

OCIDA PROJECT MEMO –MAY 14, 2018

Applicant: Cold Point Corporation

A wholly-owned subsidiary of The Whalen Company, Easton, MD

Cold Point Corporation manufactures and sells water source heat pump units and components.

Proposed Project:

Cold Point will construct a 45,000 SF manufacturing facility on 3 acres on a site that is now known as Building Complex 3 of the former Rome Cable site. Building will consist of manufacturing, warehouse and office space. The facility will nearly double the space the company leases from Rome Industrial Development Corporation at 7500 Cold Point Drive in West Rome Industrial Park.

Estimated Project Total Cost: - \$4,490,691.75

- New Building Construction - \$3,758,000
- Site Work, soft costs - \$710,350
- Agency fee - \$22,341.75

Employment: Retain 37 and Create 15

Pending Incentives Request

(1) Manufacturing PILOT*	\$1,692,686
(2) Mortgage Recording Tax Exemption	\$ 24,536
(2) Sales Tax Exemption	<u>\$ 131,530</u>
Total Est.	\$1,848,752

*Phase 1 of PILOT Increment Financing proposal that is fully outlined in Rome Community Brownfield Restoration Corporation/Rome Industrial Development Corporation Application.

APPLICATION FOR FINANCIAL ASSISTANCE

Oneida County Industrial Development Agency

584 Phoenix Drive
Rome, New York 13441-1405
(315) 338-0393 telephone
(315) 338-5694 fax

Shawna M. Papale, Executive Director

A non-refundable application fee of \$500.00 must be submitted at the time of application along with a \$1,000 commitment fee; the \$1,000 commitment fee will be applied to closing fees.

*Please submit the original and two (2) copies of the **signed and notarized** application, and **signed** SEQR form with the above fees. Cost benefit will be completed based on information from this application.*

Please also deliver an electronic copy of all.

All applications must be submitted at least 10 days prior to meeting.

Cold Point Corporation

Project Name

Number (to be provided by the agency)

May 14, 2018

Date of Submission

Part I: Applicant Information

Note: In responding to the following questions, please keep in mind that the Applicant will be party to all of the documents and is the individual or if entity will be formed which will receive the actual financial assistance from the Agency.

Applicant

1(a) Applicant's Legal Name: Cold Point Corporation

1(b) Principal Address: 7500 Cold Point Drive
Rome, NY 13440

1(c) Telephone/Facsimile Numbers: P- 315-339-2331
F - 315-339-2358

1(d) Email Address: _____

1(e) Federal Identification Number: 16-1564019

1(f) Contact Person: Craig Wanner

1(g) Is the Applicant a Corporation:
If yes, Public Private
If public, on which exchange is it listed?

- Subchapter S
- Sole Proprietorship
- General Partnership
- Limited Partnership
- Limited Liability Corporation/Partnership
- Single-Member LLC (name and EIN below):

Name: _____

- EIN: _____
- DISC
- Other(specify) _____

1(h) State of Organization (if applicable) New York

Applicant's Stockholders, Directors and Officers (or Partners)

2(a) Provide the following information with respect to parties with 15% or more in equity holdings:

<u>Name</u>	<u>Address</u>	<u>Percentage of Ownership</u>
The Whalen Company	8900 Glebe Park Drive Easton, MD 21601	100%

2(b) Is the Applicant, or any of the individuals listed in 2(a) above, related directly or indirectly to any other entity by more than 50% common ownership? If so, indicate name of such entity and the relationship.

No

2(c) Is the Applicant affiliated with any other entity, directly or indirectly, other than as listed in the response to 2(a) above? If yes, please indicate name and relationship of such other entity and the address thereof:

No

Applicant's Counsel and Accountant

3(a). Applicant's Attorney

Name/Title: Steven Oberg
Firm: Council Baradel
Address: 125 West Street, Fourth Floor
Annapolis, MD 21401
Telephone/Fax: 410-268-6600
Email: Oberg@CouncilBaradel.com

3(b) Applicant's Accountant

Name/Title: Edward Nevin
Firm: Deloitte Tax LLP
Address: 100 S. Charles Street, 12 th floor
Baltimore, MD 21201
Telephone/Fax: 410-576-6700
Email: _____

Business Description

4(a) Describe the nature of your business and principal products and/or services. Attach additional sheets if necessary.

