 | | Phone #: 516-586-5549 | | | |
| Scope of Work: | | Email: Jessica@CallahanPiping.com | | 302,000.00 | |
| Select Only One: <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other: | | Start Date: | | | |
| Full Contract Amount: \$ | | Completion Date: | | | |
| Name: Hailey Insulation Corp. | | Fed. Employer ID#: 11-3268981 | | | |
| Address: 815 Route 25A, Rocky Point, NY 11778 | | Phone #: 631-689-0450 | | | |
| Scope of Work: Mech. Insulation | | Email: adonnely@haileyinsulation.com | | 68,000.00 | |
| Select Only One: <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other: | | Start Date: | | | |
| Full Contract Amount: \$ | | Completion Date: | | | |

Minority & Women Owned Business Enterprise (M/WBE) Utilization Plan & Waiver Request Form
(Revised 09/2014)

| NYS Certified M/WBE Contractor & Subcontractor Info (MBO to check certifications) | | Contract Amount: | | For EFC Use: |
|---|------------------------------|------------------|-----------|--------------|
| | | MBE (\$) | WBE (\$) | |
| Name: Turtle & Hughes Inc. | Fed. Employer ID#: 13-444820 | | | |
| Address: 1900 Lower Rd, Linden, NJ 07036 | Phone #: 732-574-3600 | | | |
| Scope of Work: Electrical Supplies | Email: jszoke@turtle.com | | 45,000.00 | |
| Select Only One: <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other: | Start Date: | | | |
| Full Contract Amount: \$ | Completion Date: | | | |
| Name: | Fed. Employer ID#: | | | |
| Address: | Phone #: | | | |
| Scope of Work: | Email: | | | |
| Select Only One: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: | Start Date: | | | |
| Full Contract Amount: \$ | Completion Date: | | | |
| Name: | Fed. Employer ID#: | | | |
| Address: | Phone #: | | | |
| Scope of Work: | Email: | | | |
| Select Only One: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: | Start Date: | | | |
| Full Contract Amount: \$ | Completion Date: | | | |
| Name: | Fed. Employer ID#: | | | |
| Address: | Phone #: | | | |
| Scope of Work: | Email: | | | |
| Select Only One: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: | Start Date: | | | |
| Full Contract Amount: \$ | Completion Date: | | | |
| Name: | Fed. Employer ID#: | | | |
| Address: | Phone #: | | | |
| Scope of Work: | Email: | | | |
| Select Only One: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: | Start Date: | | | |
| Full Contract Amount: \$ | Completion Date: | | | |

Additional Pages can be found under M/WBE Materials at www.efc.ny.gov/mwbe

FORM OF BID BOND

IMPORTANT The bidder shall instruct the Surety Company to USE THIS FORM PROVIDED as the use of ANY OTHER FORM may cause rejection of the bid.

KNOW ALL MEN BY THESE PRESENTS,

that we, the undersigned R.J. Industries, Inc., 75 East Bethpage Road, P.O. Box 349, Plainview, NY 11803
Liberty Mutual Insurance Company
as Principal; and 175 Berkeley Street, Boston, MA 02116 as surety, who
is Licensed to do business in the State of New York, are hereby firmly
bound unto the County of Nassau in the penal sum of

Ten Percent of Proposal Price dollars (\$ 10% of P.P.) for the payment
of which, well and truly to be made, we hereby jointly and severally
bind ourselves, our heirs, executors, administrators, successors and
assigns.

Signed, this 14th day of November, 20 16

The conditions of the above obligation is such that whereas the
Principal has submitted to the County of Nassau a certain Bid attached
hereto and hereby made a part hereof, to enter into a contract in
writing for the work under Contract No. S35121-16A for the
Bay Park Sewage Treatment Plant Engine Generator Facility Auxillary Improvements. Capital Project S35121
Town of Hempstead, New York. Contract No.: S35121-16A - General Construction

NOW, THEREFORE, the conditions of this obligation are such that if the
Principal shall not withdraw said proposal except by mutual consent of
the County of Nassau within a period of forty-five (45) days after the
opening of bids and in the event of acceptance of the Principal's
proposal, if the Principal shall,

- a. when notified by the County, execute all necessary counterparts of
the contract as set forth in the contract documents in accordance
with the proposal as accepted; and
- b. furnish bonds and other security as specified in the contract
documents for the faithful performance and proper fulfillment of such
contract, which bonds or other security shall be satisfactory in all
respects to the County; and
- c. in all respects, comply with the provisions set forth in the
invitation to bid; or if the County of Nassau shall reject the
aforesaid proposal for a reason other than the Principal's failure
to satisfy the County that he has the necessary skill, experience
and liquid assets required for the contract as stated in the
documents aforesaid, then this obligation shall be null and void;
otherwise to remain in full force and effect.

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• Provided, however, that this bond is subject to the following additional conditions and limitations.

a. In the event that the Principal fails to submit a financial statement when required by the County or in the event that an examination of the Principal indicates to the County that the Principal does not meet the financial requirements required by the County, the undersigned will, upon demand, pay to the County of Nassau, as liquidated damages for the Principal's failure to meet such requirements, a sum equal to the amount that would have been required by a certified check if the same were delivered in accordance with the provisions of the contract documents and specifications herein stated.

b. In case the Principal shall default in the performance of any provision the undersigned will upon demand pay to the County of Nassau the full amount of the damages sustained by the County of Nassau by reason of such default, except however, it is expressly understood and agreed that the liability of the surety for any and all claims hereunder shall in no event exceed the amount of this obligation as herein stated.

The Surety, for value received, hereby stipulates and agrees that the obligation of said Surety and its bond shall be in no way impaired or affected by any extension of time within which the County of Nassau may accept such Bid; and said Surety does hereby waive notice of any such extension.

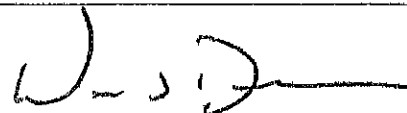
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IN WITNESS WHEREOF, the Principal and the Surety have hereunto set their hands and seals, and such of them as are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

R.J. Industries, Inc.

Contractor

by



(L.S.)

(Corporate seal of Contractor

Title if a corporation)

William J. Doremus,

Secretary-Treasurer

by

(L.S.)

Title

by

(L.S.)

Title

Liberty Mutual Insurance Company

Surety

by



(L.S.)

Title of Officer Dana Granice, Attorney-In-Fact

Witness:

~~XXXXXXX~~



(L.S.)

Grace Ackerson

(Corporate seal of Surety)

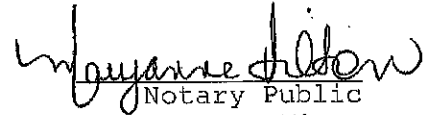
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(Acknowledgment by Contractor if a corporation)

STATE OF New York)

ss.:
COUNTY OF Nassau)

On this 22nd day of November, 2016, before me personally came William J. Doremus to me known, who, being by me duly sworn, did depose and say for himself, that he resides in Suffolk County, NY that he is the Sec-Treas of the R.J. Industries, Inc. the corporation described in, and which executed the foregoing instrument; that he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation, and that he signed his name thereto by like order.


Notary Public

MARYANNE HILTON
Notary Public, State of New York
No. 01H18213068
Qualified in Nassau County
Commission Expires November 02, 20

(Acknowledgment by Contractor if a partnership)

STATE OF _____)

ss.:
COUNTY OF _____)

On this _____ day of _____, 20____, before me personally came _____ to me known and known to me to be a member of the firm described in and which executed the foregoing bond or obligation, and he acknowledged to me that he subscribed the name of said firm thereto on behalf of said firm for the purpose therein mentioned.

Notary Public

(Acknowledgment by Contractor if an individual.)

STATE OF _____)

ss.:
COUNTY OF _____)

On this _____ day of _____, 20____, before me personally came _____ to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged that he executed the same.

Notary Public

NO TEXT ON THIS PAGE

(Acknowledgment by Surety Company)

STATE OF New York)

ss.:

COUNTY OF Nassau)

On this 14th day of November, 2016, before me personally came Dana Granice to me Known, who being by me duly sworn, did depose and say that he resides in Suffolk County, New York.

that he is the Attorney-In-Fact of the Liberty Mutual Insurance Company, the corporation described in and which executed the within instrument; that he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by the order of the Board of Directors of said corporation, and that he signed his name thereto by like order; and that the liabilities of said company do not exceed its assets as ascertained in the manner provided by the laws of the State of New York, and the said Desiree Cardlin further said that he is acquainted with Dana Granice and knows him to be the Attorney-In-Fact of said company; that the signature of the said Dana Granice subscribed to the within instrument is in the genuine handwriting of the said Dana Granice and was subscribed thereto by like order of the Board of Directors, and in the presence of him, the said Desiree Cardlin.


Notary Public

DESIREE CARDLIN
Notary Public, State of New York
No. 01CA6150043
Qualified in Suffolk County
Commission Expires 07/24/2018

NO TEXT ON THIS PAGE

POWER OF ATTORNEY

ATTENTION: Insert the "Power of Attorney" after this page in with your bid submission.

THIS POWER OF ATTORNEY IS NOT VALID UNLESS IT IS PRINTED ON RED BACKGROUND.

This Power of Attorney limits the acts of those named herein, and they have no authority to bind the Company except in the manner and to the extent herein stated.

Certificate No. 7513455

Liberty Mutual Insurance Company
The Ohio Casualty Insurance Company West American Insurance Company

POWER OF ATTORNEY

KNOWN ALL PERSONS BY THESE PRESENTS: That The Ohio Casualty Insurance Company is a corporation duly organized under the laws of the State of New Hampshire, that Liberty Mutual Insurance Company is a corporation duly organized under the laws of the State of Massachusetts, and West American Insurance Company is a corporation duly organized under the laws of the State of Indiana (herein collectively called the "Companies"), pursuant to and by authority herein set forth, does hereby name, constitute and appoint, Camille Maitland; Colette R. Chisholm; Dana Graniger; Desiree Cardin; George O. Brewster; Gerard S. Macbeal; Leo Ferrucci; Mia Woo-Warren; Michelle Wannamaker; Nelly Renschlich; Peter F. Jones; Rita Saglano; Robert T. Pearson; Susan Lipski; Thomas Bean; Vincent A. Walsh

all of the city of Unlondale, state of NY, each individually if there be more than one named, its true and lawful attorney-in-fact to make, execute, seal, acknowledge and deliver, for and on its behalf as surety and as its act and deed, any and all undertakings, bonds, recognizances and other surety obligations, in pursuance of these presents and shall be as binding upon the Companies as if they have been duly signed by the president and attested by the secretary of the Companies in their own proper persons.

IN WITNESS WHEREOF, this Power of Attorney has been subscribed by an authorized officer or official of the Companies and the corporate seals of the Companies have been affixed thereto this 19th day of October, 2016.



The Ohio Casualty Insurance Company
Liberty Mutual Insurance Company
West American Insurance Company

By: David M. Carey
David M. Carey, Assistant Secretary

STATE OF PENNSYLVANIA ss
COUNTY OF MONTGOMERY

On this 19th day of October, 2016, before me personally appeared David M. Carey, who acknowledged himself to be the Assistant Secretary of Liberty Mutual Insurance Company, The Ohio Casualty Company, and West American Insurance Company, and that he, as such, being authorized so to do, execute the foregoing instrument for the purposes therein contained by signing on behalf of the corporations by himself as a duly authorized officer.

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed my notarial seal at King of Prussia, Pennsylvania, on the day and year first above written.



