Program Guidelines and Application for New Business / Small Business Grant Program
(in business less than one year)
Program Guidelines & Application for
New Business/Small Business Grant Program
(in business less than one year)

May 1, 2022 – June 30, 2023

Grant Amount - **$5,000 Maximum**

**Small Business Grant** (up to $5,000 for):
- Advertising
- Computer
- Architectural Assistance

**Small Business Sign Grant*** (up to $1,000 for):
- Exterior Signage
- Interior Signage

**Small Business Security Equipment Grant*** (up to $2,000 for):
- Alarm System
- Exterior Lighting
- Security Camera
- Security Fence

**Small Business FF&E Grant*** (up to $2,000 for):
- Furniture, Fixtures & Equipment
  (only items which require no installation are eligible)

Note: Any set-up or installation labor costs may not exceed 13% of the cost of the equipment or materials purchased. If labor costs exceed 13%, the item is not eligible for reimbursement.

Incomplete applications cannot be processed.

**Mandatory Employment Reporting** – Over the term of the agreement, the Employer is required to report hiring activity and job creation to the City of Rochester on a semi-annual basis (documents to be provided by the City of Rochester).

Grants are paid out as cost reimbursements.

A 50/50 match is required if not in a low/moderate income area.
Small Business Grant Program Guidelines – Effective May 1, 2022

Eligible Businesses:
New retail and select consumer services with annual gross revenues of 5 Million Dollars or less, operating in accordance with Zoning regulations. Eligible businesses must meet the U.S. Department of Housing and Urban Development (HUD) eligibility guidelines in any one of three ways:

1. The business provides an essential product or service in Low Mod Census Tracts as defined by HUD;
   Or
2. The business is a microenterprise with five (5) or fewer employees and the business owner is low/moderate income;
   Or
3. The business commits to creating at least one job for a low/moderate income qualifying individual within three (3) years (a signed Hiring Preference Agreement will be required);

And

A. The business meets financial guidelines.
B. The business is current on sales and property taxes.
C. The business has no outstanding code violations and/or nuisance points for City properties owned.
D. The business is a for-profit entity.
E. Ineligible applicants for economic development funding include, but are not limited to: home-based businesses, adult bookstores, adult video shops, other sexually-oriented businesses, check-cashing facilities, payday loan operations, gambling facilities, vape shops and gun shops.

Small Business Grant Programs **(50/50 match required if not in a low/moderate income area):**

**Small Business Grant:** - Provides a grant up to $5,000 for any combination of the following:
- Advertising: For example, print, radio, TV, web-based, promotional items, direct mail and social media.
- Computer: Purchases may include hardware, software and ancillary equipment (P.O.S. systems are eligible).

**Small Business Sign Grant:** - Provides a grant up to $1,000 for signage:
- Exterior/Interior Sign: You may purchase a new sign and or repair an existing sign. Exterior signs will require a permit and approval from the City’s Zoning Department.

**Small Business Security Equipment Grant:** - Provides a grant up to $2,000 for any combination of the following:
- Alarm System: Purchase of hardware is eligible. Grants cannot be used for maintenance contracts.
- Exterior Lighting: A licensed electrician is required to install the lighting and obtain electrical permits from the City’s Zoning Department.
- Security Camera: You may purchase a security camera system from a company authorized to sell and install security camera systems; or you may purchase the camera system from an authorized dealer and install the system yourself.

**Small Business FF&E Grant:** - Provides a grant up to $2,000 for furniture, fixtures and/or equipment:
- Eligible FF&E items include movable furniture and items that are not permanently affixed to a wall, ceiling or facility. Windows, doors and affixed flooring are inelgible.

*If the total project labor cost exceeds 13% of cost of the item purchased, the Davis Bacon Act will be in effect. No reimbursement will be available without submission of certified project payroll demonstrating that prevailing wage rates were applied. **No reimbursement will be available unless items are self-installed.**
Application, Agreement and Reimbursement

Once the application is completed, reviewed and approved, a grant agreement will be executed by the City of Rochester and the business owner. You may begin making purchases within your predetermined categories after you receive your written “Notice to Proceed”. This grant is a reimbursement grant program. Once the product/service is purchased you must provide the following cost documentation for reimbursement by the City of Rochester:

1. Copy of bill, invoice or credit card receipt that describes item purchased.

2. Proof of payment: cancelled check (copy of front & back), bank or credit card statement showing credit card purchases, certified check (copy of front & back), money order (copy of front & back). PAYMENT IN CASH IS NOT ACCEPTABLE.

