



E-1-17

Contract Details

SERVICES: Outside counsel

NIFS ID #: CLAT16000042

NIFS Entry Date: 12/08/16 Term: June 25, 2014 - June 24, 2017

New <input type="checkbox"/> Renewal <input checked="" type="checkbox"/>	1) Mandated Program:	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Amendment #2 <input checked="" type="checkbox"/>	2) Comptroller Approval Form Attached:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Time Extension <input checked="" type="checkbox"/>	3) CSEA Agmt. § 32 Compliance Attached:	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Addl. Funds <input type="checkbox"/>	4) Vendor Ownership & Mgmt. Disclosure Attached:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Blanket Resolution <input type="checkbox"/>	5) Insurance Required	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
RES#		

Agency Information

Vendor		County Department
Name Monteiro & Fishman LLP	Vendor ID# 800340440	Department Contact Jaclyn Delle
Address 91 North Franklin Street Suite 108 Hempstead, NY 11550	Contact Person Marcus Monteiro	Address 1 West Street Mineola, NY 11501
	Phone (516) 280-4600	Phone (516) 571-3034

Routing Slip

DATE Rec'd.	DEPARTMENT	Internal Verification	DATE App'd & Fw'd.	SIGNATURE	Leg. Approval Required
	Department	NIFS Entry (Dept) <input type="checkbox"/> NIFS Appvl (Dept. Head) <input type="checkbox"/>		<i>COA LH</i>	
12/19/16	OMB	NIFS Approval <input checked="" type="checkbox"/>	12/19/16	<i>Mal Vitar</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> Not required if blanket resolution
	County Attorney	CA RE&I Verification <input checked="" type="checkbox"/>	12/26/16	<i>Jaclyn Delle</i>	
	County Attorney	CA Approval as to form <input checked="" type="checkbox"/>	12/26/16	<i>Jaclyn Delle</i>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
12/27/16	LEG Legislative Affairs	Fw'd Original K to CA <input type="checkbox"/>	1/11/17	<i>[Signature]</i>	
	Rules <input type="checkbox"/> / Leg. <input type="checkbox"/>	<input type="checkbox"/>			
	County Attorney	NIFS Approval <input type="checkbox"/>			
	County Comptroller	NIFS Approval <input type="checkbox"/>			
1/3/17	County Executive	Notarization <input type="checkbox"/> Filed with Clerk of the Leg. <input type="checkbox"/>	1/3/17	<i>CLW</i>	

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Contract Summary

Description: Amendment #2 to outside counsel contract.
Purpose: This is an amendment to an outside counsel contract to represent the County and/or such other party as the County may be required to defend in various matters as requested by the County Attorney, or their designee, within the following areas of law in which the Department has determined Counsel to be qualified: Bankruptcy Law; Commercial Litigation; Class Action; Family Law; Federal Civil Rights Section 1983; Employment and Labor Law (Litigation); Insurance Law; Real Property (Litigation); Transactions; and Tort Law. The case originally assigned to counsel (Wagner v. County of Nassau, CV-11-1613 (JS)(ARL)) has concluded. Counsel is not currently working on any particular matter for the Department, but it may be necessary to utilize their services in the future. This amendment exercises one of the available renewal options by extending the term.
Method of Procurement: Contract amendment. See below for procurement history.
Procurement History: A Request for Qualifications was issued and a panel established. The firm Monteiro & Fishman LLP has been added to this panel. The firm has been determined to be qualified by the Department in the areas of law listed above and assigned the case provided above, after a review of the panel, based on the firm's experience, expertise in the subject matters, and availability.
Description of General Provisions: As described above.
Impact on Funding / Price Analysis: \$0.01
Change in Contract from Prior Procurement: N/A
Recommendation: Approve as submitted.

Advisement Information

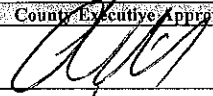

BUDGET CODES	
Fund:	GEN
Control:	AT
Resp:	1100
Object:	DE502
Transaction:	

FUNDING SOURCE	AMOUNT
Revenue Contract <input type="checkbox"/>	XXXXXXXX
County	\$0.01
Federal	\$
State	\$
Capital	\$
Other	\$
TOTAL	\$0.01

LINE	INDEX/OBJECT CODE	AMOUNT
1	ATGEN1100/DE502	\$0.01
2		\$
3		\$
4		\$
5		\$
6		\$
TOTAL		\$0.01

RENEWAL	
% Increase	
% Decrease	

Document Prepared By: _____ Date: _____

NIFS Certification	Comptroller Certification	County Executive Approval
I certify that this document was accepted into NIFS.	I certify that an unencumbered balance sufficient to cover this contract is present in the appropriation to be charged.	Name 
Name	Name	Date 
Date	Date	(For Office Use Only)

E #:



Nassau County Interim Finance Authority

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

1. Vendor: Monteiro & Fishman LLP

2. Dollar amount requiring NIFA approval: \$ 0.01

Amount to be encumbered: \$ 0.01

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: 6/25/14-6/24/17

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

If yes, please explain: _____

4. Funding Source:

<input type="checkbox"/> General Fund (GEN)	<input type="checkbox"/> Grant Fund (GRT)	Federal % <input type="checkbox"/>
<input type="checkbox"/> Capital Improvement Fund (CAP)		State % <input type="checkbox"/>
<input type="checkbox"/> Other		County % <u>100</u>

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:

This is an amendment to an outside counsel contract for representation in various matters as requested by the County Attorney, or their designee, within the areas of law in which the Department has determined Monteiro & Fishman LLP to be qualified. The amendment exercises one available option to renew the contract for one year. There is no increase in the maximum amount of the contract.

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

Nassau County Attorney as to form	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Nassau County Committee and/or Legislature	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> 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:

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 Allen 12/19/16
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.

George Maragos
Comptroller



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: Monteiro & Fishman LLP (CLAT16000042)

CONTRACTOR ADDRESS: 91 North Franklin St., Suite 108, Hempstead, New York 11550

FEDERAL TAX ID #: 800340440

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 _____ [newspaper] on _____ [date]. The sealed bids were publicly opened on _____ [date]. _____ [#] of 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. X This is a renewal, extension or amendment of an existing contract.

The contract was originally executed by Nassau County on August 4, 2014, and amended thereafter on August 17, 2015. 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 a Request for Qualifications was issued and a panel established. The firm Monteiro & Fishman LLP has been added to this panel. The firm has been determined to be qualified by the Department in the areas of law listed in the Staff Summary attached, after a review of the panel, based on the firm's experience, expertise in the subject matters, and availability.

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

RULES RESOLUTION NO. — 2017

A RESOLUTION AUTHORIZING THE COUNTY EXECUTIVE
TO EXECUTE AN AMENDMENT TO A PERSONAL SERVICES
AGREEMENT BETWEEN THE COUNTY OF NASSAU, ACTING ON
BEHALF OF THE NASSAU COUNTY ATTORNEY'S OFFICE, AND
MONTEIRO & FISHMAN LLP

WHEREAS, the County has negotiated an amendment to a personal
services agreement with Monteiro & Fishman LLP to provide legal services,
a copy of which is on file with the Clerk of the Legislature; now, therefore,
be it

RESOLVED, that the Rules Committee of the Nassau County
Legislature authorize the County Executive to execute the said amendment
to an agreement with Monteiro & Fishman LLP



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?

NO.

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.

Dated: 10/3/2016

Vendor: Monteiro & Fishman LLP

Signed: [Signature]

Print Name: MARCUS MONTEIRO

Title: Member

COUNTY OF NASSAU

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

1. Name of the Entity: Monteiro & Fishman LLP

Address: 91 N. Franklin Street, Suite 108

City, State and Zip Code: Hempstead, NY 11550

2. Entity's Vendor Identification Number: 80-0340440

3. Type of Business: ☐ Public Corp ☒ Partnership ☐ Joint Venture

☐ Ltd. Liability Co ☐ Closely Held 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):

<u>Marcus Monteiro</u>	<u>Michael Fishman</u>
<u>88 Quaker Ridge Rd.</u>	<u>36 Barstow Rd.</u>
<u>Manhasset, NY 11030</u>	<u>Great Neck, NY 11021</u>

5. List names and addresses of all shareholders, members, or partners of the firm. If the shareholder is not an individual, list the individual shareholders/partners/members. If a Publicly held Corporation, include a copy of the 10K in lieu of completing this section.

Same as 4 above.

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.

None

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

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

None

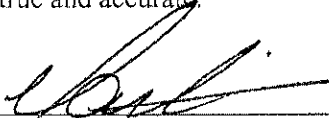
(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

NO.

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: 10/3/2016

Signed: 

Print Name: MARCUS MONTEIRO

Title: Member

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.

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 MARCOS Monteiro
Date of birth 03/18/73
Home address 88 Quaker Ridge Road
City/state/zip Manhasset, NY 11030
Business address 91 N. Franklin St., Suite 108
City/state/zip Hempstead, NY 11550
Telephone 516-280-4600
Other present address(es) N/A
City/state/zip N/A
Telephone N/A
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 / /
(Other) Member: MAY 2004 to Present
3. Do you have an equity interest in the business submitting the questionnaire?
YES X NO If Yes, provide details. 51% OF Partnership Units
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 ✓ 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 NO ✓ If Yes, provide details.

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.

NASSAU County Atty's. Office: Awarded contract for Wagner v. County of Nassau
CV-11-1613

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.

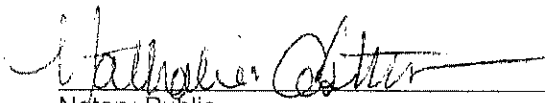
- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES ____ NO ☒ If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES ____ NO ☒ If Yes, provide details for 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, MARCUS Monteiro, 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 3 day of October 2016

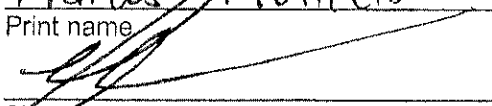


Notary Public

NATHALIA CASTILLO
Notary Public, State of New York
No. 01CA6220136
Qualified in Suffolk County
Commission Expires April 12, 2018.

Monteiro & Fishman LLP
Name of submitting business

Marcus Monteiro
Print name



Signature

Member
Title

10 / 3 / 2016
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 Michael Fishman
Date of birth 6/10/76
Home address 36 Baister Rd
City/state/zip Great Neck NY 11021
Business address 91 Franklin St, Suite 108
City/state/zip Hempstead NY 11550
Telephone 516-280-4600
Other present address(es) N/A
City/state/zip N/A
Telephone N/A
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 / /

(Other)

Member, May 2009 to Present

3. Do you have an equity interest in the business submitting the questionnaire?
YES ☒ NO ☐ If Yes, provide details. 49% of Partnership Units
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 ☒ 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 ☐ NO ☒ If Yes, provide details.

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. NASSAU County Atty's. Office ; Contract for WAGNER v.

NOTE: An affirmative answer is required below whether the sanction arose automatically, by NASSAU City. Ord. 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

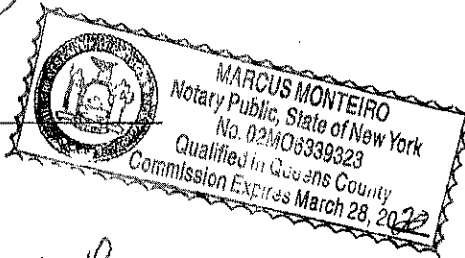
A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, Michael Fishman, 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 2 day of December 2016



Notary Public



Monteiro & Fishman LLP
Name of submitting business

Michael Fishman
Print name

X 
Signature

Owner
Title

12, 2, 2016
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: October 3, 2016

1) Proposer's Legal Name: Montero & Fishman LLP

2) Address of Place of Business: 91 N. Franklin St., Suite 108

List all other business addresses used within last five years:

none

3) Mailing Address (if different): _____

Phone : 516-280-4610

Does the business own or rent its facilities? Rent

4) Dun and Bradstreet number: N/A

5) Federal I.D. Number: 80-0340440

6) The proposer is a (check one): ☐ Sole Proprietorship ☐ Partnership ☒ Corporation ☐ Other (Describe) _____

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

Yes ☐ No ☒ If Yes, please provide details: _____

8) Does this business control one or more other businesses? Yes ☐ No ☒ If Yes, please provide details: _____

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. _____

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 ☒ 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 ☒ 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 ☒ 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 ☒ 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.

