

Applicant Information Statement

Business Profile

Information and Instructions

The following information is provided to the MTA Real Estate Department for its preliminary review before further consideration of an intent to lease or license a specified location. The acceptance of this information statement shall not constitute an offer of the Metropolitan Transportation Authority or any affiliate or subsidiary thereof. **Proposers must provide three (3) copies of a separate completed form with each proposal package. When mailing, use a separate envelope for each proposal submitted.** Please attach additional sheets as necessary. **Please print or type.**

Property Desired

Parcel Number (if applicable) _____ Proposed Use _____
 Property Address _____

Applicant Information

Name of Applicant _____ Social Security No. – –
 Street _____
 City _____ State _____ Zip _____
 Telephone (Day) _____ Telephone (Evening) _____

Business Information

Name of Business _____
 Street _____
 City _____ State _____ Zip _____
 Telephone (Day) _____ Telephone (Evening) _____
 Type of business: Corporation Joint Venture Partnership Year Formed _____
 Employer ID No. _____ State of Incorporation _____

List all officers, partners, shareholders, or joint venturers.

- 1 Name _____ Title _____
 Street _____
 City _____ State _____ Zip _____
 Telephone (Day) _____ % Shares _____
- 2 Name _____ Title _____
 Street _____
 City _____ State _____ Zip _____
 Telephone (Day) _____ % Shares _____
- 3 Name _____ Title _____
 Street _____
 City _____ State _____ Zip _____
 Telephone (Day) _____ % Shares _____

Applicant Information Statement

Business Profile (cont'd.)

Business Information (cont'd.)

Has the applicant or any of its principals done business under any other name within the past three years? Yes No

Is the applicant owned or controlled by any other organization or business entity? Yes No

Does the applicant own or control any other organization or business entity? Yes No

If yes was checked for any of the above, provide name, employer ID, and business address of each organization, corporation, or business:

1 Name of Business

Employer ID No. Owner/Manager Name

Street

City State Zip

2 Name of Business

Employer ID No. Owner/Manager Name

Street

City State Zip

3 Name of Business

Employer ID No. Owner/Manager Name

Street

City State Zip

List gross receipts of each business for the past three years. Attach copies of Federal Income Tax returns (1040, 1099. etc.).

1 Name of Business Gross Receipts \$ Year

Gross Receipts \$ Year

Gross Receipts \$ Year

2 Name of Business Gross Receipts \$ Year

Gross Receipts \$ Year

Gross Receipts \$ Year

3 Name of Business Gross Receipts \$ Year

Gross Receipts \$ Year

Gross Receipts \$ Year

Applicant Information Statement

Business Profile (cont'd.)

State or Municipal Leases or Contracts

List all leases or contracts entered into or currently in force between the applicant or other persons listed herein and the Metropolitan Transportation Authority ("MTA") or any other state agency or municipality within the past three (3) years. Use additional sheets if necessary.

(NYCT = MTA New York City Transit LIRR = MTA Long Island Rail Road MNR = MTA Metro-North Railroad)

1 NYCT LIRR MNR Other (Specify) _____

Term _____ Annual Rent _____ Expires _____

Location _____

2 NYCT LIRR MNR Other (Specify) _____

Term _____ Annual Rent _____ Expires _____

Location _____

3 NYCT LIRR MNR Other (Specify) _____

Term _____ Annual Rent _____ Expires _____

Location _____

4 NYCT LIRR MNR Other (Specify) _____

Term _____ Annual Rent _____ Expires _____

Location _____

List all real property in the State of New York owned, leased, or managed within the last three (3) years by the applicant or any other person listed herein, for personal or business purposes (including cooperatives or condominiums).

1 Owner of Record _____ Owned Leased Managed

Location _____ Year Acquired _____

2 Owner of Record _____ Owned Leased Managed

Location _____ Year Acquired _____

3 Owner of Record _____ Owned Leased Managed

Location _____ Year Acquired _____

4 Owner of Record _____ Owned Leased Managed

Location _____ Year Acquired _____

Has any of the property listed above been in arrears in the last three (3) years in respect to:

Real Estate Taxes Yes No Water/Sewer Assessments Yes No

Rents Yes No Loans Yes No

If yes, please explain: _____

Applicant Information Statement

Business Profile (cont'd.)