COMMONWEALTH OF PENNSYLVANIA
Notarial Seal
Teresa Pastella, Notary Public
Upper Merion Twp., Montgomery County
My Commission Expires March 28, 2017
Member, Pennsylvania Association of Notaries

By: Teresa Pastella
Teresa Pastella, Notary Public

This Power of Attorney is made and executed pursuant to and by authority of the following By-laws and Authorizations of The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company which resolutions are now in full force and effect reading as follows:

ARTICLE IV - OFFICERS - Section 12. Power of Attorney. Any officer or other official of the Corporation authorized for that purpose in writing by the Chairman or the President, and subject to such limitation as the Chairman or the President may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Corporation to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact, subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Corporation by their signature and execution of any such instruments and to attach thereto the seal of the Corporation. When so executed, such instruments shall be as binding as if signed by the President and attested to by the Secretary. Any power or authority granted to any representative or attorney-in-fact under the provisions of this article may be revoked at any time by the Board, the Chairman, the President or by the officer or officers granting such power or authority.

ARTICLE XIII - Execution of Contracts - SECTION 6. Surety Bonds and Undertakings. Any officer of the Company authorized for that purpose in writing by the chairman or the president, and subject to such limitations as the chairman or the president may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Company by their signature and execution of any such instruments and to attach thereto the seal of the Company. When so executed such instruments shall be as binding as if signed by the president and attested by the secretary.

Certificate of Designation - The President of the Company, acting pursuant to the Bylaws of the Company, authorizes David M. Carey, Assistant Secretary to appoint such attorneys-in-fact as may be necessary to act on behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations.

Authorization - By unanimous consent of the Company's Board of Directors, the Company consents that facsimile or mechanically reproduced signature of any assistant secretary of the Company, whenever appearing upon a certified copy of any power of attorney issued by the Company in connection with surety bonds, shall be valid and binding upon the Company with the same force and effect as though manually affixed.

I, Renee C. Lowell, the undersigned, Assistant Secretary, The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company do hereby certify that the original power of attorney of which the foregoing is a full, true and correct copy of the Power of Attorney executed by said Companies, is in full force and effect and has not been revoked.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the seals of said Companies this NOV 14 2016 day of NOV 14 2016, 2016.



By: Renee C. Lowell
Renee C. Lowell, Assistant Secretary

Not valid for mortgage, note, loan, letter of credit, currency rate, interest rate or residual value guarantees.

To confirm the validity of this Power of Attorney call: 1-800-892-0920 between 9:00 am and 4:30 pm EST on any business day.

NO TEXT ON THIS PAGE

FINANCIAL STATEMENT

ATTENTION: Insert the "Financial Statement" after this page in with your bid submission.



LIBERTY MUTUAL INSURANCE COMPANY
FINANCIAL STATEMENT — DECEMBER 31, 2015

| Assets | | Liabilities | |
|--|-------------------------|--|-------------------------|
| Cash and Bank Deposits | \$753,038,641 | Unearned Premiums | \$6,580,520,311 |
| *Bonds — U.S Government | 1,547,613,446 | Reserve for Claims and Claims Expense | 16,917,138,677 |
| *Other Bonds | 11,088,162,545 | Funds Held Under Reinsurance Treaties | 210,794,503 |
| *Stocks | 9,919,835,033 | Reserve for Dividends to Policyholders | 358,033 |
| Real Estate | 295,926,247 | Additional Statutory Reserve | 29,659,093 |
| Agents' Balances or Uncollected Premiums | 4,487,501,643 | Reserve for Commissions, Taxes and | |
| Accrued Interest and Rents | 120,872,424 | Other Liabilities | 2,789,478,276 |
| Other Admitted Assets | 14,130,266,527 | Total | \$26,527,948,893 |
| | | Special Surplus Funds | \$67,890,944 |
| | | Capital Stock | 10,000,000 |
| | | Paid in Surplus | 8,829,183,823 |
| | | Unassigned Surplus | 6,908,192,846 |
| | | Surplus to Policyholders | 15,815,267,613 |
| Total Admitted Assets | \$42,343,216,506 | Total Liabilities and Surplus | \$42,343,216,506 |



* Bonds are stated at amortized or investment value; Stocks at Association Market Values.
The foregoing financial information is taken from Liberty Mutual Insurance Company's financial statement filed with the state of Massachusetts Department of Insurance.

I, TIM MIKOLAJEWSKI, Assistant Secretary of Liberty Mutual Insurance Company, do hereby certify that the foregoing is a true, and correct statement of the Assets and Liabilities of said Corporation, as of December 31, 2015, to the best of my knowledge and belief.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of said Corporation at Seattle, Washington, this 15th day of March, 2016.

TAMikolajewski

Assistant Secretary

NO TEXT ON THIS PAGE

CERTIFICATE OF SOLVENCY

ATTENTION: Insert the "Certificate of Solvency" after this page in with your bid submission.

STATE OF NEW YORK
DEPARTMENT OF FINANCIAL SERVICES

**CERTIFICATE OF SOLVENCY UNDER SECTION 1111 OF THE NEW YORK
INSURANCE LAW**

It is hereby certified that

LIBERTY MUTUAL INSURANCE COMPANY
Of Boston, Massachusetts

a corporation organized under the laws of the State of Massachusetts and duly authorized to transact the business of insurance in this State, is qualified to become surety or guarantor on all bonds, undertakings, recognizances, guaranties and other obligations required or permitted by law; and that the said corporation is possessed of a capital and surplus including gross paid-in and contributed surplus and unassigned funds (surplus) aggregating the sum of \$15,815,267,613.(Capital \$ 10,000,000.) as is shown by its sworn financial statement for the year ended December 31, 2015, on file in this Department, prior to audit.

The said corporation cannot lawfully expose itself to loss on any one risk or hazard to an amount exceeding 10% of its surplus to policyholders, unless it shall be protected in excess of that amount in the manner provided in Section 4118 of the Insurance Law of this State.



In Witness Whereof, I have here-
unto set my hand and affixed the
official seal of this Department
at the City of Albany, this 15th
day of March, 2016.

Maria T. Vullo
Acting Superintendent

By *Jacqueline Catalfamo*

Jacqueline Catalfamo
Special Deputy Superintendent

NO TEXT ON THIS PAGE



NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS

WICKS EXEMPT LIST OF SUBCONTRACTORS

CONTRACT NO. **S35121-16A**

NOTE: This form is required for "Single-Contract" projects exempt from the Wicks law. Failure to submit this form correctly may render the bidder non responsive.

| | | | |
|---|---|-------------------------------|---|
| Contractor's Name and Address R.J. Industries, Inc. 75 E. Bethpage Road Plainville, NY 11803 Federal ID No.: 11-3401288 | Project Description (Project Title, Facility Name and Address): Bay Park STP Engine Generator Facility, ApX. Improvements | Bid Dates: 11/22/16 | Total Contract Amt: \$2,977,700.- |
|---|---|-------------------------------|---|

Indicate ANY work to be self-performed by the contractor in the following categories (check all that apply):

- ☒ Plumbing and Gas Fitting
☒ Steam Heating, Hot Water Heating, Ventilating and AC Apparatus Electric Wiring and Standard Illuminating Fixtures

If ALL contract work is to be self-performed, i.e. no subcontractors will be used, please check this box [] skip to bottom of form, and sign it as required.

| Check () only one. | | | | General Description of Work | Subcontractor's Contract Amt. |
|---|--------------------------|--|--|-------------------------------|-------------------------------|
| Subcontractor's Name, Address and Federal ID No. | Plumbing and Gas Fitting | Steam Heating, Hot Water Heating, Ventilating and AC Apparatus | Electric Wiring and Standard Illuminating Fixtures | | |
| Dona Electric Corp. Fermingdale, NY Federal ID No. | | | \$380,000.- | Electrical Subcontract | \$380,000.- |
| Federal ID No. | | | | | |
| Federal ID No. | | | | | |
| Federal ID No. | | | | | |

This form must be filled out completely and legibly, signed by a company authorized representative and included in a separate, sealed envelope within the bid envelope. Use and additional page if needed.

Failure to complete this form accurately and in its entirety, may result in a non responsive bid determination.

Company Authorized Signature:

Title: **Richard O. Pellicetta**

Date: **Nov. 22, 2016**

NO TEXT ON THIS PAGE

GENERAL CONSTRUCTION

COUNTY OF NASSAU
STATE OF NEW YORK

PROPOSAL

FOR

BAY PARK STP
ENGINE GENERATOR FACILITY AUXILIARY IMPROVEMENTS

Contract No. S35121-16A

GENERAL CONSTRUCTION

TO THE COUNTY OF NASSAU:

Pursuant to and in compliance with your Notice to Bidders and the Instructions to Bidders relating thereto, the undersigned hereby proposes to furnish all plant, labor, materials, supplies, equipment and other facilities necessary or proper for or incidental to the above Contract, as required by and in strict accordance with the Plans and Specifications for the amount named in the Proposal hereinafter described.

In making this Proposal the Bidder hereby declares that all provisions of the Addenda which have been issued by the County of Nassau have been complied with in preparing his Bids.

Name of Bidder: R. J. Industries, Inc.

Bidder: SUB S-CORP

(Individual, Firm or Corporation, as case may be)

Bidder's Business Address: 75 East Bethpage Road ; PO Box 349
PLAINVIEW, NY 11803

Telephone: 516-845-9772

Date of Bid: Nov. 22, 2016

Fax: 516-454-1759

E-Mail: sid@jill.net

++ NO TEXT ON THIS PAGE ++

(If Bidder is an Individual, fill in the following blanks:)

Name of Individual: _____

Residence of Individual: _____

(If Bidder is a Firm, fill in the following blanks:)

Name and Residence of Partner: _____

Name and Residence of Partner: _____

Name and Residence of Partner: _____

(If Bidder is a Corporation, fill in the following blanks:)

Organized under the laws of the State of: New York

Name and Residence of President: Richard O. Felibetta

Name and Residence of Vice-President: John C. Doremus

Name and Residence of Secretary: William J. Doremus

Name and Residence of Treasurer: Vice President John E. Kozlars

19 [redacted] [redacted] [redacted]

GENERAL CONSTRUCTION

THE BIDDER AFFIRMS AND DECLARES:

1. That the above Bidder is of lawful age and the only one interested in this bid; and that no other person, firm or corporation, except those herein named, has any interest in this bid or in the Contract proposed to be entered into.
2. That this bid is made without any understanding, agreement or in connection with any other person, firm or corporation, making a bid for the same Work, and is in all respects fair and without collusion or fraud.
3. That said Bidder is not in arrears to the County of Nassau upon debt or contract, and is not a defaulter, as surety contractor or otherwise.
4. That no officer or employee of the County of Nassau, or person whose salary is payable in whole or in part from the County Treasury is, shall be, or become interested directly, or indirectly as a contracting party, partner, stockholder, surety or otherwise, in this bid, or in the performance of the Contract, or in the supplies, materials, equipment and work or labor to which it relates, or in any portion of the profits thereof.
5. That he has carefully examined the Site of the Work and that, from his own personal investigations and research, has satisfied himself as to the nature and location of the work, the character, quality and quantity of existing materials, all difficulties likely to be encountered, the kind and extent of labor, equipment, other facilities needed for the performance of the Work, the general and local conditions, and all other items which may, in any way, affect the Work or its performance.
6. The Bidder also declares that he has carefully examined and fully understands all the component parts of this Contract, that the Work can be performed as called for by the Contract, that he will execute the Contract and will completely perform it in strict accordance with its terms for the following prices.
7. That the Bidder, for allowance items, will make payment to the parties designated by the County when directed by the County in the amount certified by the Engineer for the purposes indicated. It is also understood and agreed that the Final Contract Payment for allowance items will be based upon such actual payments, and not on the approximate amount cited herein.
8. Where the work performed under this Contract involves a trade or occupation licensed in the County of Nassau by the Towns of Hempstead, Oyster Bay or North Hempstead or by the Cities of Glen Cove or Long Beach, the contractor shall be required to have such a license.