NO conflict exists

(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.

The Firm does not accept any clients which would, or may even remotely, create a conflict of interest.

- 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;
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner;
- iii) Name, address and position of all officers and directors of the company;
- iv) State of incorporation (if applicable);
- v) The number of employees in the firm;
- vi) Annual revenue of firm;
- vii) Summary of relevant accomplishments
- viii) Copies of all state and local licenses and permits.

See
Attached

- B. Indicate number of years in business.
- 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 Office of the Nassau County Attorney
Contact Person Chief Deputy County Attorney Lisa LoCorto
Address One West St., Mineola, NY 11501
City/State Mineola, NY 11501
Telephone 516-571-3056
Fax # 516-571-6684
E-Mail Address _____

Company Rivkin Radler LLP
Contact Person Anne Murray - Partner
Address 926 RXP Plaza
City/State Uniondale, NY 11556
Telephone 516-352-3108
Fax # 516-357-3333
E-Mail Address Anne.Murray@Rivkin.Com

Company VANGUARD Funding Bank
Contact Person Chief Operating Officer - Matthew Voss
Address 300 Garden City Plaza, Suite 170
City/State Garden City, NY 11530
Telephone 516-824-3250
Fax # 516-634-4461
E-Mail Address mvoss@Vanguardfunding.net

Amica Mutual Insurance Company
Michael Laverty - MANAGER
898 Veterans Highway, Suite 200
Hauppauge, NY 11788
1-800-742-6422 Ext. 21471
1-866-747-1606
MLaverty@Amica.com

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, MARCO MONTEIRO, 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 3 day of Oct. 2016

Nathalia Castillo
Notary Public

NATHALIA CASTILLO
Notary Public, State of New York
No. 01CA6220136
Qualified in Suffolk County
Commission Expires April 12, 2018

Name of submitting business: Monteiro & Fishman LLP

By: MARCO MONTEIRO
Print name

[Signature]
Signature

MEMBER
Title

10 / 3 / 2016
Date

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

RESPONSE: Please see attached resumes for: (i) Marcus Monteiro; (ii) Michael Fishman; (iii) Ralph Somma, and (iv) James Quinn.

In addition to the accomplishments detailed in the resumes, please note that the Firm was contracted by the Nassau County Attorney's Office to defend Nassau County against the claims of former Dept. of Public Works ("DPW") employee Barbara Wagner. Ms. Wagner claimed that Nassau County and DPW violated the American with Disabilities Act by discriminating against her based on an alleged disability, failing to provide a reasonable accommodation for such disability, and by retaliating against her by terminating her employment. She also sought damages under 42 U.S.C. § 1981(a) for intentional discrimination. The Firm successfully defended the case at trial (Eastern District), wherein Plaintiff agreed to settle the case after her cross-examination by Defendant. We will further elaborate on the precise terms of the settlement and related facts only upon permission and waiver of confidentiality executed by the County Attorney's Office.

Should the bidder/proposer be other than an individual, the bid/proposal **MUST** include:

- i) Date of formation;
RESPONSE: December 5, 2008
- ii) Name, address and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner;
RESPONSE: Marcus Monteiro & Michael Fishman
- iii) Name, address and position of all officers and directors of the company;
RESPONSE: Marcus Monteiro, Member
c/o Monteiro Fishman LLP
91 N. Franklin St., Suite 108
Hempstead, NY 11550

Michael Fishman, Member
c/o Monteiro Fishman LLP
91 N. Franklin St., Suite 108
Hempstead, NY 11550
- iv) State of incorporation (if applicable);
RESPONSE: New York

- v) The number of employees in the firm;
RESPONSE: Two partners, two of-counsel, two full-time employees and varying interns/part-time contractors.
- vi) Annual revenue of firm;
RESPONSE: \$250,000 - \$500,000.
- vii) Summary of relevant accomplishments
RESPONSE: Please see A above.
- viii) Copies of all state and local licenses and permits.
RESPONSE: Marcus Monteiro, Atty. Reg. No.: 4115259;
Michael Fishman, Atty. Reg. No.: 4098620
Ralph Somma, Atty. Reg. No.: 25009479
James Quinn, Atty. Reg. No.: 1345370

B. Indicate number of years in business.

RESPONSE: 8 years.

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

RESPONSE: Please see "A" above.

D. References

RESPONSE: Attached.

E. Provide any other information which would be appropriate and helpful in determining the bidder's/proposer's capacity and reliability to perform these services.

RESPONSE: Please see "A" above.

Insurance Law / Subrogation / Coverage Litigation

The lawyers at Monteiro & Fishman LLP are well versed in all aspects of insurance coverage law and maintain an active practice rendering coverage opinions and consulting on insurance issues. We have been called upon to analyze complex insurance coverage issues such as: late notice, bad-faith, policy exclusions, trigger of coverage, allocation and others. Those issues involve personal, commercial, municipal, self-insured and professional insurance coverage under a wide variety of insurance policies like: general liability, homeowners, auto, builders risk, environmental, professional liability, first party, excess, umbrella, surplus lines policies and reinsurance.

Monteiro & Fishman LLP also diligently represents entities in recovering losses from negligent third-parties and are experienced in identifying opportunities for subrogation recovery.

Mr. Fishman has analyzed and litigated complex insurance coverage issues, such as, late notice, bad-faith, policy exclusions, triggers of coverage, allocation and others for insurers throughout the United States. *See Hargob Realty Assoc., Inc. v. Fireman's Fund Ins. Co.*, Index No. 2293/07 (N.Y. Sup. Ct., Nassau County), *aff'd* 73 A.D.3d 856, 901 N.Y.S.2d 657 (2d Dep't 2010)(Granted summary judgment in favor of insurer client finding that the general contractor was not an additional insured under the subcontractor's primary or excess insurance policies.); *Standex International Corp. v. Fireman's Fund Insurance Company*, Case No. 08 CV 1608 (N.D. Ohio)(Represented insurer client in complex environmental insurance coverage matter involving multiple years and layers of coverage for decades of alleged environmental contamination by manufacture insured, a publicly traded company, to the surrounding ground and water.); *Petroterminal de Panamas S.A. v. Houston Ca. Co., et al.*, 80 CV 0547 (S.D.N.Y.)(Represented insurer client in a federal declaratory judgment action involving alleged environmental damage associated with certain oil spills off the Gulf Coast.); *In re World Trade Center Disaster Site Litigation*, 21 MC 100, et al. (S.D.N.Y.)(Represented clients and analyzed coverage issues associated with the World Trade Center Litigation.); *Salt River Construction Services, LLC v. USF Insurance Company et al.*, Case No. 07 SL-CC 01427 (Mo. Cir. Ct., St. Louis County)(Represented insurer client and orchestrated a favorable multi-carrier settlement of a complex declaratory judgment action associated with a multi-million dollar underlying construction-defect lawsuit.); *American Automobile Insurance Company v. National Association of Independent Truckers, et al.*, Case No. 07-009470 (Fla. Cir. Ct., Broward County)(Represented insurer client in an insurance coverage dispute with the National Independent Truckers Association.); *State Farm Fire and Casualty Company v. Guaman*, Index No. 8605/2006 (N.Y. Sup. Ct., Queens County, New York)(granting State Farm's motion for summary judgment in a declaratory judgment action.); *Antoinette v. State Farm Fire and Casualty Co.*, Index No. 08656/05 (N.Y. Sup. Ct., Suffolk County, New York) (Granting State Farm's motion to dismiss plaintiff's alleged tort claims and bad-faith claims. In so ruling, the court agreed entered a finding that no independent tort existed for insurer's denial of coverage.).

Additionally, Mr. Fishman has prepared seminars and nationally distributed written publications on various insurance coverage-related topics, including additional insured coverage, general liability and lead paint.

Mr. Fishman has also counseled clients as to the effects of lead paint and PFOA and worked with the EPA in drafting white paper analyzing the effects of these toxins and the potential coverage and liability issues relating to the same.

Marcus Monteiro has litigated declaratory judgment actions on behalf of synagogues, yeshivas, religious institutions, schools, daycares and insurance companies. While working for AIG - Toxic Tort Division - Mr. Monteiro was charged with analyzing AIG's exposure from a 2.4 billion dollar verdict insured by hundreds of policies. Therein, the state of Rhode Island claimed that tens of thousands of children suffered lead poisoning from paint manufactured by AIG insureds. The verdict required AIG insureds to inspect, clean and remodel approximately 240,000 homes in Rhode Island built before 1980 that contained contaminated lead paint. *State of Rhode Island v. Lead Industries Association*.

Mr. Monteiro was named the National Tobacco Coordinator for AIG member companies, and analyzed AIG's exposure to the Supreme Court of Canada's decision allowing British Columbia to sue tobacco companies to recover billions in tobacco-related health care costs in what legal commentators called "**the biggest case in the history of Canadian jurisprudence.**" Total liability was estimated at over 200 billion dollars. *British Columbia v. Tobacco Manufacturers*.

Mr. Monteiro was recently granted summary judgment, dismissing plaintiff Utica Mutual Insurance Co.'s claims against the Firm's defendant corporate client in a subrogation action. *See Utica Mutual Ins Co. v. JMG Contractor, Inc., et al.*, Index No. 18798/2010 (N.Y. Dist. Ct., Nassau County 2011). In *East Midwood Jewish Center v. CNA Insurance Company*, Index No. 12788/2007 (N.Y. Sup. Ct., Kings Cty. 2008), the court granted Mr. Monteiro's summary judgment motion and awarded his client \$175,000 for reimbursed attorney fees in a declaratory judgment action.

Real Property / Real Estate Litigation

Monteiro & Fishman LLP possesses an extensive breadth and depth of experience and capabilities in all legal aspects related to real estate. We provide the highest quality legal services in a practical, timely, efficient, and cost-effective manner.

Marcus Monteiro was the lead lawyer representing the seller of the "Queens Portfolio." The Portfolio consisted of seven pre-war elevator buildings containing 454 apartments in an all cash transaction valued at \$57,000,000. The elevator buildings were located in the Elmhurst and Sunnyside sections of Queens, New York.

Recently, Mr. Monteiro represented the tenants in a lease transaction governing an entire floor of an upscale commercial building located in downtown Manhattan with over 2 million dollars in rental obligations.

Mr. Monteiro was also the leasing attorney for Town Sports International – the parent company for New York Sports Club (and related entities). In that position, he was responsible for negotiating, drafting and reviewing complex lease agreements worth tens of millions of dollars for fitness clubs throughout New York City and New Jersey.

Michael Fishman has been involved with the transfer of real estate for high-end residential properties, like the penthouse of Trump Towers, New York City and recently Trump Park Residences in Westchester, New York. Mr. Fishman also represents buyers and sellers of residential homes and condos throughout New York State, including Nassau County.

The Firm also maintains an active real estate litigation and landlord/tenant practice. Marcus Monteiro recently defended the corporate owner of large New York City apartment building in breach of warranty of habitability action. He received a Defendant's verdict after trial, dismissing the plaintiff's claims. *See Blumenthal v. 221 East 21st Street, LLC*, Index No. NCS 00441/09 (N.Y. Dist. Ct., Nassau County 2010). Mr. Monteiro also tried cases in Landlord/Tenant court in New York City courts. *See 19 West 8th Realty LLC v. Pucciariello*, Index No. 075264/2008 (Civ. Ct., New York County 2008).

Marcus Monteiro also represented the seller of a multi-tenanted building located in New York City. When the buyer backed out of the deal before closing, the buyer sued the seller to have its \$485,000 deposit returned. Mr. Monteiro counter-claimed and obtained a \$485,000 judgment against the buyer, thereby keeping the deposit, while also having the complaint dismissed. *See E. Street Nominee Corp. v. Night Owls LLC*, Index No. 113073/2003 (N.Y. Sup. Ct., New York County 2003).