3. Only expenses that occur following the agreement start-date will be considered for reimbursement, for a period of twelve (12) months. Any expenses incurred prior to the date found on the executed agreement are not eligible for reimbursement.

4. A maximum of four (4) reimbursement draws may be submitted over the 12-month term of the agreement.

5. Copy of permit, if applicable (e.g., sign, electrical for exterior lighting).

6. Businesses are eligible to reapply twenty-four (24) months following the date of the last reimbursement from a prior grant.

7. Reimbursement requests must be submitted no later than sixty (60) calendar days from the end-date of the contract. Note: Expenses incurred after the end-date of the contract are not eligible for reimbursement.

8. Purchases may only be made by the business or business owner.

9. If a Security, Sign or FF&E item is self-installed, a certified payroll will be required. Consult your City staff person for forms and additional information.

If you have any questions,

please contact the specialist listed below for your quadrant:

Northeast       Johanna Gonzalez   (585) 428-6525
Southeast       Deidre Stevely    (585) 428-6825
Northwest       Dave Balestiere    (585) 428-6817
Southwest and Downtown Sylvia Dobbs (585) 428-6207
New Business Grant Application  
Effective May 1, 2022

Business Name: _______________________________  Applicant Name: ____________________________

Please list all owners/officers of the business, titles and percentage of ownership.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Ownership%</th>
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<tbody>
<tr>
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</tbody>
</table>

E-Mail: ________________________________  Telephone: __________________  Fax: ____________

Website: ___________________________________________________________________________

Address: ________________________________________ Rochester, NY  Zip Code: 146______

Mailing Address if different: ______________________________________________________________

Please check location:  
☐ Northeast  ☐ Southeast  ☐ Southwest  ☐ Northwest

Please check if you are a:  
☐ Corporation  ☐ Limited Liability Co.  ☐ Partnership  ☐ Sole Proprietorship

Federal Tax ID # _________________________

Unique Entity ID # ________________________ (See attached or apply online: https://sam.gov/content/home)

Business Start Date: _______________________

Business Type: ___________________________  Essential Business (see list on page 5):  ☐ Yes  ☐ No

Current # of Employees: ___________  Current # of Employees who are City residents: ___________

Anticipated # of additional full-time equivalent employees to be added in the next 3 years: ___________

Anticipated # of additional FTE employees to be added in the next 3 years that are City residents: ___________

Have you or any principal of the business received a loan from the City of Rochester?  ☐ Yes  ☐ No

What was the name of the business that received financing? ___________________________________

Check grants that you are applying for and indicate amount (Maximum Grant Amount is $5,000):

___ Small Business Grant (maximum $5,000) $ ________________
___ Small Business Sign Grant (maximum $1,000) $ ________________
___ Small Business Security Grant (maximum $2,000) $ ________________
___ Small Business FF&E Grant (maximum $2,000) $ ________________

Total $ ________________  (Not to exceed $5,000)
To qualify for the Grant, the business applying must meet ONE of the following HUD criteria (City Staff will circle the qualifying definition).

1) The business is an essential neighborhood business that provides an area-wide benefit to low/moderate income areas (please check off the eligible business from the list below and indicate service area).

   Or

2) The business is a microenterprise with five (5) employees or fewer and the owner of the business being assisted is from a low/moderate income household as defined by HUD (please circle household income level below - HUD Income Guideline Chart). Current Federal Income Tax Return for each owner would be required.

   Or

3) Projects that retain/create jobs for low/moderate income persons. If retaining, 51% of the total employees must be from low/moderate income households (provide payroll if 51% of staff residences are in Low Mod Census Tracts). If creating, provide a Hiring Preference Agreement.