I. Rejection of Bids.

A. The Commissioner may recommend a reject of bid if:

1. The Bidder fails to furnish any of the information required by the bid documents; or if
2. The bidder misstates or conceals any material fact in the bid, or in the sworn written statement; or if
3. The bid does not strictly conform to law or the requirements of this contract; or if
4. The bid is conditional; or if
5. The bid on Unit Price Contracts, in the opinion of the Commissioner, contains unbalanced bid prices, where the unit price proposed for any item exceeds the estimated cost by more than fifteen percent (15%), or if any lump sum item bid exceeds the estimated cost by more than twenty-five percent (25%); or if
6. A determination that the bidder is not responsible is made in accordance with law.

B. Rejection of all bids and waiver of informalities.

The Commissioner, however, reserves the right to recommend / to reject all bids whenever he deems it in the best interest of the County, and also the right to waive any informalities in a bid.

II. Unit Price Contracts, Comparison of Bids.

Bids on Unit Price Contracts will be compared on the basis of a total bid price, arrived at by taking the sum of the Approximate Quantities of such item multiplied by the corresponding Unit Price, and including any Lump Sum Bid on individual items, in accordance with the items set forth in the bid proposal.

Bidders are warned that the Approximate Quantities of the various items of work and material is estimated only, and is given solely to be used as a uniform basis for the comparison of bids. The quantities actually required to complete the contract work may be more or less than estimated.

III. Lump Sum Contracts, Comparison of Bids.

Bids on lump Sum Contracts will be compared on the basis of the Lump Sum Price bid adjusted for alternate prices bid, if any.

IV. Apprenticeship Training Program

For all contracts in excess of \$500,000 attach here verification letter regarding your firm's having an approved State of New York Apprenticeship Training Program.

**JOINT APPRENTICESHIP COMMITTEE OF
PLUMBERS LOCAL NO. 200**

DANNY GRODOTZKE
CO-CHAIRMAN

375 CENTRAL AVENUE
BOHEMIA, NEW YORK 11716
PHONE 631-567-3083
FAX 631-210-0033
local200jac@optonline.net
Training Coordinator
Keith Gordon

FRANK COLASURDO
CO-CHAIRMAN

November 11, 2016

Bay Park STP; Level 1 BNR Improvements

Contract No. S35123-L39G; General Construction

To Whom It May Concern:

Please be advised that R.J. Industries Inc. is signatory to a Collective Bargaining Agreement with Plumbers Local Union #200 and is a contractor in good standing.

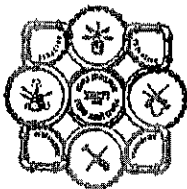
Plumbers Local Union #200 has an apprenticeship Training Program (Sponsor Code 00337, ATP Code 13180) that is approved and recognized by both the federal Department of Labor and the New York State Department of Labor. Being signatory to our agreements, R.J. Industries Inc. may, at their discretion, employ apprentices that are indentured in our program.

If you have any questions regarding the Apprenticeship Training Program of Plumbers Local Union #200, please contact me at any time.
If you have any questions, please feel free to contact me.

Sincerely,



Keith Gordon
Training Coordinator



| ITEM NO. | APPROXIMATE QUANTITIES | ITEMS WITH UNIT PRICE WRITTEN IN WORDS | UNIT BID PRICE | | AMOUNT BID PRICE | |
|----------|------------------------|--|----------------|-------|------------------|-------|
| | | | DOLLARS | CENTS | DOLLARS | CENTS |
| 1 | Lump Sum | <p>Base Bid for furnishing all labor, materials, equipment and incidentals required for all work as shown on the Drawings and as described in Specifications and appendices and not included in the unit prices and allowances listed below.</p> <p><i>Two Million, Eight hundred and forty two thousand, seven hundred dollars + no</i></p> | N/A | N/A | \$2,842,700 | -- |
| 2 | 1 ea. | <p>ADAMSON Engine Cooling Loop Heat Exchanger (Serial #HE-1098-DD) provided by ADAMSON GLOBAL TECHNOLOGY CORPORATION. Includes 2 - 3" flanged nozzles for flushing connection, freight, and spare parts.</p> <p>Fifty-Five Thousand Dollars and No Cents</p> | \$55,000. | 00 | \$55,000. | 00 |

| | | | | | | |
|--|-------|---|-----------------|----|-----------|----|
| 3 | 1 ea. | ADAMSON Turbocharger Cooling Loop Heat Exchanger (Serial #HE-1100-DD) provided by ADAMSON GLOBAL TECHNOLOGY CORPORATION. Includes 2 - 3" flanged nozzles for flushing connection, freight, and spare parts. | \$80,000. | 00 | \$80,000. | 00 |
| | | Eighty Thousand Dollars and No Cents | | | | |
| | | DOLLARS | | | | |
| | | CENTS | | | | |
| TOTAL BID AMOUNT (Sum of Bid Item Nos. 1 thru 3): | | | \$ 2,977,700.00 | | | |
| TOTAL BID AMOUNT (Sum of Bid Item Nos. 1 thru 3): MUST BE WRITTEN IN WORDS: | | | | | | |
| Two Million, Nine hundred and Seventy Seven thousand, Seven hundred dollars and no | | | | | | |
| DOLLARS | | | CENTS | | | |

DETERMINATION OF LOW BID: Determination of low Bid will be made by comparing the total Bid which shall include the lump sum Base Bid price, unit price totals and allowances.

MAJOR EQUIPMENT ITEMS: The Bidder shall fill the name and address of the proposed system suppliers for the major equipment items tabulated hereinafter. It is expressly understood that the furnishing of this information will not relieve the Bidder of any requirements of the Contract Documents and failure to fill out properly is grounds for rejection.

| <u>Specification Number</u> | <u>Description</u> | <u>Manufacturer or/or Supplier</u> |
|-----------------------------|---|---|
| 11545 | ADAMSON Engine Cooling Loop Heat Exchanger (Serial #HE-1098-DD) | ADAMSON GLOBAL TECHNOLOGY CORPORATION |
| 11545 | ADAMSON Turbocharger Cooling Loop Heat Exchanger (Serial #HE-1100-DD) | ADAMSON GLOBAL TECHNOLOGY CORPORATION |
| 11377 | Service Air and Starting Air Compressors | RG Plant Systems or Scales Equipment or Ingersoll Rand or Equal |
| 11541 | Rotary Sliding Vane Compressors for Natural Gas Service | RO-FLO Compressors or Universal Air + Gas Comp or Equal |

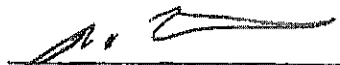
IRAN DIVESTMENT ACT - CERTIFICATION

Pursuant to New York State Finance Law §165-a, Iran Divestment Act of 2012, the Office of General Services is required to post on its web site <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> a list of persons who have been determined to engage in investment activities in Iran ("the List"), as defined in that Act. Under Public Authorities Law § 2879-c, Iranian Energy Sector Divestment, the Authority, may not enter into or award a Contract unless it obtains a certification from a Bidder, who shall check the box and make the certification in Subparagraph a, below, that they are not on the List. If that certification cannot be made, the Authority may consider entering into a Contract, on a case by case basis if the Bidder checks the box and makes the certification in Subparagraph b, below, that their Iran investment is ceasing.

For purposes of this provision, a person engages in investment activities in Iran if: (A) the person provides goods or services of twenty million dollars or more in the energy sector of Iran, including a person that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or (B) the person is a financial institution that extends twenty million dollars or more in credit to another person, for forty-five days or more, if that person will use the credit to provide goods or services in the energy sector in Iran.

The Certification is as follows:

- ☒ a. Certification that the Bidder is not on the List: Each person, where person means natural person, corporation, company, limited liability company, business association, partnership society, trust, or any other nongovernmental entity, organization, or group, and each person signing on behalf of any other party, certifies, and in the case of a joint bid or proposal or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law, or,
- ☐ b. Certification that the Bidder's investment in Iran is ceasing: The person cannot make the certification in Subparagraph a, above, but asks the Authority to consider them for award of the Contract by certifying, under penalty of perjury, that the person's investment activities in Iran were made before April 12, 2012; the person's investment activities in Iran have not been expanded or renewed after April 12, 2012; and the person has adopted, publicized and is implementing a formal plan to cease its investment activities in Iran and to refrain from engaging in any new investments in Iran.


Signature/Date

Richard O. Felicette
Print Name and Position

President

MacBride Fair Employment Principles

NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND:

MACBRIDE FAIR EMPLOYMENT PRINCIPLES

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either: (answer yes or no to one or both of the following, as applicable),

(1) have business operations in Northern Ireland,

Yes ___ No X

If yes:

(2) shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of their compliance with such Principles.

Yes ___ No ___


(Contractor's Signature)

R.I. Industries, Inc.
(Name of Business)

Richard O. Felicketta,
President

GENERAL CONSTRUCTION

PROPOSAL: For all work in accordance with the drawings and specifications:

Bidder: R.J. Industries, Inc.
(Individual, Firm or Corporation, as case may be)

Individual's Social Security No.: _____

Federal ID No: 11-340 1288

Municipal License ID Number: _____

Municipal Licensing Agency: _____

By: [Signature] Date: Nov. 22, 2016
(Signature of Individual, Partner or Corporate Officer)

(Print): Richard O. Felicetta Title: President

WHERE BIDDER IS A CORPORATION, ADD

ATTEST:

[Signature]
Secretary
William J. Dornicus

(CORPORATE)
(SEAL)

GENERAL CONSTRUCTION

Note: The Bids shall be sworn to by the person signing them, in one of the following forms:

(Form of Affidavit where Bidder is an Individual)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

_____. Being duly sworn,
deposes and says: That he is the person described in and who executed the foregoing Bid
and that the several matters therein stated are in all respects true.

Subscribed and sworn to before me

This _____ day of _____ 20_____.

Notary Public

(Form of Affidavit where Bidder is a Firm)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

_____. Being duly sworn,
deposes and says: That he is a member of _____, the
firm described in and which executed the foregoing Bid; that he duly subscribed the name of
the firm thereunto on behalf of the firm; and that the several matters therein stated are in all
respects true.

Subscribed and sworn to before me

This _____ day of _____ 20_____.

Notary Public

GENERAL CONSTRUCTION

(Form of Affidavit where Bidder is a Corporation)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Richard O. Felicetta Being duly sworn,
deposes and says: That he resides at Suffolk County, NY, that
he is the President of the corporation described
in and which executed the foregoing instrument; that he knows the seal of said corporation;
that the seal affixed to the said instrument is such corporate seal and was affixed by order of
the Board of Directors of said corporation; that he affixed his name thereto by like order; and
that he has knowledge of the several matters therein stated and they are in all respects true.
Subscribed and sworn to before me
This 22nd day of November 20 16.

Maryanne Hilton
Notary Public

MARYANNE HILTON
Notary Public, State of New York
No. 01H0213068
Qualified in Nassau County
Commission Expires November 02, 2017


**AGREEMENT TO ABIDE BY EQUAL EMPLOYMENT OPPORTUNITY
POLICY STATEMENT REQUIREMENTS
NEW YORK STATE REVOLVING FUND (SRF)**

I, Richard O. Felicity, am the authorized representative of R.J. Industries, Inc.
Name of Representative Name of Contractor/Service Provider
I hereby certify that R.J. Industries, Inc. will abide by the equal employment
Name of Contractor/Service Provider
opportunity (EEO) policy statement provisions outlined below.