Cold Point Corporation manufactures and sells water source heat pump units and components.

Part II: Project Information

5(a) Explain your project in detail. This description should include explanation of all activities which will occur due to this project. Attach additional sheets if necessary.

Construction of a 45,000 square foot manufacturing facility on 3 acres located in Rome, NY. Building will ~~con~~ consist of manufacturing, warehouse and office space. Four loading docks for shipping/receiving. This facility will almost double existing manufacturing/warehouse space allowing for a projected doubling of sales within 3-5 years.

Reasons for Project

6(a) Please explain in detail why you want to undertake this project.

Current manufacturing and warehouse facilities are under lease. Cold Point is at maximum capacity and with the acquisition by Whalen Company has more than tripled the representatives available to sell their product. More space for manufacturing/warehouse and a long term facility are necessary to achieve the company's strategic plan of doubling sales within 3-5 years.

6(b) Why are you requesting the involvement of the Agency in your project?

Financial assistance for gap between mortgage and JDA financing and access to the PILOT program.

6(c) Please confirm by checking the box, below, if there is likelihood that the Project would not be undertaken but for the Financial Assistance provided by the Agency?

Yes or No

^x
If the Project could be undertaken without Financial Assistance provided by the Agency, then provide a statement in the space provided below indicating why the Project should be undertaken by the Agency:

How will the Applicant's plans be affected or scaled back if Agency approval is not granted?

Without Agency approval may not get support from Company Board to move forward with building construction. We would need to think about moving Cold Point to Maryland where Parent Company, Whalen, is located.

6(d) Is the proposed project reasonably necessary to discourage the Applicant from removing such other plant or facility to a location outside the State of New York?

Yes No **If yes, please explain briefly.**

Current operations in Maryland for Parent Company. Possible consolidation of businesses.

6(e) Will financing by the Agency result in the removal or abandonment of a plant or other facility of the applicant or any related entity presently located in another area of New York State?

Yes No

If **yes**, is the proposed project reasonably necessary to preserve the competitive position of the Applicant in its respective industry? Yes No

If **yes**, please provide a statement and evidence supporting the same. Include the name of all taxing jurisdictions in which the abandoned facility or plant lies, and whether Applicant has had any discussions with said taxing jurisdictions regarding the abandonment. Please provide as much detail as possible.

6(f) Has the Applicant or any related entity previously secured financial assistance in Oneida County (whether through the Agency, the Empire State Development Corporation, or any other entity) ? Yes No

If **yes**, please explain (indicate date of benefit, location of facility and outstanding balance).

6(g) Has the Applicant or any related entity secured financial assistance anywhere within the United States within the last 90 days or does the Applicant or any related entity anticipate receiving financial assistance within the next 90 days? Yes No

If **yes**, please explain.

6(h) Check all categories best describing the **type of project for all end users at project site (you may check more than one; if checking more than one indicate percentage of square footage the use represents):**

- | | | |
|-------------------------------------|--|--|
| <input checked="" type="checkbox"/> | Manufacturing | Percentage of sq. footage of each use (if more than one category): |
| <input type="checkbox"/> | Industrial Assembly or Service | |
| <input checked="" type="checkbox"/> | Back office operations | Manufacturing 62% |
| <input type="checkbox"/> | Research and Development | Warehouse 25% |
| <input type="checkbox"/> | Technology/Cybersecurity | Office 13% |
| <input checked="" type="checkbox"/> | Warehousing | |
| <input type="checkbox"/> | Commercial or Recreational | |
| <input type="checkbox"/> | Retail | |
| <input type="checkbox"/> | Residential housing (specify) _____ | |
| <input type="checkbox"/> | Pollution Control (specify) _____ | |
| <input type="checkbox"/> | Environmental (e.g., Brownfield) (specify) _____ | |
| <input type="checkbox"/> | Other (specify) _____ | |

6(i) Check all categories best describing the **scope of the project**:

- Acquisition of land
- Acquisition of existing building
- Renovations to existing building
- Construction of addition to existing building
- Demolition of existing building or _____ part of building
- Construction of a new building
- Acquisition of machinery and/or equipment
- Installation of machinery and/or equipment
- Other (specify) _____

6(j) Please indicate the financial assistance you are requesting of the Agency, and provide the estimated value of said assistance. Attach a sheet labeled Annual PILOT that shows the annual utilization of the Real Property Tax Abatement by year and by taxing jurisdiction.