Business History and Experience

List all relevant business experience

1	Name of Company	From	To
	Type of Business	Your Title	
	Street		
	City	State	Zip
2	Name of Company	From	To
	Type of Business	Your Title	
	Street		
	City	State	Zip
3	Name of Company	From	To
	Type of Business	Your Title	
	Street		
	City	State	Zip

Business References

1	Name of Company	From	To
	Street		
	City	State	Zip
	Contact	Title	Telephone
2	Name of Company	From	To
	Street		
	City	State	Zip
	Contact	Title	Telephone
3	Name of Company	From	To
	Street		
	City	State	Zip
	Contact	Title	Telephone

Applicant Information Statement

Business Profile (cont'd.)

Vendor Reference

1 Name of Company _____

From _____ To _____

Street _____

City _____ State _____ Zip _____

Contact _____

Contact's Title _____ Telephone _____

Product Line _____

Credit Line High: _____ Low: _____ Balance: _____

2 Name of Company _____

From _____ To _____

Street _____

City _____ State _____ Zip _____

Contact _____

Contact's Title _____ Telephone _____

Product Line _____

Credit Line High: _____ Low: _____ Balance: _____

3 Name of Company _____

From _____ To _____

Street _____

City _____ State _____ Zip _____

Contact _____

Contact's Title _____ Telephone _____

Product Line _____

Credit Line High: _____ Low: _____ Balance: _____

Applicant Information Statement

Financial Profile

Bank References

Savings Bank

Name of Bank	Branch	
Street		
City	State	Zip
Name of Bank Officer	Telephone	
Name on Account	Account No.	

Commercial Bank

Name of Bank	Branch	
Street		
City	State	Zip
Name of Bank Officer	Telephone	
Name on Account	Account No.	

Available Lines of Credit

Provide information on lines of credit available to undertake required improvements and fulfill annual rental obligations.

1	Name of Source		
	Street		
	City	State	Zip
	Available Dollar Amount \$	Interest Rate	Letter Attached: <input type="checkbox"/> Yes <input type="checkbox"/> No
2	Name of Source		
	Street		
	City	State	Zip
	Available Dollar Amount \$	Interest Rate	Letter Attached: <input type="checkbox"/> Yes <input type="checkbox"/> No
3	Name of Source		
	Street		
	City	State	Zip
	Available Dollar Amount \$	Interest Rate	Letter Attached: <input type="checkbox"/> Yes <input type="checkbox"/> No

Applicant Information Statement

Financial Profile (cont'd.)

Applicant Information

1 Name of Bank _____
 Account No. _____ Branch _____
 Street _____
 City _____ State _____ Zip _____

2 Name of Bank _____
 Account No. _____ Branch _____
 Street _____
 City _____ State _____ Zip _____

3 Name of Bank _____
 Account No. _____ Branch _____
 Street _____
 City _____ State _____ Zip _____

I hereby authorize the banking, financial, and business concerns referenced in this application/statement to release to the Metropolitan Transportation Authority and/or their credit reporting agency any information requested with respect to the above-mentioned accounts and references.

By (Name) _____

Corporate Seal (If Corporation)

Title _____
 Street _____
 City _____ State _____ Zip _____

Acknowledgement Before Notary Public

Subscribed and Sworn to me this _____ day of _____, 20

Notary Public's Signature _____

Notary Seal

Applicant Information Statement

Financial Profile (cont'd.)