- (i) A statement that the contractor will not discriminate on the basis of race, creed, color, national origin, sex, age, disability, or marital status against any employee or applicant for employment, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination and will make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on contracts relating to the Project.
- (ii) An agreement that all of contractor's solicitations or advertisements for employees will state that, in the performance of the contract relating to this Project, all qualified applicants will be afforded equal employment opportunities without discrimination on the basis of race, creed, color, national origin, sex, age, disability or marital status.
- (iii) An agreement to request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein.
- (iv) An agreement to comply with the provisions of the Human Rights Law (Article 15 of the Executive Law), including those relating to non-discrimination on the basis of prior criminal conviction and prior arrest, and with all other State and federal statutory constitutional non-discrimination provisions.

Blank EEO Policy Statements are available at www.efc.ny.gov/mwbe, if needed.

If contractor fails to submit to Recipient an EEO policy statement consistent with the provisions set forth above in clauses (i), (ii), (iii) and (iv) and within the timeframe required thereof, Recipient may declare this contract to be null and void.

X 

Contractor/Service Provider Representative

Once completed, please provide to the Prime Contractor and/or the community MBO


**CERTIFICATION
FOR
CONTRACTS, GRANTS, LOANS, AND
COOPERATIVE AGREEMENTS
40 CFR 34**

SRF Project No.: _____

The undersigned each certify, 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 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 grant, 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.

By: 
Name: RICHARD D. FELIBETTA
Title: PRESIDENT
Date: 11/22/2016

Contract ID: S35121-16A

AMERICAN IRON AND STEEL (AIS) CONTRACTOR CERTIFICATION

FOR

CONSTRUCTION CONTRACTS PAID FOR WITH FUNDS FROM

THE NYS CLEAN WATER STATE REVOLVING FUND OR

THE NYS DRINKING WATER STATE REVOLVING FUND VIA THE

NYS ENVIRONMENTAL FACILITIES CORPORATION

Project Title: Bay Park, Engine Generator Improvements

Contractor Name: R.J. Industries, Inc.

Contract ID: 535121-16A

SRF Project #: _____

SRF Recipient Name: _____

I certify that the iron and steel products that will be permanently incorporated into the public water system or wastewater treatment works project under this construction contract will have been produced in the United States, in accordance with the requirements of the US Environmental Protection Agency. I will also develop and maintain at the project location the necessary documentation to demonstrate that the iron and steel products incorporated into the project were produced in the United States, and make such documentation available to The NYS Environmental Facilities Corporation or their authorized representatives, upon request.

Signature: _____

Name (print): Richard O. Felicette

Title: President

Date: Nov. 22, 2016



COUNTY OF NASSAU

POLITICAL CAMPAIGN CONTRIBUTION DISCLOSURE FORM

1. Has the vendor or any corporate officers of the vendor provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

Friends of Ed Mangano; \$5,000; Check No. 20300, dated September 29, 2016

Hicksville Republican Committee; \$1,700; Check 20194, dated September 8, 2016

2. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees identified above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

R.J. Industries, Inc.

Vendor:

Dated: 11/22/2016

Signed:

A handwritten signature in dark ink, appearing to be "JD", is written over a horizontal line.

Print Name: John C. Doremus

Title: Vice President

Exhibit B



COUNTY OF NASSAU

LOBBYIST REGISTRATION AND DISCLOSURE FORM

1. Name, address and telephone number of lobbyist(s)/lobbying organization. The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

We have never hired a lobbying firm.

2. List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

None

3. Name, address and telephone number of client(s) by whom, or on whose behalf, the lobbyist is retained, employed or designated:

None

4. Describe lobbying activity conducted, or to be conducted, in Nassau County, and identify client(s) for each activity listed. See page 4 for a complete description of lobbying activities.

None

5. The name of persons, organizations or governmental entities before whom the lobbyist expects to lobby:

None

6. If such lobbyist is retained or employed pursuant to a written agreement of retainer or employment, you must attach a copy of such document; and if agreement of retainer or employment is oral, attach a written statement of the substance thereof. If the written agreement of retainer or employment does not contain a signed authorization from the client by whom you have been authorized to lobby, separately attach such a written authorization from the client.

7. Has the lobbyist/lobbying organization or any of its corporate officers provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

None

I understand that copies of this form will be sent to the Nassau County Department of Information Technology ("IT") to be posted on the County's website.

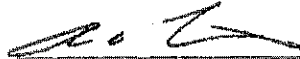
I also understand that upon termination of retainer, employment or designation I must give written notice to the County Attorney within thirty (30) days of termination.

VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees listed above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Dated: November 22, 2016

Signed:



Print Name:

Richard O. Felicetta

Title:

President

The term lobbying shall mean any attempt to influence: any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including but not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

The term "lobbying" or "lobbying activities" does not include: Persons engaged in drafting legislation, rules, regulations or rates; persons advising clients and rendering opinions on proposed legislation, rules, regulations or rates, where such professional services are not otherwise connected with legislative or executive action on such legislation or administrative action on such rules, regulations or rates; newspapers and other periodicals and radio and television stations and owners and employees thereof, provided that their activities in connection with proposed legislation, rules, regulations or rates are limited to the publication or broadcast of news items, editorials or other comment, or paid advertisements; persons who participate as witnesses, attorneys or other representatives in public rule-making or rate-making proceedings of a County agency, with respect to all participation by such persons which is part of the public record thereof and all preparation by such persons for such participation; persons who attempt to influence a County agency in an adjudicatory proceeding, as defined by § 102 of the New York State Administrative Procedure Act.

PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name Richard O. Felcetta
Date of birth 12 / 7 / 1960
Home address [REDACTED]
City/state/zip [REDACTED]
Business address 75 East Bethpage Road; PO Box 349
City/state/zip Plainview, NY 11803
Telephone 516-845-9772, ext 130
Other present address(es) _____
City/state/zip _____
Telephone [REDACTED]
List of other addresses and telephone numbers attached _____
2. Positions held in submitting business and starting date of each (check all applicable)
President 9/2/97 Treasurer _____
Chairman of Board _____ Shareholder _____
Chief Exec. Officer _____ Secretary _____
Chief Financial Officer _____ Partner _____
Vice President _____
(Other) _____
3. Do you have an equity interest in the business submitting the questionnaire?
YES x NO ____ If Yes, provide details. 45 shares (45% interest) R.J. Industries, Inc. Stock
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES x NO ____ If Yes, provide details.
Personally indemnify R.J. Industries' credit facilities with Signature Bank and Liberty Mutual (Surety)
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO ____;
If Yes, provide details,
Vice President of RJ Mechanical, Inc. (affiliate of RJ Industries, Inc.)

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES x NO
If Yes, provide details. see attached schedule of projects

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency? YES NO x If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES NO x If Yes, provide details for each such instance.
 - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES NO x If Yes, provide details for each such instance.
 - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES NO x If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 6 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES NO x If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES NO x If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES NO x If Yes, provide details for each such charge.
 - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES NO x If Yes, provide details for each such conviction.

- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES ____ NO x If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ____ NO x If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES ____ NO x If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES ____ NO x If Yes, provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES ____ NO x If Yes, provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES ____ NO x If Yes, provide details for each such year.

R.J. Industries, Inc.

Prime Contracts in Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|---|-----------------------------|---|-------------------------------------|--|-----------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-16TR) | Nassau County DPW | Damon Urso, PE 516-571-7608 | \$1,247,200 | June-17 | 1% |
| Car Washer Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bronx) Contract No C-34913 | MTA - New York City Transit | Dimitrios Milonas 646-252-4127 | \$10,733,360 | December-16 | 55% |
| Pump Station Repair & Mitigation (Various Loc's) Wantagh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-571-7359 | \$7,647,700 | June-17 | 7% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$5,947,700 | September-17 | 0% |
| <u>BSRJA JV</u> Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$28,674,700 | January-17 | 98% |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 25% |
| <u>RJ / Scalimandre, Joint Venture</u> Bay Park Sewage Treatment Plant Grit Removal Facility Improvements Contract No. S3B120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

as of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S3B119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2018 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot; Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3464 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 631-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7515 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Reclamation District | Cameron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-756-8000 | \$4,872,523 | 2013 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> Plumbing) | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$814,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvirka Bartilucci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Well Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading River CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Behrendt Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Steven Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const. | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,847,700 | 2011 |
| Manhasset Lakeville Water District IU Willeys Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District IU Willeys Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$548,440 | 2011 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|------------------------|--|------------------------|-----------------------|
| Jericho Water District Well No. 5 - GC & Mechanical Work | Jericho Water District | Joe Todaro Sidney Bowne 516-746-2350 | \$774,880 | 2011 |
| Cedar Creek WPCP Install New Gravity Belt Thickner | Nassau County DPW | Hazen and Sawyer Mike De Nicola 212-539-7038 | \$14,424,400 | 2010 |
| SUNY - Stony Brook, Sewer Dist No. 21 Standby Effluent Pump Station | Suffolk County, DPW | Suffolk County - DPW John Donovan | \$622,980 | 2010 |
| SUNY - Stony Brook East Campus Cooling Tower Replacement | SUNY - Stony Brook | Kevin Rooney 631-632-6222 | \$10,389,900 | 2010 |
| Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist. | Ben Bletsch H2M Group 631-756-8000 | \$929,800 | 2010 |

As of September 30, 2015

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, Richard O. Felicella, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.


Sworn to before me this 22 day of November, 2016


Notary Public

EVELYN DELLA RATTA
Notary Public, State of New York
01DE4854133
Qualified in Nassau County
Commission Expires May 27, 2018

R.I. Industries, Inc.
Name of submitting business

Richard O. Felicella
Print name


Signature

President
Title

11 / 22 / 16
Date

PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO
SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL
WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR
AWARD

1. Principal Name John C. Doremus
Date of birth 5 / 24 / 1966
Home address [REDACTED]
City/state/zip [REDACTED]
Business address 75 East Bethpage Road; PO Box 349
City/state/zip Plainview, NY 11803
Telephone 516-845-9772, ext 131
Other present address(es) _____
City/state/zip _____
Telephone [REDACTED]
List of other addresses and telephone numbers attached _____
2. Positions held in submitting business and starting date of each (check all applicable)
President / / Treasurer / /
Chairman of Board / / Shareholder / /
Chief Exec. Officer / / Secretary / /
Chief Financial Officer / / Partner / /
Vice President 9/2/1997 to Present /
(Other) _____
3. Do you have an equity interest in the business submitting the questionnaire?
YES x NO If Yes, provide details. 45 shares (45% interest) R.J. Industries, Inc. Stock
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES x NO If Yes, provide details.
Personally indemnify R.J. Industries's credit facilities at Signature Bank and Liberty Mutual (surety)
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO ;
If Yes, provide details.
Vice President of RJI Mechanical, Inc. (affiliate of RJ Industries, Inc.) & officer (Treasurer) of James McCullagh Co., Inc. (overseeing the wind down and liquidation of company).

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES ☒ NO ☐
If Yes, provide details. See Attached schedule of projects.

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency?
YES ☐ NO ☒ If Yes, provide details for each such instance.
 - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES ☐ NO ☒ If Yes, provide details for each such instance.
 - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES ☐ NO ☒ If Yes, provide details for each such instance.
 - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES ☐ NO ☒ If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
 - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES ☐ NO ☒ If Yes, provide details for each such conviction.

- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor?
YES ☐ NO ☒ If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ☐ NO ☒ If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES ☐ NO ☒ If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES ☐ NO ☒ If Yes, provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES ☐ NO ☒ If Yes, provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES ☐ NO ☒ If Yes, provide details for each such year.

CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, John C. Doremus, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 22nd day of November 2016



Notary Public

EVELYN DELLA RATTA
Notary Public, State of New York
01DE4854133
Qualified in Nassau County 18
Commission Expires May 27, 2018

R.J. Industries, Inc.
Name of submitting business

John C. Doremus

Print name


Signature

Vice President
Title

11 / 22 / 2016
Date

R.J. Industries, Inc.

Prime Contracts in Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|---|-----------------------------|---|-------------------------------------|--|-----------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-16TR) | Nassau County DPW | Damon Urso, PE 516-571-7508 | \$1,247,200 | June-17 | 1% |
| Car Washer Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bronx) Contract No C-34913 | MTA - New York City Transit | Demitrios Milonas 646-252-4127 | \$10,733,360 | December-16 | 55% |
| Pump Station Repair & Mitigation (Various Loc's) Wardsagh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-571-7359 | \$7,647,700 | June-17 | 7% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$5,947,700 | September-17 | 0% |
| <u>BSRJ ATIV</u> | | | | | |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$28,674,700 | January-17 | 98% |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 25% |
| <u>RJ / Scalimandre, Joint Venture</u> | | | | | |
| Bay Park Sewage Treatment Plant Grit Removal Facility Improvements Contract No. S3B120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Jeanice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S3B119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2016 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3464 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 631-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7515 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Recreation District | Cameron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-756-8000 | \$4,872,523 | 2013 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> Plumbing) | <u>OWNER</u> | <u>Contractor /</u> <u>Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$614,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvirka Bartilucci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Well Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading River CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Behrendt Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Steven Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const. | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,647,700 | 2011 |
| Manhasset Lakeville Water District IU Willeys Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bietsch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District IU Willeys Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bietsch H2M Group 631-756-8000 | \$548,440 | 2011 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|------------------------|--|------------------------|-----------------------|
| Jericho Water District Well No. 5 - GC & Mechanical Work | Jericho Water District | Joe Todaro Sidney Bowme 516-746-2350 | \$774,880 | 2011 |
| Cedar Creek WPCP Install New Gravity Belt Thickner | Nassau County DPW | Hazen and Sawyer Mike De Nicola 212-539-7038 | \$14,424,400 | 2010 |
| SUNY - Stony Brook, Sewer Dist No. 21 Standby Effluent Pump Station | Suffolk County, DPW | Suffolk County - DPW John Donovan | \$622,980 | 2010 |
| SUNY - Stony Brook East Campus Cooling Tower Replacement | SUNY - Stony Brook | Kevin Rooney 631-632-6222 | \$10,389,900 | 2010 |
| Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont | Greenlawn Water Dist. | Ben Bliesch H2M Group 631-756-8000 | \$929,800 | 2010 |

Business History Form

The contract shall be awarded to the responsible proposer who, at the discretion of the County, taking into consideration the reliability of the proposer and the capacity of the proposer to perform the services required by the County, offers the best value to the County and who will best promote the public interest.

In addition to the submission of proposals, each proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the Proposal.

NOTE: All questions require a response, even if response is "none" or "not-applicable."
No blanks.

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: Nov. 22, 2016

1) Proposer's Legal Name: R.J. Industries, Inc.

2) Address of Place of Business: 75 East Bethpage Road; Plainview, NY 11803

List all other business addresses used within last five years:

3) Mailing Address (if different): PO Box 349; Plainview, NY 11803

Phone : 516-845-9772

Does the business own or rent its facilities? own

4) Dun and Bradstreet number: _____

5) Federal I.D. Number: 11-3401288

6) The proposer is a (check one): Sole Proprietorship Partnership
Corporation Other (Describe) Subchapter s-corp

7) Does this business share office space, staff, or equipment expenses with any other business?
Yes x No If Yes, please provide details: BSRJ A T/V, RJ/Scalamandre, JV

8) Does this business control one or more other businesses? Yes No If Yes, please provide details: RJ East Bethpage Road, LLC (operates the main office building in Plainview, NY)

9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business? Yes ☒ No ☐ If Yes, provide details. R.J.I. Mechanical, Inc.

10) Has the proposer ever had a bond or surety cancelled or forfeited, or a contract with Nassau County or any other government entity terminated? Yes ☐ No ☒ If Yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture; or details regarding the termination (if a contract). _____

11) Has the proposer, during the past seven years, been declared bankrupt? Yes ☐ No ☒ If Yes, state date, court jurisdiction, amount of liabilities and amount of assets _____

12) In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency? And/or, in the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business. Yes ☐ No ☒ If Yes, provide details for each such investigation. _____

13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business. Yes ☐ No ☒ If Yes, provide details for each such investigation. _____

14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:

a) Any felony charge pending? Yes ☐ No ☒ If Yes, provide details for each such charge. _____

b) Any misdemeanor charge pending? Yes ☐ No ☒ If Yes, provide details for each such charge. _____

c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? Yes ☐ No ☒

If Yes, provide details for each such conviction _____

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor? Yes ____ No x If Yes, provide details for each such conviction. _____

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions? Yes ____ No x If Yes, provide details for each such occurrence. _____

15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? Yes ____ No x If Yes, provide details for each such instance. _____

16) For the past (5) tax years, has this business failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? Yes ____ No x If Yes, provide details for each such year. Provide a detailed response to all questions checked 'YES'. If you need more space, photocopy the appropriate page and attach it to the questionnaire. _____

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

17) Conflict of Interest:

a) Please disclose any conflicts of interest as outlined below. NOTE: If no conflicts exist, please expressly state "No conflict exists."

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No conflict exists

(ii) Any family relationship that any employee of your firm has with any County public servant that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County. On the previous disclosure form we noted that one of our employees is related to an employee of Hazen and Sawyer which is employed by Nassau County. Nassau County has since awarded contracts to us.

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No conflict exists

b) Please describe any procedures your firm has, or would adopt, to assure the County that a conflict of interest would not exist for your firm in the future. We would be pleased to assist Nassau County in its efforts to eliminate conflicts of interest. Should we learn of any potential conflicts, we intend to notify the County for its determination on what is appropriate.

- A. Include a resume or detailed description of the Proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

Should the proposer be other than an individual, the Proposal **MUST** include:

- i) Date of formation; 9/2/1997
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner; see attached
- iii) Name, address and position of all officers and directors of the company; see attached
- iv) State of incorporation (if applicable); NY
- v) The number of employees in the firm; 25 non-union / union staff varies (usually between 25 & 35)
- vi) Annual revenue of firm; \$30 million
- vii) Summary of relevant accomplishments see attached list of projects
- viii) Copies of all state and local licenses and permits. None

- B. Indicate number of years in business. 19 years

- C. Provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.

- D. Provide names and addresses for no fewer than three references for whom the Proposer has provided similar services or who are qualified to evaluate the Proposer's capability to perform this work.

Company see attached list of projects

Contact Person

Address

City/State

Telephone

Fax #

E-Mail Address

Company _____

Contact Person _____

Address _____

City/State _____

Telephone _____

Fax # _____

E-Mail Address _____

~~Company _____~~

~~Contact Person _____~~

~~Address _____~~

~~City/State _____~~

~~Telephone _____~~

~~Fax # _____~~

~~E-Mail Address _____~~

R.J. Industries, Inc.

Prime Contracts In Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|---|-----------------------------|---|-------------------------------------|--|-----------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-161R) | Nassau County DPW | Damon Urso, PE 516-571-7508 | \$1,247,200 | June-17 | 1% |
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| <u>BSRJ A TV</u> | | | | | |
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| Bay Park Sewage Treatment Plant Grit Removal Facility Improvements Contract No. S3B120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

as of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
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As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
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| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-756-8000 | \$4,872,523 | 2013 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> <u>(Plumbing)</u> | <u>OWNER</u> | <u>Contractor /</u> <u>Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$814,400 | 2013 |
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As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|------------------------|--|------------------------|-----------------------|
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CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, Richard O. Felicetta, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 22nd day of November 2016


Notary Public

EVELYN DELLA RATTA
Notary Public, State of New York
01DE4854133
Qualified in Nassau County
Commission Expires May 27, 2018

Name of submitting business: R.I. Industries, Inc.

By: Richard O. Felicetta

Print name


Signature

President

Title

11/22/16
Date

RJ Industries, Inc.
11-3401288
New York State S-Corporation

Officers / Principals

Richard Felicetta: President, [REDACTED]
John Doremus: Vice President, [REDACTED]
John Koziarz: Vice President - [REDACTED]
William Doremus: Secretary & Treasurer, [REDACTED] 168

Safety / Risk Engineering

Vijay Kumar
Phil Belfiore

Project Management / Supervision

Keith Olsen - Sr. Project Manager (Purchasing & Subcontract Management)
Joshua Rogers - Project Manager
Nicholas Felicetta - Project Manager
Joseph Felicetta - Supervisor
Todd Melzer - Supervisor
Tony Etersque - Supervisor (Mechanical)

Office / Administration

Maryanne Hilton - Controller
Evellyn Dellaratta- Office Manager
Lynn Saccone - Purchasing Assistant

Union Staff includes Engineers, Carpenters, Plumbers, Steamfitters, Laborers

R.J. Industries, Inc.

Prime Contracts In Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|--|-----------------------------|---|--|---|--------------------------|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-16TR) | Nassau County DPW | Damon Urso, PE 516-571-7508 | \$1,247,200 | June-17 | 1% |
| Car Washer Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bmond) Contract No C-34913 | MTA - New York City Transit | Dimitrios Milonas 846-252-4127 | \$10,733,360 | December-16 | 55% |
| Pump Station Repair & Mitigation (Various Loc's) Wantagh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-571-7359 | \$7,647,700 | June-17 | 7% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$5,947,700 | September-17 | 0% |
| <u>BSRJ A JV</u> Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$28,674,700 | January-17 | 99% |
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 25% |
| <u>RJ / Scalimandre, Joint Venture</u> Bay Park Sewage Treatment Plant Grit Removal Facility Improvements Contract No S36120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 85% |

as of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|--------------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-758-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2016 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S38119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2016 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |
| | | | | As of September 30, 2016 |

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 531-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-354-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-354-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot; Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3464 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 531-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7315 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Reclamation District | Cameron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbiero 516-327-4053 | John Collins H2M Group 631-756-8000 | \$4,872,523 | 2013 |

As of September 30, 2018

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> (Plumbing) | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$614,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvirka Bartilucci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Well Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading River CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Belandri Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Slevon Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const. | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,647,700 | 2011 |
| Manhasset Lakeville Water District 10 Willets Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District 10 Willets Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$548,440 | 2011 |

As of September 30, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|------------------------|--|------------------------|-----------------------|
| Jericho Water District Well No 5 - GC & Mechanical Work | Jericho Water District | Joe Todaro Sidney Bowrie 516-746-2350 | \$774,880 | 2011 |
| Cedar Creek WPCP Install New Gravity Belt Thickner | Nassau County DPW | Hazen and Sawyer Mike De Nicola 212-539-7038 | \$14,424,400 | 2010 |
| SUNY - Stony Brook, Sewer Dist No. 21 Standby Effluent Pump Station | Suffolk County, DPW | Suffolk County - DPW John Donovan | \$622,960 | 2010 |
| SUNY - Stony Brook East Campus Cooling Tower Replacement | SUNY - Stony Brook | Kevin Rooney 631-632-6222 | \$10,389,900 | 2010 |
| Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist. | Ben Bletsch H2M Group 631-756-8000 | \$929,800 | 2010 |

As of September 30, 2016

COUNTY OF NASSAU
CONSULTANT'S, CONTRACTOR'S AND VENDOR'S DISCLOSURE FORM

1. Name of the Entity: R.J. Industries, Inc.

Address: 75 East Bethpage Road; PO Box 349

City, State and Zip Code: Plainview, NY 11803

2. Entity's Vendor Identification Number: 11-3401288

3. Type of Business: Public Corp Partnership Joint Venture
Ltd. Liability Co Closely Held Corp Sub S-Corp Other (specify)

4. List names and addresses of all principals; that is, all individuals serving on the Board of Directors or comparable body, all partners and limited partners, all corporate officers, all parties of Joint Ventures, and all members and officers of limited liability companies (attach additional sheets if necessary):

Richard O. Felicetta, President; [REDACTED]

John C. Doremus, Vice President; [REDACTED]

John E. Koziaz, Vice President; [REDACTED]

William J. Doremus, Secretary-Treasurer; [REDACTED]

5. List names and addresses of all shareholders, member shareholder is not an individual, list the individual shareholder Corporation, include a copy of the 10K in lieu of a

Bay Park

Engine Gener. Publicly
Co.

see response to question #4

6. List all affiliated and related companies and their relationship to the firm entered on line 1. above (if none, enter "None"). Attach a separate disclosure form for each affiliated or subsidiary company that may take part in the performance of this contract. Such disclosure shall be updated to include affiliated or subsidiary companies not previously disclosed that participate in the performance of the contract.