   Essential Neighborhood Services (per HUD)
   Please check the type of business from the eligible list below:

   ______ Appliance sales, repair & rental   ______ Grocery Store, Mini-Mart, Supermarket
   ______ Auto-parts sales & repair   ______ Hardware Store
   ______ Barber Shop/Hair Salon/Beauty Supply   ______ Home Improvement Store
   ______ Cell Phone Store   ______ Insurance Agency
   ______ Clothing Store   ______ Laundromat
   ______ Computer equipment sales & service   ______ Medical Office, Medical Supplies, Medical Transportation
   ______ Convenience Store with gas pumps   ______ Plumbing & Heating
   ______ Day Care Center   ______ Restaurant
   ______ Drug Store   ______ Shoe sales & repair
   ______ Financial Services   ______ Tax Services
   ______ Funeral Home   ______ Veterinary Clinic
   ______ Furniture sales & repair   ______

If business is not on the essential neighborhood service list, the business may qualify as a small business enterprise where the owner of the business is low/moderate income (they must meet the current Federal Income Guidelines: Percent of Area Median Family Income).

   Please circle family size and income level from the list below:

<table>
<thead>
<tr>
<th>Low/Moderate Family Size</th>
<th>Income</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$50,250</td>
</tr>
<tr>
<td>2</td>
<td>$57,400</td>
</tr>
<tr>
<td>3</td>
<td>$64,600</td>
</tr>
<tr>
<td>4</td>
<td>$71,750</td>
</tr>
<tr>
<td>5</td>
<td>$77,500</td>
</tr>
<tr>
<td>6</td>
<td>$83,250</td>
</tr>
<tr>
<td>7</td>
<td>$89,000</td>
</tr>
<tr>
<td>8</td>
<td>$94,750</td>
</tr>
</tbody>
</table>
Required Documentation Section to be Submitted with Completed Application

For businesses in existence up to 1 year:

What is your most recent year’s projected annual Sales Revenue? $ ____________________

How much additional funding do you anticipate investing in the business within the next 2 years? $_________

Required Documents (to be submitted with application):

☐ Personal Federal Tax Return for last year
☐ A detailed Business Plan (see attachment A)
☐ Year-to-date financial reports (Balance Sheet and Profit & Loss statements) if business start-up is more than 120 days (four months) old
☐ Current Workers’ Compensation Certificate or provide approved NY State Workers’ Compensation and/or Disability and Paid Family Leave Benefits Insurance Coverage Waiver - Form CE-200 (apply on-line at [www.wcb.ny.gov](http://www.wcb.ny.gov).)
☐ Current Disability Insurance Certificate or provide approved NY State Workers’ Compensation and/or Disability and Paid Family Leave Benefits Insurance Coverage Waiver - Form CE-200 (apply on-line at [www.wcb.ny.gov](http://www.wcb.ny.gov).)
☐ Current General Liability Insurance Certificate up to $1,000,000 naming the City of Rochester as Additional Insured (must attach a copy of the policy endorsement reflecting that the City is an additional insured including 30-day cancellation notification - see Sample on the following pages)
☐ Evidence of New York State Sales Tax paid-to-date (copy of receipt or canceled check)
☐ Copy of Business Permit (if required)
☐ Copy of Business Licenses needed for your business (e.g., Monroe County Health, Liquor License)
☐ Copy of Lease (if tenant)
☐ Proof that rent/lease/mortgage payments are current
☐ Copy of formation documents/organizational paperwork (D/B/A, LLC, Partnership Agreement, Corp and Corporate Resolution, or Member Resolution)
☐ Signed Credit Check Consent Form from each owner/partner with 20% interest or more (Attached)
☐ City of Rochester Disclosure Statement from each owner/partner with 20% interest or more (Attached)
☐ OMB Circular A-133 Certification Letter (Attached)
☐ Proof that City property taxes are current (if owner of real property)
☐ Proof of code compliance (if owner of real property)
☐ Hiring Preference Agreement (see note below)

The City reserves the right to ask for further documentation and/or clarification as part of the financial and economic development review. Grant Applications will not be reviewed for approval until all documents and information have been submitted.

Note: Businesses will be required to provide follow-up job creation information on a semi-annual basis.
Signatures:

**Equal Opportunity**


**The Following Must Be Signed by the Owner/Principal of the Business:**

**Non-Discrimination Certification:** I hereby certify that this company does not deny services, employment, or membership to persons based on age, race, creed, color, national origin, gender, gender identity or expression, sexual orientation, disability, marital status or source of income.