Michael Fishman currently represents a commercial tenant in an upscale New York building for breach of contract seeking over \$300,000 in damages. Michael Fishman defended the commercial business owner in real estate action alleging hundreds of thousands of dollars in damages. After four years of litigation, obtained successful dismissal of suit without any client contribution. *See Ito v. Onsite Marketing, Inc. et al.*, Index No. 23648/06 (N.Y. Sup. Ct., Suffolk County 2010). Michael Fishman has represented numerical commercial clients in various Landlord/Tenant matter. *See, e.g., Love Funding v. Medcom*, Index No. 84869/2010 (Civ. Ct. N.Y. County, Commercial Part).

Transactions / Corporate

Monteiro & Fishman LLP assist business entities with planning, organizing and forming new ventures, establishing capital structure, securing funding and other associated general counsel duties like contract negotiating and drafting. When working with our corporate clients, the firm realizes that practical, cost-effective solutions require more than legal knowledge. We invest the effort necessary to learn about the client so that we can apply our professional training to solve their problems in a way that makes practical sense to their bottom line.

Monteiro & Fishman LLP has extensive experience drafting private placement memorandums, SEC and state blue sky law filings and compliance, contracts, recording agreements, leases, operating agreements, regulatory filings, stock and asset purchase agreements, lease agreements, distribution agreements, non-compete agreements, non-circumvention agreements, endorsement agreements, and business sale/purchase agreements.

Marcus Monteiro is general counsel to Sonu Beverages LLC, a 27 million dollar private equity company that produces, markets and distributes vitamin-enhanced water. Sonu is distributed in all New York City Public Schools, as well as notable retailers like Costco, Dwayne Reed and WholeFoods. Mr. Monteiro negotiates and drafts all Company legal documents and keeps the Company in compliance with all State and Federal regulations involving capital structures and equity/debt offerings. Mr. Monteiro is also general counsel to Legal Interpreting Services (a worldwide linguistic company with over 7,000 linguists) and Feel Good Foods LLC (a gluten free, frozen food manufacturer).

Michael Fishman is general counsel to multiple international telecommunications companies like Pureminutes LLC, MedCom LLC, QT Talk LLC and QT Globe Inc. Mr. Fishman negotiates and drafts all corporate agreements and deals. Mr. Fishman guides the companies through the legal requirements for obtaining investment capital through Regulation S foreign offerings and prepares all documents and compliance requirements thereto.

Mr. Fishman is also general counsel to several national real estate companies including Clarity Real Estate Group LTD and Imperial Capital LLC. In that position, he handles all acquisitions, sales, and holdings, including the corresponding transactional and corporate document.

Tort Law

Monteiro Fishman LLP is equipped to defend any kind of tort action. Partnering with our clients, Monteiro & Fishman LLP develops strategic defenses for actions arising from various tort categories like: wrongful death, toxic tort, personal injury, construction accidents, dog bites, slip and fall, premise liability, mass tort, or general negligence claims. The firm is relentless in discovery proceedings, has first-chaired over 100 jury trials, conducted over 100 mediations, and over 50 arbitrations.

We also provide relevant and competent advice and follow up with timely and accurate reporting. Our firm understands the expanding costs of litigation are a considerable concern, and we are focused on providing the most cost-effective resolution to any claim. Importantly, we take our promises seriously. When we set a deadline, we keep it. When we give you a budget, it will be based on realistic projections. All phone calls are promptly returned and always no later than the next business day.

Mr. Quinn is the firm's primary trial attorney and has 30 years of litigation experience, including as a lead trial attorney for Rivkin Radler LLP for over 15 years when he was a partner there. In that capacity, Mr. Quinn has defended all phases of personal injury litigation, from initial pleadings to verdict.

Mr. Monteiro has developed a specialty for defending schools and yeshivas from slip and falls to defamation to the wrongful death of several students. In this capacity, he has defended claims on behalf of his clients that include the New York State Liquidation Bureau, GuideOne Mutual Insurance Co., Liberty Mutual Insurance Company and Adventist Risk Management. *See Lissaur v. Shaarei Halacha Inc et al.*, Docket No. 09391/2007 (2d Dept 2007)(Defense of slip and fall against client synagogue); *Horovitz v. Yeshiva Tzion Yosef Pupa, Inc.*, Index 1334/06 (N.Y. Sup. Ct., Rockland County 2006)(Defense and settlement of wrongful death action against client Yeshiva in drowning case); *Benedicto v. Yeshiva Ohr Torah Community School*, Index No. 11768/2004 (N.Y. Sup. Ct., Queens County (2004)(Defence and settlement of trip and fall case against client community school); *Hoffman v. United Methodist Church*, Index No. 19883/05 (Sup. Ct. Suffolk County 2005)(Defense of slip and fall on steps leading to client church); *Gross v. Congregation Tzemach Tzadik Viznitz*, Index No. 14414/05 (N.Y. Sup. Ct., Kings County 2005)(Defense and settlement of slip and fall on steps leading to client synagogue); *Bernard v. A. Randolph Haig Day Care Center Inc.*, Index No. 23442/07 (N.Y. Sup. Ct., Kings County 2007)(Defense of slip and fall on sidewalk outside client day care center); *Durugordon v. Christian Mission Church*, Index No. 18022/05 (N.Y. Sup. Ct., Bronx County 2005)(Defense of auto accident between motorist and client church van).

Mr. Fishman has successfully litigated hundreds of coverage cases nationwide stemming from personal injury, toxic torts (i.e. lead paint, asbestos, PCBs, etc.), construction defects and intellectual property rights. Mr. Fishman has represented clients in litigation involving hundreds of millions of dollars in damages. He has acted as national counsel to Fireman's Fund for product liability claims. Additionally, he has worked with the EPA in drafting a White Paper analyzing the affects of Perfluorooctanoic Acid (PFOA) and the potential liabilities associated with same.

Commercial Litigation / Class Action

The lawyers of Monteiro & Fishman LLP are experienced in managing and litigating a case from inception through trial. The breadth of our practice covers the full range of litigation issues businesses, municipalities and individuals encounter.

Recognizing the business realities that our clients operate in, the lawyers of Monteiro & Fishman LLP also advise clients on pragmatic strategies to resolve their legal matters in the fastest, most cost efficient manner. When the cost and risk of litigation outweigh the potential rewards, our attorneys offer counsel on alternative dispute resolution, arbitration and mediation.

Mr. Monteiro has litigated some of the Nation's largest commercial and class-action claims. See *In re Fedex Corp. Shareholder Derivative Litigation*, Master Civ. No.2:08-cv-02284 (W.D. Tenn.)(Represented a pension fund in a shareholder derivative action against the Board of Directors of FedEx Corp alleging breaches of fiduciary duties); *Marple v Countrywide Financial Corporation and Countrywide Home Loans, Inc.*, Civ. No.07-cv-4402 (D. N.J.)(Represented residential and commercial real estate purchasers who were allegedly charged and paid mark-ups by Countrywide Financial Corporation and Countrywide Home Loans, Inc. for real estate settlement services in violation of the Real Estate Settlement Procedures Act and the New Jersey consumer protection statute.); *Muehlbauer v. General Motors Corp.*, Civ. No. 05-cv-02676 (N.D. Ill.)(Represented purchasers of certain vehicles manufactured by General Motors in a class action alleging breach of warranty and consumer protection statutes); *In Re Saturn L-Series Timing Chain Products Liability Litigation*, Civ. No., 8:07-cv-298 (D. Neb.)(Represented purchasers of certain vehicles manufactured by Saturn in a class action alleging breach of warranty and consumer protection statutes.)

Mr. Monteiro has also obtained notable decisions and awards. See *OTE v. Medcom et al.*, Arb. No. 18956 (U.S.A. – Greece) (Int'l Comm. Arb. 2014) (Favorable award for client US Corporation against Greek Corporation before ICC International Court of Commerce venued in Geneva Switzerland in breach of international contract action); *QT Talk, Inc. v. Carlton Barlow*, Index No. 100514 (Sup. Ct., New York County, 2013)(Granted summary judgment and obtained corporate ownership in a multi-million dollar website/domain-name conversion case); *Murillo v. Murillo*, CV-2769 (N.Y. Dist. Ct. 2013)(Obtain defense verdict for client in consumer conversion case); *Dave v. JMG Contractor, Inc.*, Index No. CV-044010 (N.Y. Dist. Ct. 2013)(Obtained favorable settlement for defendant client after cross-examination of plaintiff in breach of contract case.); *Utica Mutual Ins. Co. v. JMG Contractor, Inc., et al.*, Index No. 18798/2011 (Dist. Ct. Nassau County 2011)(Granted summary judgment, dismissing Utica Mutual Insurance Co.'s claims against corporate client in coverage action.)

Mr. Fishman is coordinating litigation counsel to Clarity Real Estate Group LTD and Imperial Capital LLC, both real estate financing firms. In that position, he litigates all local lawsuits, or coordinates with out of state law firms to represent the companies. He is currently litigating the transfer of multiple properties, valued at over 6 million dollars, in an alleged fraudulent conveyance action. He also litigated a \$500,000 commercial paper action against a major banking institution. Further, he is involved in a lawsuit seeking 4 million dollars in a purported fraudulent security action. Finally, Mr. Fishman is currently defending a seizure action against creditors seeking multi-millions worth of privately held secondary securities.

Mr. Fishman recently settled a matter against a major toy manufacturer in a multi-million dollar litigation involving alleged trademark, copyright and other intellectual property infringement over new technology. The terms of that settlement are confidential.

Mr. Fishman has also obtained other notable decisions and settlements. *See Chunghwa Telecom Global, Inc. v. Medcom, LLC, QT et al.*, CV13-02104 HRL (N.D. Cal., San Jose 2013) (Motion to dismiss granted, dismissing claims for breach of contract, fraud, quantum merit and others based upon business dispute between corporate entities); *American Express Travel Related Services Company, Inc. v. Frontline Communications International, Inc. et al.*, Index No.: 102360/2005 (Sup. Ct. NY County 2013) (Defended and ultimately successfully settled 1.5M of claims against client for nominal value of \$1,000; included release for clients of all claims); *Thompson v. Imperial Capital LLC, et al.*, 91 A.D.3d 461, 936 N.Y.S.2d (1st Dep't 2012) (First Department grants appeal, reversing the lower Court's decision and dismisses the original cause of action against corporate client); *Louis R. Arriola v. QT Globe, Inc.*, 11 CIV 7949 (S.D.N.Y. 2011) (Negotiated settlement involving \$650,000 of claims for breach of a buy-out contract of key shareholder and former president of an international company); *Stuart Fishkin and Donna Fiskin v. Mario Vaglica et al.*, Index No: 014840/05 (Nassau County 2012) (Successfully defended construction company defendant against alleged construction defect claims); *Thompson v. Frontline Communications, Inc. et al.*, Index No. 118235/02 (Sup Ct. N.Y. County 2011) (Motion to dismiss granted, dismissing turnover action against firm clients); *Elaine Thompson v. QT Globe, Inc.*, et al. Index No. 09/116077 (Sup Ct. N.Y. County 2010) (Motion to dismiss granted, action against corporate clients involving alter ego and fraudulent conveyance claims dismissed in its entirety); *Thompson v. Cooper*, Index No. 118235/02 (Sup. Ct. N.Y. County March 18, 2010) (Motion to dismiss granted dismissing multiple contempt motions associated with \$4M post judgment discovery proceedings); *Ito v. Onsite Marketing, Inc. et al.*, Index No. 23648/06 (Sup Ct. Suffolk County, April 2010) (Defended commercial business owner in real estate action alleging hundreds of thousands of dollars in damages. After four years of litigation, obtained successful dismissal of suit without any client contribution).

Federal Civil Rights Litigation & Labor and Employment Litigation

Ralph Somma, *of counsel* to the firm, is primarily responsible for handling the firms Federal Civil Rights and Labor and Employment Litigation department. Mr. Somma has dedicated the last 20 years of his professional life exclusively to this evolving field.