RJI Mechanical, Inc.; 18-15 129th Street; College Point, NY 11356; an affiliate of R.J. Industries, Inc.

BSRJ A TV; 75 East Bethpage Road; Plainview, NY 11803; a joint venture of Bana Electric, Corp., Peter Scalamandre and Sons, Corp and R.J. Industries, Inc.
R.J./Scalamandre, JV; 75 East Bethpage Road; Plainview, NY 11803; a joint venture of Peter Scalamandre and Sons, Corp. and R.J. Industries, Inc.

None of the above firms are scheduled to work on this contract (S35121-16A)

7. List all lobbyists whose services were utilized at any stage in this matter (i.e., pre-bid, bid, post-bid, etc.). If none, enter "None." The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

(a) Name, title, business address and telephone number of lobbyist(s):

none

Page 3 of 4

(b) Describe lobbying activity of each lobbyist. See below for a complete description of lobbying activities.

none

(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

None

8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Dated: Nov. 22, 2016

Signed: 

Print Name: Richard O. Felicetta

Title: President

Page 4 of 4

The term lobbying shall mean any attempt to influence; any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including but not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

| | | | |
|--|--|---|--|
| Prime Contractor Name R.J. Industries, Inc. | | Project Name Bay Park STP Engine Generator Facility Auxiliary Improvements | |
| Bid/ Proposal No. S36121-18A | Assistance Agreement ID No. (if known) | Point of Contact Richard Felicetta, President | |
| Address PO BOX 349, Plainview, NY 11803 | | | |
| Telephone No. 516-845-9772 | | Email Address RFelicetta@rji.net | |
| Issuing/Funding Entity: | | | |

| I have identified potential DBE certified subcontractors | <input checked="" type="checkbox"/> YES | <input type="checkbox"/> NO | |
|---|--|-----------------------------|--------------------------|
| If yes, please complete the table below. If no, please explain: | | | |
| | | | |
| Subcontractor Name/ Company Name | Company Address/ Phone/ Email | Est. Dollar Amt | Currently DBE Certified? |
| LB Consulting Inc. | 296 Sport Hill Road Easton, CT 06612 Phone No.: 203-373-1195 Email: lbolfa@lbconsulting.com | \$15,000.00 | WBE |
| FCS Group LLC. | 57-12 Grand Ave., 2nd Floor Maspeth, NY 11378 Phone No.: 516-599-4100 Email: nsingh@fcsnewyork.com | \$19,500.00 | MBE |
| Metrofab Pipe Inc. | 15 Fairchild Court Plainview, NY 11803 Phone No.: 516-348-7373 Email: lizmetrofab@yahoo.com | \$65,000.00 | WBE |

Continue on back if needed

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE¹ subcontractors² and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

| | | | |
|--|--|---|--|
| Prime Contractor Name R.J. Industries, Inc. | | Project Name Bay Park STP Engine Generator Facility Auxiliary Improvements | |
| Bid/ Proposal No. S35121-16A | Assistance Agreement ID No. (if known) | Point of Contact Richard Felicetta, President | |
| Address PO BOX 349, Plainview, NY 11803 | | | |
| Telephone No. 516-845-9772 | | Email Address RFelicetta@rji.net | |
| Issuing/Funding Entity: | | | |

| I have identified potential DBE certified subcontractors | <input checked="" type="checkbox"/> YES | <input type="checkbox"/> NO | |
|---|--|-----------------------------|--------------------------------|
| If yes, please complete the table below. If no, please explain: | | | |
| | | | |
| Subcontractor Name/ Company Name | Company Address/ Phone/ Email | Est. Dollar Amt | Currently DBE Certified? |
| Callahan Industries, Inc. (Pending NYS WBE Approval) | 26 Wernan Ct. Plainview, NY 11803 Phone No.: 516-588-5549 Email: Jessica@CallahanPiping.com | \$302,000.00 | WBE |
| Hailey Insulation Corp. | 815 Route 25A Rocky Point, NY 11778 Phone No.: 631-889-0460 Email: adonnely@haileyinsulation.com | \$68,000.00 | WBE |
| | | | |

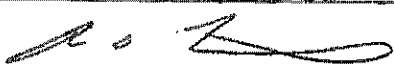
Continue on back if needed

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² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Utilization Form**

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

| | |
|--|--|
| Prime Contractor Signature  | Print Name Richard Felicetta |
| Title President | Date 11/22/2016 |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



OMB Control No: 2090-0030
Approved: 8/13/2013
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

This form is intended to capture the DBE¹ subcontractor's² description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractor's bid or proposal package.

| | | | |
|---|--|--|--|
| Subcontractor Name A. K. DE RAMA INDUSTRIAL CONTROL SYSTEMS, INC. | | Project Name BAY PARK WWTP ENGINE GEN 836121-16A-BPSTP | |
| Bid/ Proposal No. 836121-16A | Assistance Agreement ID No. (if known) | Point of Contact ANTONIO K. DE RAMA | |
| Address 253 Sheffield St. Mountaineer NJ 07092 | | | |
| Telephone No. 908-788-1800 | | Email Address derama@aol.com | |
| Prime Contractor Name R.J. Industries, Inc. | | Issuing/Funding Entity: | |

| Contract Item Number | Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies | Price of Work Submitted to the Prime Contractor |
|---|---|---|
| SPEC SEC DIV 13 | INSTRUMENTATION & CONTROLS | |
| DBE Certified By: <input type="radio"/> DOT <input type="radio"/> SBA <input checked="" type="checkbox"/> Other: NY STATE ESD | | Meets/ exceeds EPA certification standards? <input checked="" type="checkbox"/> YES <input type="radio"/> NO <input type="radio"/> Unknown |

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.


² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

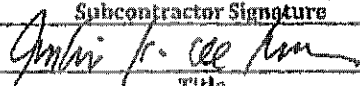


OMB Control No: 2060-0030
Approved: 8/13/2013
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Performance Form**

I certify under penalty of perjury that the foregoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

| Prime Contractor Signature | Print Name |
|---|-------------------|
|  | Richard Felicetti |
| Title | Date |
| President | 11/22/2016 |

| Subcontractor Signature | Print Name |
|---|--------------------|
|  | ANTONIO K. DE RAMA |
| Title | Date |
| PRESIDENT | 11/21/16 |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

Brittany Pedenzin

From: Brittany Pedenzin
Sent: Wednesday, November 16, 2016 10:25 AM
To: Erin
Subject: Request for Quote - Bay Park Engine Generator Rebar
Attachments: EPA Form 6100-2 (DBE Subcontractor Participation Form) - Subs.pdf; EPA Form 6100-3 (DBE Subcontractor Performance Form).pdf

Good Morning,

We are requesting a quote for rebar for a union project we will be bidding on 11/22/2016, Bay Park Engine Generator Improvements. If you are interested in providing a quote, please do so. If you are not interested, please advise.

Here is the information to our FTP site where you can download the plans and specs, please see Bay Park Engine Generator Improvements, division 3. Please note that Internet Explorer is required to access the site.

<ftp://mail.rji.net>

Username: bids
Password: RJ!!bd#

Please note this project requires the same forms as the one that bid yesterday, attached. Please complete and return as we have to include them with our bid package.

Thank you!!

Brittany Pedenzin
R.J. Industries, Inc.
75 East Bethpage Rd.
Plainview, NY 11803
P: 516-845-9772 ext. 154
F: 516-843-8198
RPedenzin@rji.net



OMB Control No: 2090-0030
Approved: 8/13/2013
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program
DBE Subcontractor Participation Form**

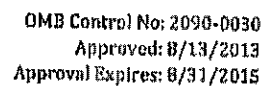
An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE¹ subcontractor² the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

| | | | |
|--|--|---|--|
| Subcontractor Name | | Project Name Bay Park STP Engine Generator Facility Auxiliary Improvements | |
| Bid/ Proposal No. S35121-10A | Assistance Agreement ID No. (if known) | Point of Contact | |
| Address | | | |
| Telephone No. | | Email Address | |
| Prime Contractor Name R.J. Industries, Inc. | | Issuing/Funding Entity: | |

| Contract Item Number | Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies | Amount Received by Prime Contractor |
|----------------------|--|-------------------------------------|
| | | |

¹ A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

² Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



Disadvantaged Business Enterprise (DBE) Program DBE Subcontractor Participation Form

Please use the space below to report any concerns regarding the above EPA-funded project:

| | |
|-------------------------|------------|
| Subcontractor Signature | Print Name |
| | |
| Title | Date |
| | |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS

WICKS EXEMPT LIST OF SUBCONTRACTORS

NOTE: This form is required for "Single-Contract" projects exempt from the Wicks law. Failure to submit this form correctly may render the bidder non responsive.

CONTRACT NO. **535121-16A**

| | | | |
|---|---|-----------------------------|---|
| Contractor's Name and Address R.J. Industries, Inc. 75 E. Betz Pass Road Plainville, NY 11803 | Project Description (Project Title, Facility Name and Address) Bay Park STP ENGINE GENERATOR FACILITY NOX. IMPROVEMENTS | Bid Date 11/22/16 | Total Contract Amt. \$2,978,700.- |
| Federal ID No.: 11-3401288 | | | |

Indicate ANY work to be self-performed by the contractor in the following categories (check all that apply):

☒ Plumbing and Gas Fitting
☒ Steam Heating, Hot Water Heating, Ventilation and A/C Apparatus Electric
Wiring and Standard Illuminating Features

If ALL contract work is to be self-performed, i.e. no subcontractors will be used, please check this box ☐ and sign it as required.

| Subcontractor's Name, Address and Federal ID No. | Check () only one. | | | | General Description of Work | Subcontractor's Contract Amt. |
|--|--------------------------|---|--|--|-------------------------------|-------------------------------|
| | Plumbing and Gas Fitting | Steam Heating, Hot Water Heating, Ventilation and A/C Apparatus | Electric Wiring and Standard Illuminating Features | | | |
| Bona Electric Corp. Farmingdale, NY | | | \$380,000.- | | Electrical Subcontract | \$380,000.- |
| Federal ID No. | | | | | | |
| Federal ID No. | | | | | | |
| Federal ID No. | | | | | | |

Federal ID No.