**Application Certification:** I certify and affirm by my signature the information contained in this application or otherwise supplied as part of this application is complete and current to the best of my knowledge. I further understand that intentional misrepresentation of facts may be the basis for a denial of credit.

**Information for Federal Reporting:**
The information requested below is for HUD reporting. The information is requested in order to monitor compliance. Please check which applies:

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Co-App</th>
<th>Race</th>
<th>Hispanic origin</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>White</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Black or African American</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>American Indian or Alaska Native</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Native Hawaiian or Other Pacific Islander</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>American Indian or Alaska Native and White</td>
<td></td>
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<td></td>
<td></td>
<td>Black or African American and White</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>American Indian or Alaska Native and Black or African American</td>
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<td></td>
<td></td>
<td>Other, Multi-Racial</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Do Not Wish to Disclose</td>
<td></td>
</tr>
</tbody>
</table>
I acknowledge receipt and review of the **APPLICATION FOR THE SMALL BUSINESS GRANT.**

The City of Rochester welcomes the opportunity to review your request for financial assistance. Promoting business growth is a priority for the City. Your business is important to us as we work together to create jobs in our community.

In order for the City of Rochester to process your request in a timely manner, it is important that the Applicant provide all the necessary information found on the financial assistance and/or small business grant application(s). **Incomplete applications cannot be considered for review.** Any delays in receiving needed information or documentation during application processing or underwriting will result in delays in approval, contracting and closing. Following the submission of a completed application, additional questions may be asked during the underwriting review process. It is the Applicant’s responsibility to provide answers and additional documentation as requested by the City throughout the underwriting and review process. Failure to provide the information requested on a timely basis will delay the review process and ultimately disallow the City to make a decision on potential assistance. Once all information has been provided and a complete application has been submitted, you will be notified in writing that your application is under review.

**The review process will not take place until a completed application has been received.** By signing this form, you agree and understand that your request for financial assistance will not be considered until all required documentation is received by the City, and that delays in providing this information on a timely basis will not only delay the review process but may result in your request for financial assistance being declined.

**Acceptance of a completed application does not represent a commitment of funds.**

By signing below, the Applicant confirms that the statements made in this application are accurate and correct and agree to provide the required information to complete the necessary review and approval processes.

Also, that it is understood and agreed (please initial):

- ____ All taxes on properties owned must be current and up-to-date to apply for financial assistance.
- ____ Business and property owners with existing code violations are not eligible to apply for financial assistance until all violations have been satisfactorily corrected.
- ____ Individuals/Businesses who received financial assistance within the past 2 years are not eligible to apply for further assistance until this time period has passed. In regards to loans, 24 months must pass from the loan payoff date.
- ____ Financial assistance is a reimbursement and the entire project must be completed, along with providing the required documentation to close, not limited to accurate cost documentation (invoices and front and back of signed checks/credit card statements, etc).

_________________________________________________________ ______________________
Applicant Signature Date

_________________________________________________________ ______________________
Reviewed By Date

_________________________________________________________ ______________________
Manager Approval – Completion Verification Date
Business Plan Example

I. Executive Summary

II. Type of Business
   a) Description of product or service
   b) Space, parking and loading requirements

III. Industry Analysis

IV. Market Analysis
   a) Target Market Segment
      1) Customers
      2) Geographic area
   b) Competitive Evaluation

V. Meeting Plan
   a) Advertising
   b) Pricing policy

VI. Organization and Management Structure
   a) Form of ownership (sole proprietorship, limited partnership, S-Corp, C-Corp)
   b) Experience, background/ownership of owners and key management personnel
   c) Labor Force– Number of employees, projected job growth and employee residences
   d) Job Training

VII. Operations
   a) Operating hours
   b) List of other retail locations

VII. Financial Information
   a) Historical financial statements of existing business for past 3 years if applicable:
      1) Income statement, balance sheet and cash flow statement.
      2) Income statements and tax returns for past 3 years.
   b) 3 year projected financial statements (profit/loss + balance sheet)
   c) 3 year cash flow projections, by month, for the next 12 months
   d) Sources and use of funds
   e) Current credit report, personal financial statement, personal tax returns for past 3 years for all owners and guarantors.
# Insurance Example