He has handled all facets of labor and employment law before state and federal agencies and courts, including the NYS and US Dept. of Labor, the NYS Divisions of Human Rights and the EEOC. He has tried cases in state and federal agencies and courts involving claims under NY Labor Law, the Family & Medical Leave Act, the Fair Labor Standards Act, Title VII of the Civil Rights Act of 1964, 42 U.S.C. § 2000e et seq., the Civil Rights Act of 1866, 42 U.S.C. § 1981, the Age Discrimination in Employment Act of 1967, 29 U.S.C. § 621 et seq., as amended by the Older Workers Benefit Protection Act, the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq., the Equal Pay Act of 1963, 29 U.S.C. § 206(d), the Family and Medical Leave Act of 1993, as amended, 29 U.S.C. § 2601 et seq., the Rehabilitation Act of 1973, 29 U.S.C. § 794, et seq., the WARN Act, 29 U.S.C. § 2101, et seq., the New York State Human Rights Law and the New York City Human Rights Law.

Mr. Somma has handled all types of cases under the foregoing laws that include: discrimination, harassment, unpaid commissions/wages/overtime, and breach of contract, FMLA, union fair representation, OSHA and ERISA practices. He has conducted lectures and training on workplace related matters.

Additionally, Mr. Monteiro has actively litigated employment issues, including FLSA violations, in the Eastern District and is experienced with the following agreements:

- Employment contracts
- Anticompetition agreements
- Employment agreements
- HR policies
- Employee handbooks
- Training on harassment/discrimination/affirmative action
- Severance agreements
- Executive agreements
- Employee retention
- Protection of trade secrets
- Severance pay
- Confidentiality agreements
- Create wage and hour classifications
- Workplace violence threats
- Employment issues in mergers and acquisitions
- Workplace investigations
- Advice: employee discipline, termination or layoffs
- Advice: reductions in force

Bankruptcy

The practice at Monteiro & Fishman LLP has assisted hundreds of consumer and business debtors in chapter 7 and chapter 13 proceedings.

Indeed, since its formation in 2009, Monteiro & Fishman has appeared in over 300 bankruptcy proceedings in the Bankruptcy Court, Eastern District of New York.

Additionally, the firm has successfully moved the Bankruptcy Court for relief under the bankruptcy code, i.e. eliminate unsecured judicial liens and mortgages. Further, the firm has appeared at 2004 examinations and defended corporate bankruptcy clients during trustee inquiries directed at determining corporate fraud, squandering, and/or various fiduciary breaches.

Additionally, the Firm regularly participates as bankruptcy specialist in the Nassau County Bar Association monthly foreclosure/SANDY legal consultation clinics which offers free legal advice to distressed debtors facing foreclosure. Furthermore, Marcus Monteiro has authored articles discussing consumer bankruptcy issues, like *Investigating Your Client's Bankruptcy Petition: How Much is Enough?* That article was published in the Nassau Lawyer in its July/August 2011 edition at page 2.

Family Law

Monteiro & Fishman LLP is experienced in all matters governing the legal relationships among parents, families, husbands, wives, children and domestic partners. We have litigated and resolved issues regarding child custody, orders of protection, visitation rights, domestic violence, support obligations, paternity, and guardianship.

Michael Fishman has appeared in over 100 cases in the Family Court, Nassau County, and litigated issues regarding custody, orders of protection, support, guardianship, and visitation rights. Also, Mr. Fishman has tried many cases before the Nassau County Family Court, including a two-year custody trial featuring multiple witnesses and experts.

Marcus Monteiro has similarly appeared in over 100 cases in Family Court, Nassau County and litigated cases, conducted hearings and held trials before the Nassau County Family Court regarding custody, orders of protection, support, guardianship and visitation rights. Because of privacy concerns, the above cases are not cited.

AMENDMENT NO.2

AMENDMENT (together with any appendices or exhibits hereto, this "Amendment") dated as of the date that this Amendment is executed by Nassau County (the "Effective Date"), between (i) Nassau County, a municipal corporation having its principal office at 1550 Franklin Avenue, Mineola, New York 11501 (the "County"), acting for and on behalf of the Office of the Nassau County Attorney, having its principal office at One West Street, Mineola, New York 11501 (the "Department"), and (ii) Monteiro & Fishman LLP with an office located at 91 North Franklin Street, Suite 108, Hempstead, New York 11550 ("Counsel" or "Contractor").

W I T N E S S E T H:

WHEREAS, pursuant to County contract number CQAT14000019 between the County and Counsel, executed on behalf of the County on August 4, 2014, as amended by amendment number one, County contract amendment number CLAT15000006, executed on behalf of the County on August 17, 2015 (the "Original Agreement"), Counsel provides legal services to the County, which services are more fully described in the Original Agreement (the services contemplated by the Original Agreement, the "Services"); and

WHEREAS, the term of the Original Agreement is from June 25, 2014 until June 24, 2016 unless sooner terminated in accordance with the provisions of the Original Agreement, provided that the County may renew the Original Agreement under the same terms and conditions for three (3) additional one (1) year periods (the "Original Term"); and

WHEREAS, the maximum amount that the County agreed to reimburse Counsel for Services under the Original Agreement, as full compensation for the Services, was Forty-nine Thousand Eight Hundred Dollars (\$49,800.00) (the "Maximum Amount"); and

WHEREAS, the County desires to exercise one (1) of the three (3) options to renew by extending the Original Term.

NOW, THEREFORE, in consideration of the promises and mutual covenants contained in this Amendment, the parties agree as follows:

1. Renewal of Term. The Original Agreement shall be renewed and thereby extended by one (1) year, so that the termination date of the Original Agreement, as amended by this Amendment (the "Amended Agreement"), shall be June 24, 2017.

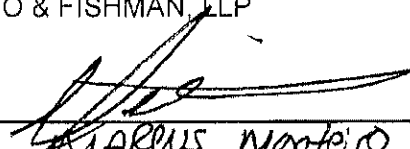
2. Payment. Compensation to Counsel for Services performed after October 1, 2016 shall be paid at the following hourly rates:

(i) Partner:	\$225.00
(ii) Of Counsel:	\$225.00


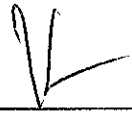
3. Full Force and Effect. All the terms and conditions of the Original Agreement not expressly amended by this Amendment shall remain in full force and effect and govern the relationship of the parties for the term of the Amended Agreement.

IN WITNESS WHEREOF, the parties have executed this Amendment as of the Effective Date.

MONTEIRO & FISHMAN, LLP

By: 
Name: ARIUS Monteiro
Title: Member
Date: 10/3/2016

NASSAU COUNTY

By:  
Name: Carnell Foskey
Title: County Attorney
Date: 12/9/16

NASSAU COUNTY

By: _____
Name: _____
Title: County Executive
☐ Deputy County Executive
Date: _____

PLEASE EXECUTE IN BLUE INK

COUNTY OF NASSAU)

On the 3 day of October in the year 2016 before me personally came MADEU MONTEIRO to me personally known, who, being by me duly sworn, did depose and say that he or she resides in the County of NASSAU; that he or she is the Member of MONTEIRO & FISHERMAN LLP, the corporation described herein and which executed the above instrument; and that he or she signed his or her name thereto by authority of the board of directors of said corporation.

Notary Public
NOTARY PUBLIC

NATHALIA CASTILLO
Notary Public, State of New York
No. 01CA6220136
Qualified in Suffolk County
Commission Expires April 12, 2018

COUNTY OF NASSAU)

On the 9th day of December in the year 2016 before me personally came Carnell Foskey to me personally known, who, being by me duly sworn, did depose and say that he resides in the County of Nassau; that he is County Attorney of the County of Nassau, the municipal corporation described herein and which executed the above instrument; and that he signed his name thereto pursuant to Section 1101 of the County Government Law of Nassau County.

County: Rocky Mts
NOTARY PUBLIC

JACLYN DELLE
Notary Public, State of New York
No. 02DE6305114
Qualified in Nassau County
Commission Expires on June 2, 2018

COUNTY OF NASSAU)

On the ____ day of _____ in the year 20____ before me personally came _____ to me personally known, who, being by me duly sworn, did depose and say that he or she resides in the County of _____; that he or she is a Deputy County Executive of the County of Nassau, the municipal corporation described herein and which executed the above instrument; and that he or she signed his or her name thereto pursuant to Section 205 of the County Government Law of Nassau County.

NOTARY PUBLIC



Contract Details

SERVICES: Outside Counsel

NIFS ID #: CLAT15000006 NIFS Entry Date: 05/27/2015 Term: June 25, 2014 – June 24, 2016

New <input type="checkbox"/> Renewal <input type="checkbox"/>
Amendment # 1 <input checked="" type="checkbox"/> <i>(41)</i>
Time Extension <input type="checkbox"/>
Addl. Funds <input type="checkbox"/>
Blanket Resolution <input type="checkbox"/>
RES#

1) Mandated Program:	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
2) Comptroller Approval Form Attached:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
3) CSEA Agmt. § 32 Compliance Attached:	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
4) Vendor Ownership & Mgmt. Disclosure Attached:	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
5) Insurance Required	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Agency Information

Vendor	
Name Monteiro & Fishman LLP	Vendor ID# 800340440
Address 91 North Franklin Street Suite 108 Hempstead, New York 11550	Contact Person Marcus Monteiro
	Phone (516) 280-4600 Ext. 301

County Department
Department Contact Daniel Gregware
Address 1 West St. Mineola, New York 11501
Phone (516) 571-1675

Routing Slip

DATE Rec'd.	DEPARTMENT	Internal Verification	DATE App'd & Fw'd.	SIGNATURE	Leg. Approval Required
	Department	NIFS Entry (Dept) <input type="checkbox"/> NIFS Appvl (Dept. Head) <input type="checkbox"/>			
	OMB	NIFS Approval <input type="checkbox"/>	6/13/15	<i>[Signature]</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> Not required if blanket resolution
7/2/15	County Attorney	CA RE&I Verification <input checked="" type="checkbox"/>	7/2/15	<i>[Signature]</i>	
	County Attorney	CA Approval as to form <input type="checkbox"/>	6/22/15	<i>[Signature]</i>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	LEG	Legislative Affairs Fw'd Original K to C-4 <input type="checkbox"/>			
	Rules <input type="checkbox"/> / Leg. <input type="checkbox"/>	<input type="checkbox"/>			
	County Attorney	NIFS Approval <input type="checkbox"/>	6/24/15	<i>[Signature]</i>	
	County Comptroller	NIFS Approval <input checked="" type="checkbox"/>	6/24/15	<i>[Signature]</i>	
7/1/15	County Executive	Notarization Filed with Clerk of the Leg. <input type="checkbox"/>	7/1/15	<i>[Signature]</i>	



CLAT15000006

Contract Summary

Description: Amendment # 1 to outside counsel contract.
Purpose: This is an amendment to an outside counsel contract to represent the County and/or such other party as the County may be required to defend, in various matters as requested by the County Attorney, or their designee, within the following areas of law in which the Department has determined Counsel to be qualified: Bankruptcy Law; Commercial Litigation; Class Action; Family Law; Federal Civil Rights Section 1983; Employment and Labor Law (Litigation); Insurance Law; Real Property (Litigation); Transactions; and Tort Law. As of the commencement of the original agreement, Counsel has been assigned the following case: <u>Barbara Wagner v. County of Nassau and County of Nassau Department of Public Works</u> , Index No. CV-11-1613 (JS) (ARL). This case has been sent to outside counsel because the County Attorney's office does not have the necessary resources to handle this matter. This amendment exercises one of the available renewal options by extending the term and increasing the maximum amount.
Method of Procurement: Contract amendment. See below for procurement history.
Procurement History: A Request for Qualifications was issued and a panel established. The firm Monteiro & Fishman LLP has been added to this panel. The firm has been determined to be qualified by the Department in the areas of law listed above and assigned the case provided above, after a review of the panel, based on the firm's experience, expertise in the subject matters, and availability.
Description of General Provisions: As described above.
Impact on Funding / Price Analysis: \$24,900.00
Change in Contract from Prior Procurement: N/A
Recommendation: approve as submitted

Advisement Information

BUDGET CODES	
Fund:	GEN
Control:	AT
Resp:	1100
Object:	DE502
Transaction:	

FUNDING SOURCE	AMOUNT
Revenue Contract <input type="checkbox"/>	XXXXXXXX
County	\$24,900.00
Federal	\$
State	\$
Capital	\$
Other	\$
TOTAL	\$24,900.00

LINE	INDEX/OBJECT CODE	AMOUNT
1	ATGEN1100/DE502	\$24,900.00
2		\$
3		\$
4		\$
5		\$
6		\$
TOTAL		\$24,900.00

RENEWAL	
% Increase	
% Decrease	

Document Prepared By: _____

Date: _____

NIPS Certification I certify that this document was accepted into NIPS.		Comptroller Certification I certify that an unencumbered balance sufficient to cover this contract is present in the appropriation to be charged.		County Executive Approval Name: <u>[Signature]</u> Date: <u>7/17/15</u>	
Name: <u>[Signature]</u> Date: <u>8/4/15</u>		Name: <u>[Signature]</u> Date: <u>8/1/15</u>		E #: _____	

AMENDMENT NO. 1

AMENDMENT (together with any appendices or exhibits hereto, this "Amendment") dated as of the date (the "Effective Date") that this Amendment is executed by Nassau County, between (i) Nassau County, a municipal corporation having its principal office at 1550 Franklin Avenue, Mineola, New York 11501 (the "County"), acting for and on behalf of the Office of the Nassau County Attorney, having its principal office at One West Street, Mineola, New York 11501 (the "Department"), and (ii) Monteiro & Fishman LLP, with an office located at 91 North Franklin Street, Suite 108, Hempstead, New York 11550 ("Counsel" or "Contractor").