This form must be filled out completely and legibly, signed by a company authorized representative and included in a separate, sealed envelope with the bid envelope. Use and additional page if needed.

Failure to complete this form accurately and in its entirety, may result in a non responsive bid determination.

Company Authorized Signature:

[Signature] **THE RICHARD O. FELICETTA**

Date: **NOV. 22, 2016**

QUALIFICATION STATEMENT

Note: All blanks in the form are to be filled in. Where blanks are not applicable to your firm, so indicate in each instance.

1. How many years has your firm been in the business under your present business name?
19
2. How many years experience in the construction work of a similar type as this contract has your firm had?

a. as a Prime Contractor 9

b. as a Subcontractor 19

3. List below the construction projects your firm has under way as of this date:

| Contract Amount | Class of Work | Percent Completed | Name and Address of Owner or Contracting Officer |
|--------------------|------------------|----------------------|---|
|--------------------|------------------|----------------------|---|

see attached

(use additional blank sheets if additional space is necessary)

4. List the projects which your firm as a firm has performed in the past few years which you feel will qualify you for this work:

| Contract Amount | Class of Work | Percent Completed | Name and Address of Owner or Contracting Officer |
|--------------------|------------------|----------------------|---|
|--------------------|------------------|----------------------|---|

see attached

(use additional blank sheets if additional space is necessary)

5. Have you:

a. ever failed to complete any work awarded to you? no
If so; identify the project, the owner, the contract amount,
the circumstances and date of all such failures to complete.

b. ever been defaulted on a contract? no
If so; identify the project, the owner, the contract amount,
the circumstances and the date of all default actions.

- c. ever been declared a non-responsible bidder by any municipality or public agency?
no

If so; identify the project, the owner, the contract amount,
the circumstances and date of all such declarations.

- d. ever been barred from bidding municipal or public contracts? no
If so; identify the municipality or public agency, the circumstances, date and term
of disbarment for all debarments.

(use additional blank sheets if additional space is necessary)

6. Has any officer, partner or principal of your firm ever been an officer, partner or principal of
some other firm?

- a. that failed to complete a construction contract? no
If so; state name of individual and identify the name of firm, the project, the owner,
the contract amount, the circumstances and the date of all failures to complete for
all principals of the firm.

- b. that has ever been defaulted on a contract? no
If so; state the name of the individual and identify the name of the firm, the project,
the owner, the contract amount, the circumstances and the date of all default
actions for all principals of the firm.

- c. that has ever been declared a non-responsible bidder by any municipality or public
agency? no
If so; state the name of the individual and identify the name of the firm, the project,
the owner, the contract amount, the circumstances and the date of all such
declarations for all principals of the firm.

- d. that has ever been barred from bidding municipal or public contracts?
no

If so; state the name of the individual and identify the name of the firm, the municipality or public agency, the circumstances, date and term of debarment for all debarments for all principals of the firm.

(use additional blank sheets if additional space is necessary)

7. Has any officer or partner of your firm ever failed to complete a construction contract handled in his name? no

If so; state name of individual, name of owner and reason therefor:

8. Disclose any and all violations of the Prevailing Wage and Supplemental Payment Requirements of the Labor Law of New York State.

none

9. Disclose any and all other Labor Law Violations, including, but not limited to, child labor violations, failure to pay wages, or unemployment insurance tax delinquencies within the past five years.

none

10. In what other lines of business are you financially interested?

None

11. What is the construction experience of the principal individuals of your firm?

| Individual's Name | Present Position or Office | Years of Construction Experience | Magnitude and type of work | In what Capacity |
|-----------------------|----------------------------|----------------------------------|----------------------------|-----------------------|
| Richard O. Felicetta, | President, | 28 yrs, | General & Mechanical | Executive/Project Mgt |
| John C. Doremus, | Vice President, | 25 yrs, | General & Mechanical | Executive/Project Mgt |
| John E. Koziarz, | Vice President, | 25 yrs, | Mechanical | Proj. Mgmt |
| William J. Doremus, | Sec. Treasurer | 18 yrs. | | Finance/Admin |

(use additional blank sheets if additional space is necessary)

12. List below the equipment that you own that is available for the proposed work, giving present location where it may be inspected:

| Item | Description, Size Capacity, Year, etc. | Years of Service | Present Location |
|--------------|--|------------------|------------------|
| see attached | | | |

(use additional blank sheets if additional space is necessary)

NOTE: Should the equipment be moved from the above mentioned location, the submitted hereby agrees upon request of the County to state the new location where same may be found.

13. If any of the above equipment is covered by chattel mortgage, conditional bill of sale, lien, or like encumbrance, state the complete details as to nature and amount of encumbrance, the name and address of the holder, etc.

Signature Bank - 2010 Grove RT 600E (50 Ton Crane)

(use additional blank sheets if additional space is necessary)

14. In what manner have you inspected this proposed work?

Explain in detail.

Review of contract documents & pre-bid site visit

(use additional blank sheets if additional space is necessary)

15. Explain your plan and lay-out for performing the proposed work.

Will perform in accordance with owner approved schedule

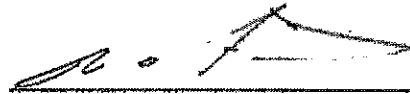
16. If a contract is awarded or a permit is issued, to your firm, who will have the personal supervision of the work? Attach resume.

John Koziarz

17. Insurance carried by your firm:

| Type | Company | Limits of Coverage | Term |
|---------------------------------|---------|--------------------|------|
| See attached sample certificate | | | |

18. The undersigned hereby declares: That the foregoing information contained in this bid is a true statement, including, but not limited to, the financial condition of the individual firm herein first named as of the date herein given; the undersigned has read that portion of the Instructions to the Bidders entitled "Qualifications and Responsibility of Bidders" and that the bidder acknowledges its affirmative obligation to transmit with this statement any matters relevant and material to those contractor qualifications and responsibility standards; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitted a contract or issuance of a permit; that any depository, vendor or other agency herein named is authorized to supply such party with any information necessary to verify this statement; and that it understands and agrees that any material misrepresentation or omission of material fact may be deemed grounds for disqualification of the bidder as "not responsible," and may also subject the bidder to future debarment, penalties, and sanctions, to the extent permitted by law.



Richard O. Felicetta, President

NOTE: The bids shall be sworn to by the person signing them, in one of the following forms:

(Form of affidavit where Bidder is a corporation)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Richard O. Felicetta

Being duly sworn, deposes and says:

That he resides at 12 Allenby Drive
in the City of Fort Salonga, NY

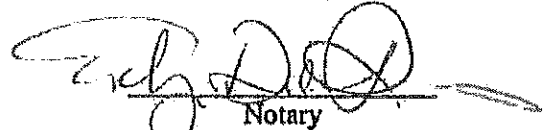
Street,
that he is the President of

R.J. Industries, Inc.

the corporation described in and which executed the foregoing instrument; that he knows the seal of said corporation; that the seal affixed to the said instrument is such corporate seal and was affixed by order of the Board of Directors of said corporation; that he signed his name thereto by like order; and that he has knowledge of the several matters therein stated and they are in all respects true.

Subscribed and sworn to before me

this 25th day of January, 2017.



Notary

EVELYN DELLA RATTA

Notary Public, State of New York

01DE4854133

Qualified in Nassau County

Commission Expires May 27, 2018

(Form of affidavit where Bidder is a firm)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Being duly sworn, deposes and says:

That he is a member of

the firm in which executed the foregoing bid; that he duly subscribed in and which executed the foregoing bid; that he duly subscribed the name of the firm hereunto on behalf of the firm; and that the several matters therein stated are in all respects true.

this day of , 20 .

Notary

(Form of affidavit where Bidder is a individual)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Being duly sworn, deposes and says:

That he is the person described in and who executed the foregoing bid and that the several matters therein stated are in all respects true.

this day of , 20 .

Notary

RJ Equipment

| Year | Item | Model No | Serial No. | Value / Orig Cost | Comments | Aug-14 |
|------|--|---------------------------|-------------------------|-------------------|---|---------------------|
| 2014 | CAT Excavator | 349F | BZ200174 | 400,000 | | |
| 2010 | Grove RT-000E (50-Ton Crane) | MO 2180 | | 365,000 | | |
| 2005 | Link Belt RTC (50 Ton Crane) | RTC 805011 | J6J57796 | 218,503 | Heckman Equipment (Loss Payee Status) & Purchase 12/2012 | Bay Park (1794 hrs) |
| | Landis 6" Pipe Threader | | (w/ GE Induction Motor) | 23,763 | | Cedar Crk (3402) |
| 2013 | CAT Excavator | 308E | EJTMX00784 | 97,500 | \$67K + \$35K trade in value (2000 Cat M316) | |
| 2012 | Geomax Robotic Total Station (Photo Lens) | Zoom 80 | | 22,150 | | |
| 2013 | Geomax Robotic Total Station (Photo Lens) | Zoom 80 | | 22,150 | | |
| 2014 | Zenith 25 GPS | | | 13,000 | | |
| 2011 | Morebranch (Various Dewatering Equipment) | | | 105,000 | | |
| 2011 | Komatsu Hydraulic Excavator | PC200LC-8HD | KMTPC180P54A69729 | 120,450 | | |
| 1999 | CAT Hydraulic Excav | 320 BL | TJR02231 | 42,000 | Attachments: APE 20E Vibrating Hammer | Bay Park (3162) |
| 2002 | CAT Skid Loader | 282 | CE001093 | 20,000 | Attachments: Demo Hammer (Model No. 1153P T); Mining Machine (Model No. PC204) | Cedar Crk (1031) |
| 1991 | GROVE Hyd Crane | RTG35 | 74217 | 65,000 | | |
| 2006 | CAT Excavator | 300 CCR | CVKXC01388 | 61,500 | | |
| 2002 | CAT Mini Excavator | 305 | DSAD0254 | 34,928 | | Bay Park (2182) |
| 2001 | CAT 725 Articulated Dump Truck | 725 | AFX00145 | 68,000 | | |
| 2002 | CAT Mini Excavator | 304.5 | WAK00727 | 36,000 | Attachments: Hawk HPS Demo Hammer (Auger Equipment) | Riverhead (3561) |
| 2001 | CAT Backhoe | 420 D | BLN00364 | 33,000 | | Oran Cove (5864) |
| 2002 | CAT Skid Loader | 262B | PDY00286 | 20,000 | | |
| 1990 | John Deere Pay Loader | 644E | DWB44EB527520 | 45,000 | | Cedar Crk (4318) |
| 1999 | CAT Excavator | 315 C | CCCFT00893 | 50,000 | | Cedar Crk (4543) |
| 1997 | CAT Excavator | 315 BL | JAWD1008 | 36,000 | | Riverhead (12387) |
| 1997 | JCB Telehandler (Forklift) | 906B | 0579616 | 23,250 | shrap | |
| | Grapple Forklift | 544D | 0455677 | | | |
| 1998 | CAT Backhoe | 426C | 1YR01806 | 12,500 | | Bay Park (3149) |
| 2002 | CAT Bulldozer | D5C | 7P601937 | 40,000 | | Riverhead (10592) |
| | | | | | | Cedar Crk (1872) |
| 2006 | CAT Excavator | 330CL | CYAN01161 | 108,000 | | |
| 2004 | GORMAN RUPP - 4" Diesel Pump | PA6C60-4045D C.1 | 091261115N | 8,000 | | Bay Park (6786) |
| | GORMAN RUPP - 6" Dry Prime Pump | | | 10,000 | | |
| 2001 | Ingersoll Rand Vertical Smooth Drum Roller | SD118D | 108435 | 37,925 | | Cedar Crk (2014) |
| 1998 | CHICAGO PNEUMATIC Compressor | GPS 300 | CE16156 | 5,000 | | |
| 2006 | Concrete Saw - Self Propelled | FC6600D | 1254115001 | 16,500 | | |
| | Concrete Forms | Doka | | 80,000 | | |
| | 3 - WHIRLYBROS 4-5 VIBRATORS | Power Trend M 02 *each | | | | |
| | Light Towers | | | 8,250 | | |
| | Light Towers | | | 8,250 | | |
| | Light Towers | | | 8,250 | | |
| 2003 | JLG 400S - Self Propelled Dowlz | 400S | 300072553 | 18,600 | purchased 5/2013 | |
| 2008 | Skyjack | SJ3219 | 282824 | 5,500 | purchased 5/2013 | |
| 2005 | Skyjack | SJ3219 | 250891 | 5,500 | purchased 5/2013 | |
| 2006 | Skyjack | SJ3219 | 262869 | 5,500 | purchased 5/2013 | |
| 2001 | JLG Telescopic Boom Lift | 400S | 300060660 | 13,750 | | |
| 2001 | Lull - Telescopic Fork Lift | B44C-42 | 01W21P22-3593 | 20,000 | | Riverhead (14038) |
| 2002 | JLG Telescopic Boom Lift | 400S | 300061232 | 13,750 | | |
| | Yale Forklift GP 070 | GP 070 | 8813D03952V | 7,060 | | Shops |
| 2009 | CAT Payloader | 955H | HCA6002326 | 75,000 | | Bay Park |
| 2005 | John Deere (off road Dump) | 300D | DW300DT590365 | 120,000 | | |