## Certificate of Liability Insurance

**Producer:** Anytown Insurance Agency  
1234 Main Street  
Rochester, NY 14614

**Insured:** My Business Name  
Business Street Address  
Rochester, NY 146XX

**This certificate is issued as a matter of information only and confers no rights upon the certificate holder. This certificate does not amend, extend or alter the coverage afforded by the policies below.**

### Insurers Affording Coverage

<table>
<thead>
<tr>
<th>NAIC #</th>
<th>Insurer A</th>
<th>Insurer B</th>
<th>Insurer C</th>
<th>Insurer D</th>
<th>Insurer E</th>
</tr>
</thead>
</table>

### Coverages

The policies of insurance listed below have been issued to the insured named above for the policy period indicated. Notwithstanding any requirement, term or condition of any contract or other document with respect to which this certificate may be issued or may pertain, the insurance afforded by the policies described herein is subject to all the terms, exclusions and conditions of such policies. Aggregate limits shown may have been reduced by paid claims.

<table>
<thead>
<tr>
<th>IN#/ACGI</th>
<th>Type of Insurance</th>
<th>Policy Number</th>
<th>Policy Effective Date</th>
<th>Policy Expiration Date</th>
<th>Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Liability</td>
<td>Commercial General Liability</td>
<td>X</td>
<td>7/1/2017</td>
<td>6/30/2018</td>
<td>$1,000,000</td>
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<td>Automobile Liability</td>
<td>Any Auto</td>
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<td></td>
<td>All Owned Autos</td>
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<td>Scheduled Autos</td>
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<td>Hired Autos</td>
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<td>Non-Owned Autos</td>
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<td>Garage Liability</td>
<td>Any Auto</td>
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<td>Excess/Umbrella Liability</td>
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<tr>
<td>Workers Compensation and Employer's Liability</td>
<td>Any Proprietor/Partner/Executive Officer/Member Excluded</td>
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</tbody>
</table>

### Description of Operations / Locations / Vehicles / Exclusions Added by Endorsement / Special Provisions

The city of Rochester is included as an additional insured per the attached endorsement (include endorsement number if applicable).

### Certificate Holder

City of Rochester  
City Hall, Room 906A  
Rochester, NY 14614

### Cancellation

Should any of the above described policies be cancelled before the expiration date thereof, the issuing insurer will endeavor to mail days written notice to the certificate holder named to the left, but failure to do so shall impose no obligation or liability of any kind upon the insurer, its agents or representatives.

Authorized Representative

---

ACORD 25 (2001/08)  
© ACORD CORPORATION 1988
Sample Additional Insured Endorsement
where city is specifically named

POLICY NUMBER: [redacted]  COMMERCIAL GENERAL LIABILITY
ISSUE DATE: [redacted]

THIS ENDORSEMENT CHANGES THE POLICY. PLEASE READ IT CAREFULLY.

ADDITIONAL INSURED—DESIGNATED PERSON
OR ORGANIZATION

This endorsement modifies insurance provided under the following:
COMMERCIAL GENERAL LIABILITY COVERAGE PART

SCHEDULE

Name of person or organization:
THE CITY OF ROCHESTER

30 CHURCH STREET
ROCHESTER  NY 14614

WHO IS AN INSURED (Section II) is amended to include as an insured the person or organization shown in the Schedule as an insured but only with respect to liability arising out of your acts or omissions.
City of Rochester Disclosure

The Program for which you are applying may be part of one or more City of Rochester (hereinafter the “City”), federal, state, or other programs, including, but not limited to, the Community Development Block Grant (CDBG) Program, Emergency Solutions Grant (ESG) Program, HOME Investment Partnerships (HOME) Program, Housing Opportunities with Persons with AIDS (HOPWA) Program, Asset Control Area (ACA) Program, or City Development Fund (CDF). Each of these programs has rules and regulations prohibiting conflicts of interest. Conflicts generally arise where the applicant or his or her family or business may have an economic or employment interest in the program or the entity providing the program.

Program regulations generally limit the participation of employees, agents, consultants, officers, or elected appointed officials of the City or any designated public agencies, or sub-recipients receiving Program funds, and those with whom they have business or immediate family ties, during their tenure or for one year thereafter. For federally assisted housing and community development programs, this applies unless an exception is granted by the U.S. Department of Housing and Urban Development (HUD). In order for HUD to grant an exception to such persons there must be a public disclosure of the application and the City’s Corporation Counsel must determine that the participation does not violate state or local law.