WITNESSETH:

WHEREAS, pursuant to County contract number CQAT14000019 between the County and Counsel, executed on behalf of the County on August 4, 2014 (the "Original Agreement"), Counsel provides legal services to the County, which services are more fully described in the Original Agreement (the services contemplated by the Original Agreement, the "Services"); and

WHEREAS, the term of the Original Agreement is from June 25, 2014 until June 24, 2015, unless sooner terminated in accordance with the provisions of the Original Agreement, provided that the County may renew the Original Agreement under the same terms and conditions for four (4) additional one (1) year periods (the "Original Term"); and

WHEREAS, the maximum amount that the County agreed to reimburse Counsel for Services under the Original Agreement, as full compensation for the Services, is Twenty-four Thousand Nine Hundred Dollars (\$24,900.00) (the "Maximum Amount"); and

WHEREAS, the County desires to exercise one (1) of the four (4) options to renew by extending the Original Term and increasing the Maximum Amount.

NOW, THEREFORE, in consideration of the promises and mutual covenants contained in this Amendment, the parties agree as follows:

1. Renewal of Term. The Original Agreement shall be renewed and thereby extended by one (1) year, so that the termination date of the Original Agreement, as amended by this Amendment (the "Amended Agreement"), shall be June 24, 2016.

2. Maximum Amount. The Maximum Amount in the Original Agreement shall be increased by Twenty-four Thousand Nine Hundred Dollars (\$24,900.00), so that the maximum amount that the County shall pay to Counsel as full consideration for all Services provided under the Amended Agreement shall be Forty-nine Thousand Eight Hundred Dollars (\$49,800.00) (the "Amended Maximum Amount").

3. Full Force and Effect. All the terms and conditions of the Original Agreement not expressly amended by this Amendment shall remain in full force and effect and govern the relationship of the parties for the term of the Amended Agreement.

IN WITNESS WHEREOF, the parties have executed this Amendment as of the Effective Date.

MONTEIRO & FISHMAN LLP

By: 

Name: MONICA MONTEIRO

Title: PARTNER

Date: MAY 6, 2015

NASSAU COUNTY

By: 

Name: Carnell Foskey

Title: County Attorney

Date: 6/16/15

NASSAU COUNTY

By: 

Name: Charles Rabaldo

Title: County Executive

☒ Deputy County Executive

Date: 5/17/15

PLEASE EXECUTE IN BLUE INK

COUNTY OF NASSAU)

On the 5th day of MA in the year 2016 before me personally came MARCUS MONTFORT to me personally known, who, being by me duly sworn, did depose and say that he or she resides in the County of NASSAU; that he or she is the Vice President of MONTFORT FURNACE LLP, the corporation described herein and which executed the above instrument; and that he or she signed his or her name thereto by authority of the board of directors of said corporation.

Notary Public
NOTARY PUBLIC

COUNTY OF NASSAU)

On the 8th day of JUNE in the year 2015 before me personally came Carnell Foskey to me personally known, who, being by me duly sworn, did depose and say that he resides in the County of Nassau; that he is County Attorney of the County of Nassau, the municipal corporation described herein and which executed the above instrument; and that he signed his name thereto pursuant to Section 1101 of the County Government Law of Nassau County.

NOTARY PUBLIC

COUNTY OF NASSAU)

On the 17th day of August in the year 2015 before me personally came Charles Ribando to me personally known, who, being by me duly sworn, did depose and say that he or she resides in the County of Nassau; that he or she is a Deputy County Executive of the County of Nassau, the municipal corporation described herein and which executed the above instrument; and that he or she signed his or her name thereto pursuant to Section 205 of the County Government Law of Nassau County.

NOTARY PUBLIC

George Maragos
Comptroller



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: Monteiro & Fishman LLP (CLAT15000006)

CONTRACTOR ADDRESS: 91 North Franklin Street, Suite 108, Hempstead, New York 11550

FEDERAL TAX ID #: 800340440

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 _____ [newspaper] on _____ [date]. The sealed bids were publicly opened on _____ [date]. _____ [#] of 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 _____ [newspaper advertisement, posting on website, mailing, etc.]. _____ [#] of potential proposers requested copies of the RFP. Proposals were due on _____ [date]. _____ [#] proposals were received and evaluated. The evaluation committee consisted of: _____

_____ [list members]. The proposals were scored and ranked. As a result of the scoring and ranking (attached), the highest-ranking proposer was selected.

(11)

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

The contract was originally executed by Nassau County on August 4, 2014. 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 a Request for Qualifications was issued and a panel established. The firm Monteiro & Fishman LLP has been added to this panel. The firm has been determined to be qualified by the Department in the areas of law listed in the attached routing sheet and assigned the case provided in the attached routing sheet, after a review of the panel, based on the firm's experience, expertise in the subject matters, and availability.

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.

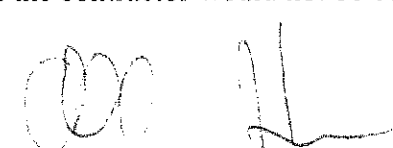
VI. ☐ This is a human services contract with a not-for-profit agency for which a competitive process has not been initiated. Attached is a memorandum that explains the reasons for entering into this contract without conducting a competitive process, and details when the department intends to initiate 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.

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. 02/04

Contract ID#: CQAT14000019



Lettered contract
received on 08/19/14
 Department: County Attorney

Contract Details

SERVICES: Outside Counsel

NIFS ID #: CQAT14000019 NIFS Entry Date: 07/08/2014 Term: June 25, 2014 – June 24, 2015

New X Renewal <input type="checkbox"/>	1) Mandated Program:	Yes <input type="checkbox"/>	No X
Amendment <input type="checkbox"/>	2) Comptroller Approval Form Attached:	Yes X	No <input type="checkbox"/>
Time Extension <input type="checkbox"/>	3) CSEA Agmt. § 32 Compliance Attached:	Yes <input type="checkbox"/>	No X
Addl. Funds <input type="checkbox"/>	4) Vendor Ownership & Mgmt. Disclosure Attached:	Yes <input type="checkbox"/>	No X
Blanket Resolution <input type="checkbox"/>	5) Insurance Required	Yes X	No <input type="checkbox"/>
RES#			

Agency Information

Vendor		County Department	
Name	Monteiro & Fishman LLP	Department Contact	Daniel Gregware
Vendor ID#	800340440	Address	1 West St. Mineola, New York 11501
Contact Person	Marcus Monteiro	Phone	(516) 571-1675
Address	91 North Franklin Street Suite 108 Hempstead, New York 11550		
Phone	(516) 280-4600 Ext. 301		

Routing Slip

DATE Rec'd.	DEPARTMENT	Internal Verification	DATE App'd & Fw'd.	SIGNATURE	Leg. Approval Required
	Department	NIFS Entry (Dept) NIFS Appvl (Dept. Head)	<input type="checkbox"/>	<i>[Signature]</i>	
	OMB	NIFS Approval	<input type="checkbox"/>	<i>[Signature]</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> Not required if blanket resolution
7/29/14	County Attorney	CA RE&I Verification	<input checked="" type="checkbox"/>	<i>[Signature]</i>	
	County Attorney	CA Approval as to form	<input checked="" type="checkbox"/>	<i>[Signature]</i>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	Leg. Affairs	Fw'd Original K to CA	<input type="checkbox"/>		
	Rules <input type="checkbox"/> Leg. <input type="checkbox"/>		<input type="checkbox"/>		
	County Attorney	NIFS Approval	<input checked="" type="checkbox"/>	<i>[Signature]</i>	
	County Comptroller	NIFS Approval	<input checked="" type="checkbox"/>	<i>[Signature]</i>	
	County Executive	Notarization Filed with Clerk of the Leg	<input type="checkbox"/>	<i>[Signature]</i>	



Contract Summary

Description: Outside counsel contract.

Purpose: This is a new outside counsel contract to represent the County and/or such other party as the County may be required to defend, in various matters as requested by the County Attorney, or their designee, within the following areas of law in which the Department has determined Counsel to be qualified: Bankruptcy Law; Commercial Litigation; Class Action; Family Law; Federal Civil Rights Section 1983; Employment and Labor Law (Litigation); Insurance Law; Real Property (Litigation); Transactions; and Tort Law. As of the commencement of this agreement, Counsel has been assigned the following case: Barbara Wagner v. County of Nassau and County of Nassau Department of Public Works, Index No. CV-11-1613 (JS) (ARL). This case has been sent to outside counsel because the County Attorney's office does not have the necessary resources to handle this matter.

Method of Procurement: A Request for Qualification was issued and a panel established. The firm Monteiro & Fishman LLP has been added to this panel. The firm has been determined to be qualified by the Department in the areas of law listed above and assigned the case provided above, after a review of the panel, based on the firm's experience, expertise in the subject matters, and availability.

Procurement History: See above for procurement method.

Description of General Provisions: As described above.

Impact on Funding / Price Analysis: \$24,900.00

Change in Contract from Prior Procurement: N/A

Recommendation: approve as submitted

Advisement Information

BUDGET CODES	
Fund:	GEN
Control:	AT
Resp:	1100
Object:	DE502
Transaction:	

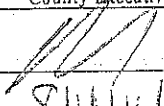
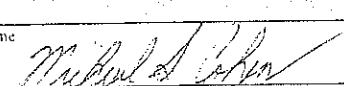
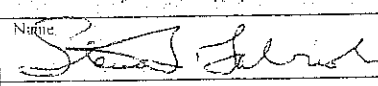
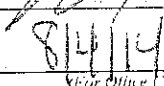
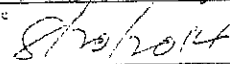
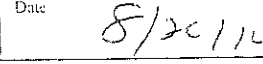
FUNDING SOURCE	AMOUNT
Revenue Contract <input type="checkbox"/>	XXXXXXXX
County	\$24,900.00
Federal	\$
State	\$
Capital	\$
Other	\$
TOTAL	\$24,900.00

LINE	INDEX/OBJECT CODE	AMOUNT
1	ATGEN1100/DE502	\$24,900.00
2		\$
3		\$
4		\$
5		\$
6		\$
TOTAL		\$24,900.00

RENEWAL	
% Increase	
% Decrease	

Document Prepared By: _____

Date: _____

NIFS Certification	Comptroller Certification	County Executive Approval
I certify that this document was accepted into NIFS.	I certify that an unencumbered balance sufficient to cover this contract is present in the appropriation to be charged.	Name: 
Name: 	Name: 	Date: 
Date: 	Date: 	E #:

George Maragos
Comptroller



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: Monteiro & Fishman LLP (CQAT14000019)

CONTRACTOR ADDRESS: 91 North Franklin Street, Suite 108, Hempstead, New York 11550

FEDERAL TAX ID #: 800340440

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 _____ [newspaper] on _____ [date]. The sealed bids were publicly opened on _____ [date]. _____ [#] of 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 _____ [newspaper advertisement, posting on website, mailing, etc.]. _____ [#] of potential proposers requested copies of the RFP. Proposals were due on _____ [date]. _____ [#] proposals were received and evaluated. The evaluation committee consisted of: _____

_____ [list members]. The proposals were scored and ranked. As a result of the scoring and ranking (attached), 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. A Request for Qualification was issued and a panel established. The firm Monteiro & Fishman LLP has been added to this panel. The firm has been determined to be qualified by the Department in the areas of law and assigned the case provided in the attached routing slip and contract, after a review of the panel, based on the firm's experience, expertise in the subject matters, and availability.