Assets	Funds		
	1 – Cash	\$ _____	
	2 – Checking	\$ _____	
	3 – Savings	\$ _____	
	4 – Other	\$ _____	
	5 – Subtotal–Funds	\$ _____	add lines 1 to 4
	Receivables		
	6 – Trade or Business	\$ _____	
	7 – Other	\$ _____	
	8 – Subtotal–Receivables	\$ _____	add lines 6 and 7
	Securities		
	9 – Stocks	\$ _____	
	10 – Bonds	\$ _____	
	11 – Other (Pensions, Annuities)	\$ _____	
	12 – Subtotal–Securities	\$ _____	add lines 9 to 11
	Fixed Assets		
	13 – Equipment	\$ _____	
	14 – Other	\$ _____	
	15 – Subtotal–Fixed Assets	\$ _____	add lines 13 and 14
	Other Assets		
	16 – Trade, Auto	\$ _____	
	17 – Life Insurance	\$ _____	
	18 – Subtotal–Other Assets	\$ _____	add line 16 and 17
	19 – Inventory	\$ _____	
	20 – Miscellaneous	\$ _____	
	21 – Land and Buildings	\$ _____	
	22 – GRAND TOTAL ASSETS	\$ _____	add lines 5,8,12,15, 18-21
Liabilities	23 – Payables	\$ _____	
	24 – Notes Payable	\$ _____	
	25 – Mortgages	\$ _____	
	26 – Deferred	\$ _____	
	27 – Miscellaneous	\$ _____	
	28 – GRAND TOTAL LIABILITIES	\$ _____	add lines 23-27
	29 – CAPITAL/NET WORTH	\$ _____	line 22 minus line 28

If the applicant is in the process of being organized and does not yet have assets or liabilities, check here and complete the financial statement on the basis of the applicant's personal assets and liabilities. Clearly indicate all sources of capitalization.

Applicant Information Statement

One-Year Business Plan

**Income:
One-year
Projection**

1 – Estimated Sales/Revenue	\$	
2 – Cost of Goods Sold	\$	
3 – GROSS PROFIT	\$	subtract line 2 from line 1

**Expenses:
One-year
Projection**

4 – Wages, Salaries	\$	
5 – Rent	\$	
6 – Telephone	\$	
7 – Gas	\$	
8 – Electricity	\$	
9 – Interest on Loan	\$	
10 – Advertising	\$	
11 – Postage	\$	
12 – Travel	\$	
13 – Vehicle Expense	\$	
14 – Payroll Taxes	\$	
15 – Other Taxes	\$	
16 – Supplies	\$	
17 – Legal Fees	\$	
18 – Accounting Fees	\$	
19 – Insurance	\$	
20 – Repairs	\$	
21 – Equipment Rental	\$	
22 – Depreciation	\$	
23 – Other	\$	
24 – TOTAL EXPENSES	\$	add lines 4 through 23
25 – ESTIMATED PROFIT (LOSS)	\$	subtract line 24 from line 3

Applicant Information Statement

One-Year Business Plan (cont'd.)

Proposed Sales/Revenue Plan

Describe the plan to achieve the volume of sales/revenue indicated in item 1 on page 8.

Proposed Staffing

Indicate proposed staffing during business hours. Provide an entry for each change in the number of personnel during these hours.

<u>Day(s)</u>	<u>Hour(s)</u>	<u>No. Personnel</u>	Manager at Location: <input type="checkbox"/> Yes <input type="checkbox"/> No
<u>Day(s)</u>	<u>Hour(s)</u>	<u>No. Personnel</u>	Manager at Location: <input type="checkbox"/> Yes <input type="checkbox"/> No
<u>Day(s)</u>	<u>Hour(s)</u>	<u>No. Personnel</u>	Manager at Location: <input type="checkbox"/> Yes <input type="checkbox"/> No
<u>Day(s)</u>	<u>Hour(s)</u>	<u>No. Personnel</u>	Manager at Location: <input type="checkbox"/> Yes <input type="checkbox"/> No

Items to be Sold

Startup Costs

<u>Legal Costs</u>	<u>\$</u>	
<u>Architectural Fees</u>	<u>\$</u>	
<u>Licensing Fees</u>	<u>\$</u>	
<u>Incorporation Fees</u>	<u>\$</u>	
<u>Rent During Construction</u>	<u>\$</u>	
<u>Construction Costs</u>	<u>\$</u>	(attach two estimates)
<u>Fixtures</u>	<u>\$</u>	
<u>Inventory</u>	<u>\$</u>	
<u>Consulting Fees</u>	<u>\$</u>	
<u>Franchise Fees</u>	<u>\$</u>	
<u>Miscellaneous</u>	<u>\$</u>	
<u>TOTAL STARTUP COSTS</u>	<u>\$</u>	