The objective of this form is to identify applicants that may have a conflict under the rules and regulations. The City will then determine whether an exception should be granted or requested. The City's Department of Neighborhood and Business Development, Office of the Commissioner, is responsible for conflict of interest determinations and the coordination of the exception process for federally assisted housing and community development programs.

Business Ownership: List all owners/officers of the business with **20% or more ownership**, and their titles:

Name of Applicant(s):

Applicant 1: ________________________________

Applicant 1: I am employed at ________________________________ in the position of ________________________________

Applicant 2: ________________________________

Applicant 2: I am employed at ________________________________ in the position of ________________________________

Business Name (if applicable): ________________________________

Property Address: ________________________________

Program Name: ________________________________
Please ONLY check one option: (1) or (2 and 2.a.):

I/We certify that:

1. I am NOT/we are NOT an employee, agent, consultant, officer, or elected or appointed official of the City of Rochester, and am NOT a relative of an employee, agent, consultant, officer or elected or appointed official of City of Rochester, nor part of any designated public agencies, business, or sub-recipients receiving CDBG or other Program funds.

2. I/WE AM/we ARE an employee agent, consultant, officer or elected or appointed official of the City of Rochester OR I/we am/are a relative of an employee, agent, consultant, officer or elected or appointed official of the City of Rochester, or I/we am/are part of a designated public agency or worked any such agency within the last year, business or sub-recipient receiving CDBG or other Program funds.

2. a.) I (do) or (do not) perform any duties relating to the Program.

For Family/Relative Affiliation:

____________________________ is the family member to whom I am related. (____________________________).

(Name) (Relationship)

This family member is employed at __________________________ in the position of __________________________.

This family member (does) or (does not) perform any duties relating to the program.

Applicant #1
Signature _____________________________ Date _____________________________

Applicant #2
Signature _____________________________ Date _____________________________

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

On the _____ day of ________________, 20____ before me, the undersigned, a Notary Public in and for said State, personally appeared ______________________________ personally known to me, or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

____________________________________
Notary Public/Commissioner of Deeds
**Part I: Taxpayer Identification Number (TIN)**

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

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

**Part II: Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (b) I am a U.S. citizen or other U.S. person (defined below), and
3. I am not subject to backup withholding because I fall within an exception contained in the law.

**Certification Instructions**

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

**Sign Here**

Signature of U.S. person

**Data**

**General Instructions**

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

Future developments. The IRS has created a page on IRS.gov for information about Form W-9, at www.irs.gov/w9. Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

**Purpose of Form**

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

**Cat. No. 10031X**

Form W-9 (Nov. 8-2013)
Credit Check Consent Form

It is standard procedure for the City of Rochester to complete a credit check of any company and its principals (includes anyone with 20% or more ownership) seeking financial assistance from the City. The information obtained through the credit check is confidential and shared only with those City staff directly involved in the evaluation of the financing request. Please fill in the applicable information below:

Applicant #1 Name __________________________________________
Address __________________________________________
City/ State/Zip Code __________________________________________
Social Security # __________________________________________

I hereby give my permission to research the company’s file and its principal(s) history, make credit checks, contact the company’s financial institution and perform other related activities for the reasonable evaluation of this proposal.

Your Signature __________________________________________ Please print your title _________________

Date

Applicant #2 Name __________________________________________
Address __________________________________________
City/ State/Zip Code __________________________________________
Social Security # __________________________________________

I hereby give my permission to research the company’s file and its principal(s) history, make credit checks, contact the company’s financial institution and perform other related activities for the reasonable evaluation of this proposal.

Your Signature __________________________________________ Please print your title _________________

Date
Company Name: ________________________________________________________________

Pursuant to the requirements of OMB Circular 2 CFR Part 200, the City of Rochester is requesting that you check one of the following, provide all appropriate documentation regarding your organization's compliance with Circular 2 CFR Part 200 audit requirements, sign and date, and return this letter to the City of Rochester within **thirty (30) days** of receipt.

1. __________ We are not subject to a Circular 2 CFR Part 200 audit because we expended less than $750,000 in total federal awards during our fiscal year ended ______________________.