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.

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. 02/04

CONTRACT FOR SERVICES

THIS AGREEMENT, (together with the schedules, appendices, attachments and exhibits, if any, this "Agreement"), dated as of the date (the "Effective Date") that this Agreement is executed by Nassau County, is entered into by and between (i) Nassau County, a municipal corporation having its principal office at 1550 Franklin Avenue, Mineola, New York 11501 (the "County"), acting for and on behalf of the Office of the Nassau County Attorney, having its principal office at One West Street, Mineola, New York 11501 (the "Department"), and (ii) Monteiro & Fishman LLP, with an office located at 91 North Franklin Street, Suite 108, Hempstead, New York 11550 ("Counsel" or "Contractor").

WITNESSETH:

WHEREAS, the County desires to hire Counsel to perform the services described in this Agreement; and

WHEREAS, Counsel is eminently qualified and ready to provide the necessary services; and

WHEREAS, this is a personal service contract within the intent and purview of Section 2206 of the County Charter.

NOW, THEREFORE, in consideration of the promises and mutual covenants contained in this Agreement, the parties agree as follows:

1. Term. This Agreement shall commence on June 25, 2014 and shall terminate on June 24, 2015, unless sooner terminated in accordance with the provisions of this Agreement, provided that the County may renew this Agreement under the same terms and conditions for four (4) additional one (1) year periods.

2. Services. The services to be provided by Counsel under this Agreement shall consist of representing Nassau County, and/or such other party as the County may be required to defend, in various matters as requested by the County Attorney, or their designee, within the areas of law in which the Department has determined Counsel to be qualified ("Services"). The initial case assigned to Counsel, as well as the areas of law in which the Department has determined Counsel to be qualified to represent the County, are described in the attached Appendix A. Services shall include, but not be limited to: motion practice; pre-trial discovery; trial; appeals; transactional related issues; and such other Services as may be required to fully represent the County. Except as otherwise provided in this Agreement, such Services shall conclude no earlier than entry of a verdict or a settlement or of a court-order terminating the litigation.

3. Payment. (a) Amount of Consideration. (1) The amount to be paid to Counsel as full consideration for Counsel's Services for at least during the initial stages of representation under this Agreement, including disbursements, shall not exceed the sum of Twenty-four Thousand Nine Hundred Dollars (\$24,900.00) ("Maximum Amount"). Compensation for professional services shall be paid at an hourly rate according to the following fee schedule:

(i) Partner:	\$210.00
(ii) Of Counsel:	\$210.00
(iii) Associate:	\$140.00
(iv) Paralegal:	\$90.00
(v) Law Clerk:	\$55.00

(2) Any appearances before the County Legislature, or any committee thereof for the purpose of the approval of this Agreement or any amendment thereto, are to be construed as part of the fee negotiation and approval process and Counsel agrees that no fee will be charged for any such appearances.

(b) Vouchers; Voucher Review, Approval and Audit. Payment shall be made to Counsel in arrears and shall be contingent upon (i) Counsel submitting a claim voucher (the "Voucher") in a form satisfactory to the County, that (a) is accompanied by a contemporaneous record of hours billed stating the person(s) performing the Services and indicating with reasonable specificity, the ~~Services provided and the payment requested in consideration for such Services,~~ or contains a detailed, itemized list of allowable expenses; (b) certifies that the Services rendered and the payment requested are in accordance with this Agreement, and (c) is accompanied by documentation satisfactory to the County supporting the amount claimed, and upon (ii) review, approval and audit of the Voucher by the Department and/or the County Comptroller or his or her duly designated representative (the "Comptroller").

(c) Timing of Payment Claims. Counsel shall submit its claim no later than three (3) months following the County's receipt of the services that are the subject of the claim, and no more frequently than once a month.

(d) Expenses and Disbursement. Counsel shall be compensated within the Maximum Amount for all reasonable expenses and disbursements actually incurred, including but not limited to out-of-pocket disbursements for expert costs, messengers, investigators, trial preparation services and other legitimate expenses. Counsel shall obtain prior written approval from the County Attorney or his designee for all non-routine expenses and disbursements or any expense or disbursement not listed in this paragraph.

(e) No Duplication of Payments. Payments under this Agreement shall not duplicate payments for any work performed or to be performed under other agreements between Counsel and any funding source including the County.

(f) Payments in Connection with Termination or Notice of Termination. Unless a provision of this Agreement expressly states otherwise, payments to Counsel following the termination of this Agreement shall not exceed payments made as consideration for services that were (i) performed prior to termination, (ii) authorized by this Agreement to be performed, and (iii) not performed after

Counsel received notice that the County did not desire to receive such services.

4. Independent Contractor. Counsel is an independent contractor of the County. Counsel shall not, nor shall any officer, director, employee, servant, agent or independent contractor of Counsel (a "Counsel Agent"), be (i) deemed a County employee, (ii) commit the County to any obligation, or (iii) hold itself, himself, or herself out as a County employee or Person with the authority to commit the County to any obligation. As used in this Agreement the word "Person" means any individual person, entity (including partnerships, corporations and limited liability companies), and government or political subdivision thereof (including agencies, bureaus, offices and departments thereof).

5. No Arrears or Default. Counsel is not in arrears to the County upon any debt or contract and it is not in default as surety, contractor, or otherwise upon any obligation to the County, including any obligation to pay taxes to, or perform services for or on behalf of, the County.

6. Compliance with Law. (a) Generally. Counsel shall comply with any and all applicable Federal, State and local Laws, including, but not limited to those relating to conflicts of interest, human rights, a living wage, disclosure of information and vendor registration in connection with its performance under this Agreement. In furtherance of the foregoing, Counsel is bound by and shall comply with the terms of Appendix EE attached hereto and with the County's registration protocol. As used in this Agreement the word "Law" includes any and all statutes, local laws, ordinances, rules, regulations, applicable orders, and/or decrees, as the same may be amended from time to time, enacted, or adopted.

(b) Nassau County Living Wage Law. Pursuant to LL 1-2006, as amended, and to the extent that a waiver has not been obtained in accordance with such law or any rules of the County Executive, Counsel agrees as follows:

- (i) Counsel shall comply with the applicable requirements of the Living Wage Law, as amended;
- (ii) Failure to comply with the Living Wage Law, as amended, may constitute a material breach of this Agreement, the occurrence of which shall be determined solely by the County. Counsel has the right to cure such breach within thirty days of receipt of notice of breach from the County. In the event that such breach is not timely cured, the County may terminate this Agreement as well as exercise any other rights available to the County under applicable law.
- (iii) It shall be a continuing obligation of Counsel to inform the County of any material changes in the content of its certification of compliance, attached to this Agreement as Appendix L, and shall provide to the County any information necessary to maintain the certification's accuracy.

(c) Records Access. The parties acknowledge and agree that all records, information, and data ("Information") acquired in connection with performance or administration of this Agreement shall be used and disclosed solely for the purpose of performance and administration of

the contract or as required by law. Counsel acknowledges that Counsel Information in the County's possession may be subject to disclosure under Article 6 of the New York State Public Officer's Law ("Freedom of Information Law" or "FOIL"). In the event that such a request for disclosure is made, the County shall make reasonable efforts to notify Counsel of such request prior to disclosure of the Information so that the Counsel may take such action as it deems appropriate.

7. Ownership of Records. All County Information provided to Counsel by the County shall remain the property of the County. All reports, documents or information created by Counsel on behalf of the County shall be deemed the property of the County. Upon the County's request, completion of Services, or termination of this Agreement, all such County Information, reports, documents or information shall be returned to the County.

8. Service Standards. Regardless of whether required by Law: (a) Counsel shall, and shall cause Counsel Agents to, conduct his or her activities in connection with this Agreement so as not to endanger or harm any Person or property.

(b) Counsel shall deliver Services under this Agreement in a professional manner consistent with the best practices of the legal profession. Counsel shall take all actions necessary or appropriate to meet the obligation described in the immediately preceding sentence, including obtaining and maintaining, and causing all Counsel Agents to obtain and maintain, all approvals, licenses, and certifications ("Approvals") necessary or appropriate in connection with this Agreement.

9. No Conflict Representation. During the term of this Agreement, Counsel shall not represent any party whose interest is or may be adverse to or in conflict with, or whose interest may appear to be adverse to or in conflict with the County, nor shall it commence any action or proceeding, or act as Counsel in any action or proceeding that is adverse to the County or any County officer or employee, without the County's prior written consent.

10. Indemnification; Defense; Cooperation. (a) Counsel shall indemnify, defend and hold harmless the County, the Department and its officers, employees, and agents (the "Indemnified Parties") from and against any and all liabilities arising out of or in connection with performance under this Agreement by Counsel or a Counsel Agent, provided, however, that the Counsel shall not be responsible for that portion, if any, of a Loss that is caused by the negligence of the County.

(b) Counsel shall, upon the County's demand and at the County's direction, promptly and diligently defend, at Counsel's own risk and expense, any and all suits, actions, or proceedings which may be brought or instituted against one or more Indemnified Parties for which Counsel is responsible under this Section, and, further to Counsel's indemnification obligations, Counsel shall pay and satisfy any judgment, decree, loss or settlement in connection therewith.

(c) Counsel shall, and shall cause Counsel Agents to, cooperate with the County and the Department in connection with the investigation, defense or prosecution of any action, suit or proceeding in connection with this Agreement, including the acts or omissions of Counsel and/or a Counsel Agent in connection with this Agreement.

(d) The provisions of this Section shall survive the termination of this Agreement.

11. Insurance. (a) Types and Amounts. Counsel shall obtain and maintain throughout the term of this Agreement, at its own expense: (i) one or more policies for commercial general liability insurance, which policy(ies) shall name "Nassau County" as an additional insured and have a minimum single combined limit of liability of not less than One Million Dollars (\$1,000,000.00)

per occurrence and Two Million Dollars (\$2,000,000.00) aggregate coverage, (ii) if contracting in whole or part to provide professional services, one or more policies for professional liability insurance, which policy(ies) shall have a minimum single combined limit of liability of not less than One Million Dollars (\$1,000,000.00) per claim (iii) compensation insurance for the benefit of the Counsel's employees ("Workers' Compensation Insurance"), which insurance is in compliance with the New York State Workers' Compensation Law, and (iv) such additional insurance as the County may from time to time specify.

(b) Acceptability; Deductibles; Subcontractors. All insurance obtained and maintained by Counsel pursuant to this Agreement shall be (i) written by one or more commercial insurance carriers licensed to do business in New York State and acceptable to the County, and which is (ii) in form and substance acceptable to the County. Counsel shall be solely responsible for the payment of all deductibles to which such policies are subject. Counsel shall require any subcontractor hired in connection with this Agreement to carry insurance with the same limits and provisions required to be carried by Counsel under this Agreement.

(c) Delivery; Coverage Change; No Inconsistent Action. Prior to the execution of this Agreement, copies of current certificates of insurance evidencing the insurance coverage required by this Agreement shall be delivered to the Department. Not less than thirty (30) days prior to the date of any expiration or renewal of, or actual, proposed or threatened reduction or cancellation of coverage under, any insurance required hereunder, Counsel shall provide written notice to the Department of the same and deliver to the Department renewal or replacement certificates of insurance. Counsel shall cause all insurance to remain in full force and effect throughout the term of this Agreement and shall not take or omit to take any action that would suspend or invalidate any of the required coverages. The failure of Counsel to maintain Workers' Compensation Insurance shall render this contract void and of no effect. The failure of Counsel to maintain the other required coverages shall be deemed a material breach of this Agreement upon which the County reserves the right to consider this Agreement terminated as of the date of such failure.