Applicant Information Statement

Background

Declaration

Has the applicant (or anyone listed herein) ever been barred from bidding on contracts, or declared not responsible by any city, town, village, county, state, or federal public entity? Yes No

Are any outstanding liens pending against the applicant and/or any of its principals, partners, directors, owners, board members, or officers? Yes No

Are any judgments outstanding against the applicant and/or any of its principals, partners, directors, owners, board members, or officers? Yes No

Is any suit or other legal action pending against the applicant and/or any of its principals, partners, directors, owners, board members, or officers? Yes No

Has the applicant or anyone listed herein ever been adjudged bankrupt, voluntarily or involuntarily, under any provision of the Bankruptcy Law, executed an assignment for the benefit of creditors, or abandoned a business without satisfying its outstanding debts? Yes No

Has the applicant or anyone listed herein ever been convicted of a felony? Yes No

If yes to any of the above, please provide all details below.

I declare under the penalties of perjury provided for by Article 210 of the New York Penal Law, that I have read fully and understand all of the terms and conditions of this statement and all of the foregoing questions in the Applicant Information Statement. The answers and statements herein including, without limitation, the Applicant Information Statement and the Credit Authorization, are to the best of my knowledge and belief true, correct and complete. I agree that in the event that circumstances reflected by the answers herein change, I will promptly notify the Real Estate Department of the Metropolitan Transportation Authority in writing by certified mail. I also understand that a misstatement, omission, or failure to update information may be cause for the Metropolitan Transportation Authority not to award to the applicant or its current principals the proposed license, and may have the effect of precluding persons or entities from doing business with the Metropolitan Transportation Authority or its affiliate organizations in the future.

Preparer's Signature _____ Date _____

Applicant's Signature _____ Date _____

Sworn to me this _____ day of _____, 20____

Notary Public's Signature _____

Notary Seal

Applicant Information Statement

General Affidavit

State of New York, County of _____ } ss:

being duly sworn, deposes and says

I am the _____ of _____

the sole proprietorship, joint venture, corporation, partnership (circle one) whose name is subscribed to and which executed the foregoing

I reside at _____

Representations, Warranties, and Covenants

- A. The undersigned has received and read the entire Request for Proposal, has acquainted itself/himself/herself with all matters therein referred to in connection with this proposal, will accept the premises “as-is” and will secure any necessary permits and licenses pertaining to the operation of, or the making of any improvements to, the site. The MTA makes no representation or warranties as to the information supplied herein or the type of use or development permitted at each location.
- B. The undersigned deposits with this proposal an amount equal to three (3) months rent as proposed, in the form of a check payable to the MTA, to be retained by MTA as liquidated damages in the event the undersigned is offered and fails to enter into a lease or license on the terms contained in this proposal.
- C. The undersigned shall invest approximately _____ dollars (\$ _____) for improvements to the subject premises. (Include photographs or drawings of existing operations, and preliminary plans prepared and stamped by a New York State-licensed architect or engineer for the proposed location, which may be used as a basis for improvements to the premises.)
- D. The undersigned acknowledges that improvements and other work (1) may not be carried out without the prior approval of the MTA, (2) will become the property of the MTA, and (3) must conform to appropriate health, safety, fire, and building codes, as required.
- E. The undersigned is not in arrears in the payment of amounts due to the MTA or any of its affiliated agencies or the State of New York or the City of New York or any instrumentality thereof.
- F. The undersigned declares under the penalties of perjury provided for by Article 210 of the New York Penal Law that the undersigned has read fully and understands all of the terms and conditions of this Request for Proposals, and all of the foregoing questions in the Applicant Information Statement and Proposed Compensation Form. The answers and statements herein including, without limitation, the Applicant Information Statement and the Credit Authorization, are to the best of the undersigned’s knowledge and belief true, correct, and complete. The undersigned agrees that in the event that circumstances reflected by the answers herein change, the undersigned will promptly notify the Real Estate Department of the Metropolitan Transportation Authority in writing by certified mail. The undersigned also understands that a misstatement, omission, or failure to update information may be cause for the Metropolitan Transportation Authority not to award to the applicant or its current principals the proposed lease or license, and may have the effect of precluding persons or entities from doing business with the Metropolitan Transportation Authority or its affiliates or subsidiaries in the future.
- G. The undersigned is of lawful age.
- H. The undersigned represents and warrants that no person, firm, or corporation other than herein above named has any interest in this proposed lease or license agreement.
- I. The undersigned represents and warrants that no elected representative or other officer or employee or person whose salary is payable in whole or in part from the Federal Government or State or City of New York, and no member officer or employee of the Metropolitan Transportation Authority or any affiliate or subsidiary thereof is directly or indirectly interested in this proposal or in the proposed lease or license agreement to which it relates or will have an interest in any of the profits thereof.
- J. To the best of the undersigned's knowledge the following statements are true and complete. If any of the following statements are not true and complete, refer to and complete Section K.
 - (i) The compensation and other terms of this proposal have been arrived at independently without any agreement, collusion, consultation, or communications intended to restrict competition.