2. __________ We are subject to Circular 2 CFR Part 200 but have not received an audit.

3. __________ We expended more than $750,000 in total federal awards and have completed our Circular 2 CFR Part 200 audit for fiscal year ended _______________. Our audit report and schedule of federal programs have no material findings that affect the City of Rochester's funding. Issue date of audit report: ______________________________.

4. __________ We have expended more than $750,000 in federal awards and have completed our Circular 2 CFR Part 200 audit for fiscal year ended _______________. Our audit report and schedule of federal programs have material findings that affect the City of Rochester's funding. We are including a copy of the required audit report along with our corrective action plan for your information. Issue date of audit report ______________.

Additional Comments: ____________________________________________________________________________

__________________________________________________________________________________________

Type or Print Name: __________________________________________________________________________

Title: ______________________________________________________________________________________

Signature: __________________________________________________________________________________

Signature Date ____________________________________________________________

Please return this completed document to your City of Rochester program manager.
Overview of Changes
The federal government is changing the unique identifier used for entities from the D-U-N-S® Number to the Unique Entity ID (SAM), generated by SAM.gov. Today, the two numbers appear side-by-side in the following systems:
- SAM.gov
- FPDS
- eSRS
- FSRS
- CPARS
- FAPIIS

On April 4, 2022, the D-U-N-S® Number will be removed from all of these systems and the Unique Entity ID (SAM) will be the authoritative identifier.

What Is a Unique Entity Identifier?
A unique entity identifier (UEI) is a number or other identifier used to uniquely identify a specific entity. The UEI is used within SAM.gov and other government award and financial systems as a primary key to identify a unique entity. The transition to the Unique Entity ID (SAM) is a federal government-wide initiative.

What Do I Need to Do?
Federal Contractors and Assistance
Recipients Registered in SAM.gov: You do not need to take any action. Your Unique Entity ID (SAM) has been assigned and is visible in your registration at SAM.gov.

Subcontractors and Subrecipients Who Use the D-U-N-S® Number for Reporting: You need to get a Unique Entity ID (SAM) at SAM.gov by April 4, 2022. You can do this any time after October 18, 2021.

Searching by Unique Entity ID (SAM): You can search by the new identifier now on SAM.gov.

Helpful Links
- [How to view the Unique Entity ID (SAM) for your entity](#)
- [How to view the Unique Entity ID (SAM) for another entity](#)
- [Guide for Getting a UEI](#)
HIRING PREFERENCE AGREEMENT
(CDBG Funds)

This LETTER OF AGREEMENT, is made this ______, day of ___________________, 20______, between the City of Rochester, specifically its Neighborhood and Business Development Department, located at City Hall, 30 Church Street, Rochester, New York 14614, and __________________________, with offices located at __________________________, hereafter referred to as the "Employer."

WHEREAS, The City of Rochester's Neighborhood and Business Development Department (NBD) provides financial and economic development assistance designed to attract new businesses to the City and to enable existing businesses to expand and create jobs and,

WHEREAS, The City of Rochester seeks assurances from Employers who receive assistance that City of Rochester residents shall benefit from the creation of these new jobs and,

WHEREAS, The City of Rochester has entered into an Agreement with the United States of America Department of Housing and Urban Development (HUD) under the Community Development Block Grant (CDBG) Program and,

WHEREAS, The source of the financial assistance being provided to the Employer by the City of Rochester is CDBG funds and,

WHEREAS, The City of Rochester needs to ensure that, per HUD guidelines, any jobs created by the Employer are made available to or filled by low- and moderate-income (LMI) persons, as defined in this Agreement.

NOW, THEREFORE, the Employer agrees to the following:

I. Term

The term of the agreement is __________________ through __________________.

II. General Terms

A. The Employer shall give first priority to hiring LMI persons for at least 51% of the _____ (_______) new positions (computed on a full-time basis) projected to be created by virtue of the project described in the letter of commitment.

(1) The following requirements apply for jobs to be considered available to or held by LMI persons:

> Created jobs are only considered to be available to LMI persons when:
> Special skills that can only be acquired with substantial training or work experience or education beyond high school are not a prerequisite to fill such jobs, or the Employer agrees to hire unqualified persons and provide training; and
> The Employer takes actions to ensure that LMI persons receive first consideration for filling such jobs.
> Created jobs are only considered to be held by LMI persons when the job is actually filled by an LMI person.