12. Assignment; Amendment; Waiver; Subcontracting. This Agreement and the rights and obligations hereunder may not be in whole or part (i) assigned, transferred or disposed of, (ii) amended, (iii) waived, or (iv) subcontracted, without the prior written consent of the County Executive or his or her duly designated deputy (the "County Executive"), and any purported assignment, other disposal or modification without such prior written consent shall be null and void. The failure of a party to assert any of its rights under this Agreement, including the right to demand strict performance, shall not constitute a waiver of such rights.

13. Termination. (a) Generally. This Agreement may be terminated (i) for any reason by the County upon thirty (30) days' written notice to Counsel, (ii) for "Cause" by the County immediately upon the receipt by Counsel of written notice of termination, (iii) upon mutual written Agreement of the County and the Counsel, and (iv) in accordance with any other provisions of this Agreement expressly addressing termination.

As used in this Agreement the word "Cause" includes: (i) a breach of this Agreement; (ii) the failure to obtain and maintain in full force and effect all Approvals required for the services described in this Agreement to be legally and professionally rendered; and (iii) the termination or impending termination of federal or state funding for the services to be provided under this Agreement.

(b) By Counsel. This Agreement may be terminated by Counsel if performance becomes impracticable through no fault of the Counsel, where the impracticability relates to Counsel's ability

to perform its obligations and not to a judgment as to convenience or the desirability of continued performance. Termination under this subsection shall be effected by Counsel delivering to the commissioner or other head of the Department (the "Commissioner"), at least sixty (60) days prior to the termination date (or a shorter period if sixty days' notice is impossible), a notice stating (i) that Counsel is terminating this Agreement in accordance with this subsection, (ii) the date as of which this Agreement will terminate, and (iii) the facts giving rise to the Counsel's right to terminate under this subsection. A copy of the notice given to the Commissioner shall be given to the Deputy County Executive who oversees the administration of the Department (the "Applicable DCE") on the same day that notice is given to the Commissioner.

(c) Counsel Assistance upon Termination. In connection with the termination or impending termination of this Agreement the Counsel shall, regardless of the reason for termination, take all actions reasonably requested by the County (including those set forth in other provisions of this Agreement) to assist the County in transitioning Counsel's responsibilities under this Agreement. The provisions of this subsection shall survive the termination of this Agreement.

14. Accounting Procedures; Records. Counsel shall maintain and retain, for a period of six (6) years following the later of termination of or final payment under this Agreement, complete and accurate records, documents, accounts and other evidence, whether maintained electronically or manually ("Records"), pertinent to performance under this Agreement. Records shall be maintained in accordance with Generally Accepted Accounting Principles or such other standard accounting principles that are acceptable within the industry and, if Counsel is a non-profit entity, must comply with the accounting guidelines set forth in the federal Office of Management & Budget Circular A-122, "Cost Principles for Non-Profit Organizations." Such Records shall at all times be available for audit and inspection by the Comptroller, the Department, any other governmental authority with jurisdiction over the provision of services hereunder and/or the payment therefore, and any of their duly designated representatives. The provisions of this Section shall survive the termination of this Agreement.

15. Limitations on Actions and Special Proceedings against the County. No action or special proceeding shall lie or be prosecuted or maintained against the County upon any claims arising out of or in connection with this Agreement unless:

(a) Notice. At least thirty (30) days prior to seeking relief, Counsel shall have presented the demand or claim(s) upon which such action or special proceeding is based in writing to the Applicable DCE for adjustment and the County shall have neglected or refused to make an adjustment or payment on the demand or claim for thirty (30) days after presentment. Counsel shall send or deliver copies of the documents presented to the Applicable DCE under this Section to each of (i) the Department and the (ii) the County Attorney (at the address specified above for the County) on the same day that documents are sent or delivered to the Applicable DCE. The complaint or necessary moving papers of Counsel shall allege that the above-described actions and inactions preceded Counsel's action or special proceeding against the County.

(b) Time Limitation. Such action or special proceeding is commenced within the earlier of (i) one (1) year of the first to occur of (A) final payment under or the termination of this Agreement, and (B) the accrual of the cause of action, and (ii) the time specified in any other provision of this Agreement.

16. Work Performance Liability. The Counsel is and shall remain primarily liable for the successful completion of all work in accordance this Agreement irrespective of whether the Counsel is using a Counsel Agent to perform some or all of the work contemplated by this Agreement, and

irrespective of whether the use of such Counsel Agent has been approved by the County.

17. Consent to Jurisdiction and Venue; Governing Law. Unless otherwise specified in this Agreement or required by Law, exclusive original jurisdiction for all claims or actions with respect to this Agreement shall be in the Supreme Court in Nassau County in New York State and the parties expressly waive any objections to the same on any grounds, including venue and forum non conveniens. This Agreement is intended as a contract under, and shall be governed and construed in accordance with, the Laws of New York State, without regard to the conflict of laws provisions thereof.

18. Notices. Any notice, request, demand or other communication required to be given or made in connection with this Agreement shall be (a) in writing, (b) delivered or sent (i) by hand delivery, evidenced by a signed, dated receipt, (ii) postage prepaid via certified mail, return receipt requested, or (iii) overnight delivery via a nationally recognized courier service, (c) deemed given or made on the date the delivery receipt was signed by a County employee, three (3) business days after it is mailed or one (1) business day after it is released to a courier service, as applicable, and (d)(i) if to the Department, to the attention of the Commissioner at the address specified above for the Department, (ii) if to an Applicable DCE, to the attention of the Applicable DCE (whose name Counsel shall obtain from the Department) at the address specified above for the County, (iii) if to the Comptroller, to the attention of the Comptroller at 240 Old Country Road, Mineola, NY 11501, and (iv) if to Counsel, to the attention of the person who executed this Agreement on behalf of Counsel at the address specified above for Counsel, or in each case to such other persons or addresses as shall be designated by written notice.

19. All Legal Provisions Deemed Included; Severability; Supremacy. (a) Every provision required by Law to be inserted into or referenced by this Agreement is intended to be a part of this Agreement. If any such provision is not inserted or referenced or is not inserted or referenced in correct form then (i) such provision shall be deemed inserted into or referenced by this Agreement for purposes of interpretation and (ii) upon the application of either party this Agreement shall be formally amended to comply strictly with the Law, without prejudice to the rights of either party.

(b) In the event that any provision of this Agreement shall be held to be invalid, illegal or unenforceable, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or impaired thereby.

(c) Unless the application of this subsection will cause a provision required by Law to be excluded from this Agreement, in the event of an actual conflict between the terms and conditions set forth above the signature page to this Agreement and those contained in any schedule, exhibit, appendix, or attachment to this Agreement, the terms and conditions set forth above the signature page shall control. To the extent possible, all the terms of this Agreement should be read together as not conflicting.

(d) Each party has cooperated in the negotiation and preparation of this Agreement. Therefore, in the event that construction of this Agreement occurs, it shall not be construed against either party as drafter.

20. Section and Other Headings. The section and other headings contained in this Agreement are for reference purposes only and shall not affect the meaning or interpretation of this Agreement.

21. Administrative Service Charge. Counsel agrees to pay the County an administrative service charge of One Hundred Sixty Dollars (\$160.00) for the processing of this Agreement pursuant to Ordinance Number 74-1979, as amended by Ordinance Number 128-2006. The administrative service charge shall be due and payable to the County by Counsel upon signing this Agreement.

22. Executory Clause. Notwithstanding any other provision of this Agreement:

(a) Approval and Execution. The County shall have no liability under this Agreement (including any extension or other modification of this Agreement) to any Person unless (i) all requisite County and other governmental approvals have been obtained, including, if required, approval by the County Legislature and (ii) this Agreement has been executed by the County Executive (as defined in this Agreement).

(b) Availability of Funds. The County shall have no liability under this Agreement (including any extension or other modification of this Agreement) to any Person beyond funds appropriated or otherwise lawfully available for this Agreement, and, if any portion of the funds for this Agreement are from the state and/or federal governments, then beyond funds available to the County from the state and/or federal governments.

23. Entire Agreement. This Agreement represents the full and entire understanding and agreement between the parties with regard to the subject matter hereof and supersedes all prior agreements (whether written or oral) of the parties relating to the subject matter of this Agreement.

[Remainder of Page Intentionally Left Blank.]

IN WITNESS WHEREOF, Counsel and the County have executed this Agreement as of the Effective Date.

MONTEIRO & FISHMAN LLP

By: 

Name: MARCUS MONTEIRO

Title: Member

Date: July 2, 2014

NASSAU COUNTY

By: 

Name: Richard R. Walker

Title: County Executive

☒ Deputy County Executive

Date: 8/4/14

PLEASE EXECUTE IN BLUE INK

STATE OF NEW YORK)
COUNTY OF NASSAU)ss.:
)

On the 2nd day of July in the year 2014 before me personally came MARCO MONTEIRO to me personally known, who, being by me duly sworn, did depose and say that he or she resides in the County of NASSAU; that he or she is the MEMBER of MONTEIRO & FISZMAN LLP, the corporation described herein and which executed the above instrument; and that he or she signed his or her name thereto by authority of the board of directors of said corporation.

NOTARY PUBLIC

Notaralia Castillo
Notary Public, State of New York
No. 01CA6220136
Qualified in Suffolk County
Commission Expires April 12, 2018

STATE OF NEW YORK)
COUNTY OF NASSAU)ss.:

On the 4 day of AUGUST in the year 2014 before me personally came Richard R. Walker to me personally known, who, being by me duly sworn, did depose and say that he or she resides in the County of Nassau; that he or she is a **County Executive of the County of Nassau**, the municipal corporation described herein and which executed the above instrument; and that he or she signed his or her name thereto pursuant to Section 205 of the County Government Law of Nassau County.

NOTARY PUBLIC

Cecilia A. Petrucci

CONCETTA A. PETRUCCI
Military Public, State of New York
No. 01PE-050026
Qualified in Nassau County
Commission Expires April 02, 2016

Appendix A

Case assigned to Counsel as of the commencement of this Agreement:

Barbara Wagner v. County of Nassau and County of Nassau Department of Public Works,
Index No. CV-11-1613 (JS) (ARL)

Additional cases and/or matters may be assigned by the County Attorney, or their designee, to Counsel throughout the term of this Agreement in the following areas of law in which Counsel has been determined to be qualified by the Department:

1. Bankruptcy Law;
2. Commercial Litigation;
3. Class Action;
4. Family Law;
5. Federal Civil Rights Section 1983;
6. Employment and Labor Law (Litigation)
7. Insurance Law;
8. Real Property (Litigation);
9. Transactions;
10. Tort Law

The Department may qualify Counsel in additional areas of law.

Appendix EE

Equal Employment Opportunities for Minorities and Women

The provisions of this Appendix EE are hereby made a part of the document to which it is attached.

The Contractor shall comply with all federal, State and local statutory and constitutional anti-discrimination provisions. In addition, Local Law No. 14-2002, entitled "Participation by Minority Group Members and Women in Nassau County Contracts," governs all County Contracts as defined herein and solicitations for bids or proposals for County Contracts. In accordance with Local Law 14-2002:

(a) The Contractor shall not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status in recruitment, employment, job assignments, promotions, upgradings, demotions, transfers, layoffs, terminations, and rates of pay or other forms of compensation. The Contractor will undertake or continue existing programs related to recruitment, employment, job assignments, promotions, upgradings, transfers, and rates of pay or other forms of compensation to ensure that minority group members and women are afforded equal employment opportunities without discrimination.

(b) At the request of the County contracting agency, the Contractor shall 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, union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability, or marital status and that such employment agency, labor union, or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.