Applicant Information Statement

General Affidavit (cont'd.)

- (ii) Unless otherwise required by law, the compensation and other terms quoted in this proposal have not been knowingly disclosed by the undersigned or any other individual and, before the proposal is opened, shall not knowingly be directly or indirectly disclosed by the applicant or any other individual or by or on behalf of the proposer to any other proposer or to any competitor; and
- (iii) No attempt has been made or will be made by the undersigned or by any other individual or by or on behalf of the applicant to induce any other person, partnership, corporation, or other entity to submit or not to submit a proposal, for the purpose of restricting competition.

Check off and complete Section K only if the statements contained in Section J are not true and complete.

- K. The statements set forth in paragraphs J. (i), (ii), (iii) are not true and complete. The undersigned has attached a detailed explanation as to (1) why each such paragraph is not true and complete, and (2) why the undersigned's explanation does not reflect an effort to restrain competition.

By _____ Corporate Seal
 Title _____
 Street _____
 City _____ State _____ Zip _____

Note: For all partnerships and joint ventures, a General Affidavit for each of the partners or joint venturers must be completed, executed, notarized, and submitted with the application unless one partner or joint venturer is authorized to bind the others, in which case a single General Affidavit may be signed by one individual authorized to bind the partnership or joint venture.

**Acknowledgement
Before
Notary Public**

On _____, 20____ before me personally came and appeared _____
 _____ who identified himself/herself as such person and swore the following under oath:

1. He/she resides at _____
 Check off applicable provision and complete.
 - A. (For an applicant that is a PARTNERSHIP or JOINT VENTURE in which one partner or joint venturer is authorized to bind the partnership or joint venture, or a CORPORATION).
 He/she is the _____ of _____
 _____, the above entity, which is a _____;
 that he/she signed this affidavit on behalf of himself or herself and said entity; and that he/she is duly authorized on behalf of said entity to sign this affidavit and to bind said entity.
 - B. (For an applicant that is a PARTNERSHIP or JOINT VENTURE in which more than one partner's or joint venturer's signature is authorized to bind the partnership or joint venture).
 He/she is the _____ of _____
 a _____ of the partners/joint venturers in the above partnership/joint venture;
 that he/she signed this affidavit on behalf of him or herself, said partner/joint venturer and partnership/venture; and that he she is authorized to do so.
 - C. (For an applicant that is a SOLE PROPRIETORSHIP).
 He/she is the sole proprietor of the above unincorporated business and he/she signed this affidavit on behalf of himself/herself.
2. The statements set forth in the above General Affidavit are true and complete to the best of his or her knowledge.

Notary Public's Signature _____

Notary Seal