(2) In determining whether a job is made available to or held by an LMI person, a person is presumed to be low- or moderate-income if:

> He/she resides in a Census tract or block numbering area (BNA) that meets certain requirements (detailed below); or
> He/she resides in a Census tract or BNA with at least 70% LMI persons; or
> The Employer is located in an eligible Census tract or BNA (see below) and the job will be located within that same Census tract.
An eligible Census tract or BNA is one that is located within a Federally-designated Empowerment Zone or Enterprise Community or a Census tract that:

> Has a poverty rate of at least 20% (30% if the area includes the central business district);

AND

> The area evidences pervasive poverty and general distress by meeting at least one of the following criteria:

- All block groups in the Census tract have 20% or greater poverty rates;
- The activity is undertaken in a block group with a 20% or greater poverty rate; OR
- HUD determines that the tract shows other signs of distress (e.g., crime, homelessness, deteriorated housing, etc.)

B. Positions, as projected on this agreement, shall include the Employer's job openings, in the assisted facility located at __________________________, Rochester, New York 146___ that are created as a result of terminations, promotions, and expansion of the Employer's workforce. The Employer may, but need not, refer job openings to be filled by internal promotion from the Employer's local workforce, executive, mid-level management and highly skilled technical positions to Rochester Works or the NYS Department of Labor.

C. The Employer shall make every active, reasonable effort to achieve the employment objectives described herein within three years from the date of this agreement. Once the total number of new jobs and ratio of LMI persons hired are reached, the Employer is expected to maintain these numbers throughout the term of the loan agreement.

D. After the Employer has selected its employees, the City of Rochester shall not be responsible for their actions. The Employer hereby releases the City of Rochester from any liability for employee actions.

E. This Agreement shall not be construed as a loan agreement and shall not obligate NBD to provide financial assistance. If, for any reason the proposed loan should be withdrawn or canceled, this Agreement will be null and void.

F. This agreement does not supersede other economic development program agreements that the Employer may have with NBD or the State of New York (e.g., New York State Empire Zone Program).

III. Modifications and Sanctions

A. The Employer and NBD may mutually agree to modify this Agreement to improve its terms or procedures.

B. NBD may terminate the Agreement at any time by written notification.

C. Any dispute concerning a question of fact arising under this contract which is not resolved by mutual agreement of the parties, shall be decided by the City which shall reduce its decision to writing and mail or otherwise furnish a copy to the Employer. The decision of the City shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, or capricious, or arbitrary, or so grossly erroneous as necessarily to imply bad faith, or not supported by substantial evidence.
IV. Mandatory Reports

Over the term of this agreement, the Employer is required to report hiring activity and job creation to the City of Rochester for the assisted facility on an annual basis, or more frequently upon written request by the City of Rochester.

With respect to the new jobs created, the records must show:

> A listing by job title of the specific jobs to be created.
> A listing by job title of the jobs which are filled.
> The name and residential address of the person who filled each position.
> The full time equivalency status of the jobs.

Given the above information reported, if it cannot be presumed that a person hired for a position is an LMI individual, as discussed in section II(A)(2) of this Agreement, the Employer must provide the following additional information for such individuals:

> Family size (i.e., number of persons living in the household).
> Total family income.

Where a job is not filled by an LMI person, but the Employer wants credit based on the job being made available to LMI persons, the records must show:

> The title and description of the jobs made available, and the full time equivalency status of the job at the time.
> The prerequisites for the job; special skills or education required for the job, if any; and the Employer’s commitment to provide needed training for such jobs (and the training that the Employer provided to the person hired, if applicable).
> How first consideration was given to LMI persons for the job, such as the name(s) and residential addresses of the person(s) interviewed for the job and the date of the interview(s).

IN WITNESS WHEREOF, the parties have duly executed this Agreement on the date first written above.

CITY OF ROCHESTER
Neighborhood and Business Development Department

By: ___________________________________________
Name: Dana Miller
Title: Commissioner of Neighborhood and Business Development

Employer Name: ___________________________________________

By: ___________________________________________
Name: ___________________________________________
Title: ___________________________________________