- (c) The Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the County Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
- (d) The Contractor shall make best efforts to solicit active participation by certified minority or women-owned business enterprises ("Certified M/WBEs") as defined in Section 101 of Local Law No. 14-2002, for the purpose of granting of Subcontracts.
- (e) The Contractor shall, in its advertisements and solicitations for Subcontractors, indicate its interest in receiving bids from Certified M/WBEs and the requirement that Subcontractors must be equal opportunity employers.
- (f) Contractors must notify and receive approval from the respective Department Head prior to issuing any Subcontracts and, at the time of requesting such authorization, must submit a signed Best Efforts Checklist.

- (g) Contractors for projects under the supervision of the County's Department of Public Works shall also submit a utilization plan listing all proposed Subcontractors so that, to the greatest extent feasible, all Subcontractors will be approved prior to commencement of work. Any additions or changes to the list of subcontractors under the utilization plan shall be approved by the Commissioner of the Department of Public Works when made. A copy of the utilization plan any additions or changes thereto shall be submitted by the Contractor to the Office of Minority Affairs simultaneously with the submission to the Department of Public Works.
- (h) At any time after Subcontractor approval has been requested and prior to being granted, the contracting agency may require the Contractor to submit Documentation Demonstrating Best Efforts to Obtain Certified Minority or Women-owned Business Enterprises. In addition, the contracting agency may require the Contractor to submit such documentation at any time after Subcontractor approval when the contracting agency has reasonable cause to believe that the existing Best Efforts Checklist may be inaccurate. Within ten working days (10) of any such request by the contracting agency, the Contractor must submit Documentation.
- (i) In the case where a request is made by the contracting agency or a Deputy County Executive acting on behalf of the contracting agency, the Contractor must, within two (2) working days of such request, submit evidence to demonstrate that it employed Best Efforts to obtain Certified M/WBE participation through proper documentation.
- (j) Award of a County Contract alone shall not be deemed or interpreted as approval of all Contractor's Subcontracts and Contractor's fulfillment of Best Efforts to obtain participation by Certified M/WBEs.
- (k) A Contractor shall maintain Documentation Demonstrating Best Efforts to Obtain Certified Minority or Women-owned Business Enterprises for a period of six (6) years. Failure to maintain such records shall be deemed failure to make Best Efforts to comply with this Appendix EE, evidence of false certification as M/WBE compliant or considered breach of the County Contract.
- (l) The Contractor shall be bound by the provisions of Section 109 of Local Law No. 14-2002 providing for enforcement of violations as follows:
 - a. Upon receipt by the Executive Director of a complaint from a contracting agency that a County Contractor has failed to comply with the provisions of Local Law

No. 14-2002, this Appendix EE or any other contractual provisions included in furtherance of Local Law No. 14-2002, the Executive Director will try to resolve the matter.

- b. If efforts to resolve such matter to the satisfaction of all parties are unsuccessful, the Executive Director shall refer the matter, within thirty days (30) of receipt of the complaint, to the American Arbitration Association for proceeding thereon.
- c. Upon conclusion of the arbitration proceedings, the arbitrator shall submit to the Executive Director his recommendations regarding the imposition of sanctions, fines or penalties. The Executive Director shall either (i) adopt the recommendation of the arbitrator (ii) determine that no sanctions, fines or penalties should be imposed or (iii) modify the recommendation of the arbitrator, provided that such modification shall not expand upon any sanction recommended or impose any new sanction, or increase the amount of any recommended fine or penalty. The Executive Director, within ten days (10) of receipt of the arbitrators award and recommendations, shall file a determination of such matter and shall cause a copy of such determination to be served upon the respondent by personal service or by certified mail return receipt requested. The award of the arbitrator, and the fines and penalties imposed by the Executive Director, shall be final determinations and may only be vacated or modified as provided in the civil practice law and rules ("CPLR").

(m) The contractor shall provide contracting agency with information regarding all subcontracts awarded under any County Contract, including the amount of compensation paid to each Subcontractor and shall complete all forms provided by the Executive Director or the Department Head relating to subcontractor utilization and efforts to obtain M/WBE participation.

Failure to comply with provisions (a) through (m) above, as ultimately determined by the Executive Director, shall be a material breach of the contract constituting grounds for immediate termination. Once a final determination of failure to comply has been reached by the Executive Director, the determination of whether to terminate a contract shall rest with the Deputy County Executive with oversight responsibility for the contracting agency.

Provisions (a), (b) and (c) shall not be binding upon Contractors or Subcontractors in the performance of work or the provision of services or any other activity that are unrelated, separate, or distinct from the County Contract as expressed by its terms.

The requirements of the provisions (a), (b) and (c) shall not apply to any employment or application for employment outside of this County or solicitations or advertisements therefor or any existing programs of affirmative action regarding employment outside of this County and the effect of contract provisions required by these provisions (a), (b) and (c) shall be so limited.

The Contractor shall include provisions (a), (b) and (c) in every Subcontract in such a

manner that these provisions shall be binding upon each Subcontractor as to work in connection with the County Contract.

As used in this Appendix EE the term "Best Efforts Checklist" shall mean a list signed by the Contractor, listing the procedures it has undertaken to procure Subcontractors in accordance with this Appendix EE.

As used in this Appendix EE the term "County Contract" shall mean (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of twenty-five thousand dollars (\$25,000), whereby a County contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the County; or (ii) a written agreement in excess of one hundred thousand dollars (\$100,000), whereby a County contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon. However, the term "County Contract" does not include agreements or orders for the following services: banking services, insurance policies or contracts, or contracts with a County contracting agency for the sale of bonds, notes or other securities.

As used in this Appendix EE the term "County Contractor" means an individual, business enterprise, including sole proprietorship, partnership, corporation, not-for-profit corporation, or any other person or entity other than the County, whether a contractor, licensor, licensee or any other party, that is (i) a party to a County Contract, (ii) a bidder in connection with the award of a County Contract, or (iii) a proposed party to a County Contract, but shall not include any Subcontractor.

As used in this Appendix EE the term "County Contractor" shall mean a person or firm who will manage and be responsible for an entire contracted project.

As used in this Appendix EE "Documentation Demonstrating Best Efforts to Obtain Certified Minority or Women-owned Business Enterprises" shall include, but is not limited to the following:

- a. Proof of having advertised for bids, where appropriate, in minority publications, trade newspapers/notices and magazines, trade and union publications, and publications of general circulation in Nassau County and surrounding areas or having verbally solicited M/WBEs whom the County Contractor reasonably believed might have the qualifications to do the work. A copy of the advertisement, if used, shall be included to demonstrate that it contained language indicating that the County Contractor welcomed bids and quotes from M/WBE Subcontractors. In addition, proof of the date(s) any such advertisements appeared must be included in the Best Effort Documentation. If verbal solicitation is used, a County Contractor's affidavit with a notary's signature and stamp shall be required as part of the documentation.
- b. Proof of having provided reasonable time for M/WBE Subcontractors to respond to bid opportunities according to industry norms and standards. A chart outlining

the schedule/time frame used to obtain bids from M/WBEs is suggested to be included with the Best Effort Documentation

- c. Proof or affidavit of follow-up of telephone calls with potential M/WBE subcontractors encouraging their participation. Telephone logs indicating such action can be included with the Best Effort Documentation
- d. Proof or affidavit that M/WBE Subcontractors were allowed to review bid specifications, blue prints and all other bid/RFP related items at no charge to the M/WBEs, other than reasonable documentation costs incurred by the County Contractor that are passed onto the M/WBE.
- e. Proof or affidavit that sufficient time prior to making award was allowed for M/WBEs to participate effectively, to the extent practicable given the timeframe of the County Contract.
- f. Proof or affidavit that negotiations were held in good faith with interested M/WBEs, and that M/WBEs were not rejected as unqualified or unacceptable without sound business reasons based on (1) a thorough investigation of M/WBE qualifications and capabilities reviewed against industry custom and standards and (2) cost of performance. The basis for rejecting any M/WBE deemed unqualified by the County Contractor shall be included in the Best Effort Documentation
- g. If an M/WBE is rejected based on cost, the County Contractor must submit a list of all sub-bidders for each item of work solicited and their bid prices for the work.
- h. The conditions of performance expected of Subcontractors by the County Contractor must also be included with the Best Effort Documentation
- i. County Contractors may include any other type of documentation they feel necessary to further demonstrate their Best Efforts regarding their bid documents.

As used in this Appendix EE the term "Executive Director" shall mean the Executive Director of the Nassau County Office of Minority Affairs; provided, however, that Executive Director shall include a designee of the Executive Director except in the case of final determinations issued pursuant to Section (a) through (l) of these rules.

As used in this Appendix EE the term "Subcontract" shall mean an agreement consisting of part or parts of the contracted work of the County Contractor.

As used in this Appendix EE, the term "Subcontractor" shall mean a person or firm who performs part or parts of the contracted work of a prime contractor providing services, including construction

services, to the County pursuant to a county contract. Subcontractor shall include a person or firm that provides labor, professional or other services, materials or supplies to a prime contractor that are necessary for the prime contractor to fulfill its obligations to provide services to the County pursuant to a county contract. Subcontractor shall not include a supplier of materials to a contractor who has contracted to provide goods but no services to the County, nor a supplier of incidental materials to a contractor, such as office supplies, tools and other items of nominal cost that are utilized in the performance of a service contract.

Provisions requiring contractors to retain or submit documentation of best efforts to utilize certified subcontractors and requiring Department head approval prior to subcontracting shall not apply to inter-governmental agreements. In addition, the tracking of expenditures of County dollars by not-for-profit corporations, other municipalities, States, or the federal government is not required.

Appendix L

Certificate of Compliance

In compliance with Local Law 1-2006, as amended (the "Law"), Counsel hereby certifies the following:

1. The chief executive officer of Contractor is:

MARCUS MONTEIRO (Name)

C/O MONTEIRO & FISHMAN LLP, 91 N. Franklin St., 108 Hempstead, NY 115 (Address)

516-280-4600 (Telephone Number)

2. The Contractor agrees to either (1) comply with the requirements of the Nassau County Living Wage Law or (2) as applicable, obtain a waiver of the requirements of the Law pursuant to section 9 of the Law. In the event that the Contractor does not comply with the requirements of the Law or obtain a waiver of the requirements of the Law, and such Contractor establishes to the satisfaction of the Department that at the time of execution of this Agreement, it had a reasonable certainty that it would receive such waiver based on the Law and Rules pertaining to waivers, the County will agree to terminate the contract without imposing costs or seeking damages against the Contractor
3. In the past five years, Contractor _____ has NOT has not been found by a court or a government agency to have violated federal, state, or local laws regulating payment of wages or benefits, labor relations, or occupational safety and health. If a violation has been assessed against the Contractor, describe below:

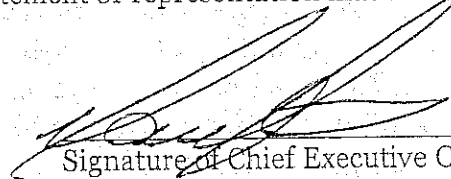
4. In the past five years, an administrative proceeding, investigation, or government body-

initiated judicial action _____ has NOT has not been commenced against or relating to the Contractor in connection with federal, state, or local laws regulating payment of wages or benefits, labor relations, or occupational safety and health. If such a proceeding, action, or investigation has been commenced, describe below:

5. Contractor agrees to permit access to work sites and relevant payroll records by authorized County representatives for the purpose of monitoring compliance with the Living Wage Law and investigating employee complaints of noncompliance.

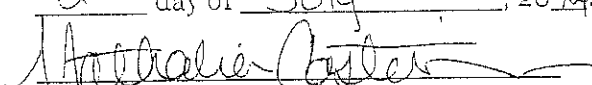
I hereby certify that I have read the foregoing statement and, to the best of my knowledge and belief, it is true, correct and complete. Any statement or representation made herein shall be accurate and true as of the date stated below.

July 2, 2014
Dated


Signature of Chief Executive Officer

MARCUS MONTEIRO
Name of Chief Executive Officer

Sworn to before me this

2nd day of July, 2014.

Notary Public

NATHALIA CASTILLO
Notary Public, State of New York
No. 01CA6220136
Qualified in Suffolk County
Commission Expires April 12, 2018