R.J. Industries, Inc.

Prime Contracts In Progress

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>CONTACT/CONSULTANT</u> | <u>ORIGINAL CONTRACT AMOUNT</u> | <u>SUBSTANTIAL COMPLETION DATE</u> | <u>% COMPLETE</u> |
|-------------------------------|--------------|---------------------------|---------------------------------|------------------------------------|-------------------|
|-------------------------------|--------------|---------------------------|---------------------------------|------------------------------------|-------------------|

RJ Industries, Inc.

| | | | | | |
|---|-----------------------------|-----------------------------------|--------------|--------------|-----|
| Bay Park Sewage Treatment Plant Vehicle Fueling Facility & Tanks (Contract S35121-16TR) | Nassau County DPW | Damon Urso, PE 516-571-7508 | \$1,247,200 | June-17 | 12% |
| Car Washer Repairs at 239th Street Yard, Concourse Yard and Pelham Yard (Bronx) Contract No C-34913 | MTA - New York City Transit | Demitrios Milonas 646-252-4127 | \$10,733,360 | June-17 | 65% |
| Pump Station Repair & Mitigation (Various Loc's) Wantagh Park (Contract S3P311-03G) | Nassau County DPW | Ed Visone 516-571-7359 | \$7,647,700 | June-17 | 28% |
| Pump Station Repair & Mitigation (Various Loc's) Inwood (Contract S3P311-07G) | Nassau County DPW | Ed Visone 516-571-7359 | \$5,947,700 | September-17 | 4% |

BSRJ A IV

| | | | | | |
|---|-------------------|---|--------------|-------------|-----|
| Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14F | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$97,447,200 | December-17 | 39% |
|---|-------------------|---|--------------|-------------|-----|

RJ / Scalimandre, Joint Venture

| | | | | | |
|---|-------------------|---|--------------|--------------|-----|
| Bay Park Sewage Treatment Plant Grill Removal Facility Improvements Contract No. S3B120-02G | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$16,187,700 | September-17 | 86% |
|---|-------------------|---|--------------|--------------|-----|

as of December 31, 2017

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|---|-------------------|--|------------------------|-----------------------|
| Town of Riverhead Advanced WWTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts | Town of Riverhead | Chris Weiss (H2M Group) 631-756-8000 | \$17,869,900 | 2016 |
| Yaphank County Center WWTP Denitrification System Improvements | County of Suffolk | Janice McGovern 631-852-4188 | \$1,868,800 | 2016 |
| Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C067-04G | Nassau County DPW | Joseph Davenport 516-571-7515 | \$1,447,423 | 2015 |
| Bay Park STP / Cedar Creek WPCP Odor Control Facility; Contract No S35110-01G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$24,767,700 | 2016 |
| Bay Park STP Temporary Hot Water Piping System Emergency Contract No S3B119-06G | Nassau County DPW | Joseph Davenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$3,937,700 | 2016 |
| Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower | Nassau County DPW | Joseph Davenport, PE 516-571-7515 | \$996,700 | 2015 |
| Dock Place & Southland Drive Pump Station Reconstruction | Nassau County DPW | Michael DeNicola (Hazen & Sawyer) MDeNicola@hazenandsawyer.com 516-881-7843 | \$892,200 | 2015 |
| Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$2,945,400 | 2014 |

As of December 31, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|--|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection | County of Suffolk | John Berchtold, PE Suffolk County DPW 631-852-4189 | \$13,747,700 | 2014 |
| Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$44,557,700 | 2014 |
| Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility | Great Neck WPCD | William F Cosulich, Assoc. Joseph Mautarano 516-364-9890 | \$1,995,500 | 2014 |
| Replacement of Bus Washers at Manhattanville Bus Depot; Contract C-33091 | MTA - New York City Transit | Keith Summa 646-252-3464 | \$2,148,272 | 2014 |
| Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts | County of Suffolk | John Berchtold 631-852-4189 | \$2,347,860 | 2013 |
| Bay Park WWTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs | Nassau County DPW | Joseph Davenport 516-571-7515 | \$2,701,537 | 2013 |
| Greater Atlantic Beach Treatment Facility (Phase II) | Greater Atlantic Beach Water Reclamation District | Cameron Engineering Mark Rauber 516-827-4900 | \$1,828,800 | 2013 |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & | Water Auth Western Nassau Joseph Corbisiero 516-327-4053 | John Collins H2M Group 631-758-8000 | \$4,872,523 | 2013 |

As of December 31, 2016

R.J. Industries, Inc.

| <u>PROJECT & LOCATION</u> Plumbing) | <u>OWNER</u> | <u>Contractor / Consultant</u> | <u>CONTRACT AMOUNT</u> | <u>DATE COMPLETED</u> |
|--|---|--|------------------------|-----------------------|
| Port Washington WPCD Biosolids Building Rehabilitation | Port Washington WPCD | Robert Breslin 516-924-4376 | \$814,400 | 2013 |
| Port Washington Water District Packed Tower Aeration | Port Washington Water | Dvirka Bartilucci Phil Sachs | \$734,400 | 2013 |
| Port Washington WPCD Plant Upgrade (Install New BNR System) | Port Washington WPCD | Robert Breslin 516-924-4376 | \$20,988,800 | 2012 |
| Stony Brook University East Campus Well Replacement | State University of NY | Paul Van Loan 631-632-3067 | \$1,076,423 | 2012 |
| Shoreham Wading Rive CSD Replace Fuel Oil Storage Tanks | Shoreham-Wading River CSD | Burton Behrendt Smith 631-475-0349 | \$624,800 | 2012 |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical | Village of Patchogue | Steven Cluff H2M Group 631-756-8000 | \$8,906,550 | 2011 |
| Bay Park STP Dechlorination Facility - General Const. | Nassau County DPW | Nassau County - DPW James Gallagher 516-571-7220 | \$3,647,700 | 2011 |
| Manhasset Lakeville Water District IU Wilets Water Treatment Plant General Construction | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$1,578,440 | 2011 |
| Manhasset Lakeville Water District IU Wilets Water Treatment Plant Chemical Bulk Storage | Manhasset - Lakeville Water District | Ben Bletsch H2M Group 631-756-8000 | \$548,440 | 2011 |

As of December 31, 2016



CERTIFICATE OF LIABILITY INSURANCE

RJIND-1

OP ID: MC

DATE (MM/DD/YYYY)

01/18/2017

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER
A. L. Carr Agency, Inc.
101 Mill Dam Road
Centerport, NY 11721-0608

CONTACT
NAME:
PHONE (A/C, No., Ext.): 631-271-2727 FAX (A/C, No.): 631-271-2747
E-MAIL
ADDRESS:

INSURED
RJ INDUSTRIES, INC
75 EAST BETHPAGE ROAD
PLAINVIEW, NY 11803

| INSURER(S) AFFORDING COVERAGE | | NAIC # |
|-------------------------------|-------------------------------|--------|
| INSURER A: | ALLIED WORLD ASSURANCE CO | 10690 |
| INSURER B: | ALLIED WORLD SPECIALTY | |
| INSURER C: | THE STATE INSURANCE FUND | 52421 |
| INSURER D: | AMERICAN GUARANTEE INS. | 02562 |
| INSURER E: | ASPEN SPECIALTY INS CO | 43460 |
| INSURER F: | STANDARD SECURITY LIFE INS.CO | 69078 |

COVERAGES

CERTIFICATE NUMBER:

REVISION NUMBER:

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

| INSR LTR | TYPE OF INSURANCE | ADDL EOBH INSD WVD | POLICY NUMBER | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS |
|----------|--|---|---------------|-------------------------|-------------------------|---|
| A | <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER. <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC <input type="checkbox"/> OTHER | <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> | 0309-1225 | 08/01/2016 | 08/01/2017 | EACH OCCURRENCE \$ 2,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 300,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 2,000,000 GENERAL AGGREGATE \$ 4,000,000 PRODUCTS - COMP/OP AGG \$ 4,000,000 |
| B | <input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO ALL OWNED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS <input checked="" type="checkbox"/> SCHEDULED AUTOS NON-OWNED AUTOS | <input checked="" type="checkbox"/> | 6000-0268 | 08/01/2016 | 08/01/2017 | COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ |
| D | <input checked="" type="checkbox"/> UMBRELLA LIAB EXCESS LIAB <input checked="" type="checkbox"/> RETENTION \$ 10,000 | <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> | SXS018144301 | 08/01/2016 | 08/01/2017 | EACH OCCURRENCE \$ 14,000,000 AGGREGATE \$ 14,000,000 |
| C | WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/ MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below | Y/N <input type="checkbox"/> N/A | 2340 643-2 | 12/01/2016 | 12/01/2017 | <input checked="" type="checkbox"/> PER STATUTE OTHER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000 |
| E | PROPERTY/EQUIPMENT | | IMADPGD16 | 05/04/2016 | 05/04/2017 | ALL RISK BLANKET |
| F | NYS DISABILITY | | D92340-000 | 10/01/2007 | 10/01/2017 | STATUTORY |

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

Regarding Bay Park STP: Emergency Contract: Primary Influential Chamber, SUEZ North America Inc., its subsidiaries and affiliates as provided by written contract and the County of Nassau are listed as additional insureds. General Liability policy is Primary and Non-Contributory. Waiver of Subrogation applies to the General Liability policy.

CERTIFICATE HOLDER**CANCELLATION**

SUEXWAT

Suez Water Management and Services Inc.
461 From Road, Suite 400
Paramus, NJ 07652

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

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U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

**Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 87, Section 87.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19180-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Richard O. Felcetta, President

Name and Title of Authorized Representative

m/d/yy

Signature

Date

R.J. Industries, Inc.

Name of Organization

75 East Bethpage Road; PO Box 349; Plainview, NY 11803

Address of Organization