Assistance	Estimated Value
<input checked="" type="checkbox"/> Real Property Tax Abatement	\$ <u>1,692,686</u>
<input checked="" type="checkbox"/> Mortgage Tax Exemption (.75%)	\$ <u>24,536.36</u>
Amount of mortgage: \$	<u>3,271,515</u>
<input checked="" type="checkbox"/> Sales and Use Tax Exemption ** (8.75%)	\$ <u>131,530</u>
Value of goods/services to be exempted from sales tax: \$	<u>1,503,200</u>
<input type="checkbox"/> Issuance by the Agency of Tax Exempt Bonds	\$ _____

Is the financial assistance requested by the Applicant consistent with the IDA's Uniform Tax Exemption Policy? Yes No

If no, please provide a written statement describing the financial assistance being requested and detailing the reasons the IDA should consider deviating from its Policy.

**** Note that the estimate provided above will be provided to the New York State Department of Taxation and Finance. The Applicant acknowledges that the transaction documents will include a covenant by the Applicant that the estimate, above, represents the maximum amount of sales and use tax benefit currently authorized by the Agency with respect to this Application. The Agency may utilize the estimate, above, as well as the proposed total Project Costs as contained within this Application, to determine the Financial Assistance that will be offered. It is the responsibility of the applicant to inform the IDA within 10 days if the project amount changes.**

Part III: Facility Information (if project that you are applying for is a housing project please also complete questions 7(m) through 7(q))

Facility (Physical Information) If multiple locations please provide information on all.

7(a) Street Address of Facility:

Rome Cable Complex #3

7(b) City, Town and/or Village (list ALL incorporated municipalities):

Rome, NY

7(c) School District:

Rome City

7(d) Tax Map Number(s):

242.000-1-7.2

(a portion to be subdivided out)

Attach copies of the most recent real property tax bills. Include copies for all taxing jurisdictions for the site/ facility that IDA assistance is being sought.

7(e) For what purpose was the facility site most recently used (i.e., light manufacturing, heavy manufacturing, assembly, etc.)?

MFG

7(f) Zoning Classification of location of the project:

E-3

7(g) Please describe in detail the facility to be acquired, constructed or renovated (including number of buildings, square footage, number of floors, type of construction,) and attach plot plans, photos or renderings, if available. If there are infrastructure improvements (water, sewer, gas, electrical, etc.) please provide details along with who will carry out those improvements and who will fund them. **Please be as specific as possible.**

7(h) Has construction or renovation commenced? Yes No

If yes, please describe the work in detail that has been undertaken to date, including the date of commencement.

If no, indicate the estimated dates of commencement and completion:

Construction commencement: July 2018

Construction completion: March 2019

7(i) Will the construction or operation of the facility or any activity which will occur at the site require any local ordinance or variance to be obtained or require a permit or prior approval of any state or federal agency or body (other than normal occupancy and/or construction permits)?

Yes No

If yes, please describe.

Has the Project received site plan approval from the planning department?

Yes No N/A

NOT YET, Anticipate in May

If Yes, please provide the Agency with a copy of the planning department approval along with the related State Environmental Quality Review (SEQR) determination. If no, please provide the status of approval:

7(j) Will the project have a significant effect on the environment? Yes No

Important: please attach and sign Part 1 of either the the long or short Environmental Assessment Form to this Application.

7(k) What is the useful life of the facility? 50 years

7(l) Is the site in a former Empire Zone? Yes No

If yes, which Empire Zone: City of Rome

Is project located in a Federal HUB Zone or distressed area: Yes No
Provide detail.

All applicants answer the following questions.

4. Will the project preserve permanent, private sector jobs or increase the overall number of permanent, private sector jobs in the State of New York?

Yes or No.

If yes, explain Increase in capacity will lead to more
manufacturing jobs and front office positions.

5. Is the project located in a Highly Distressed Area? Yes or No

Part VI: Facility (Legal Information)

8(a) With respect to the present owner of the facility, please give the following information and provide a brief statement regarding the status of the acquisition.:

(Note: the present owner is not necessarily the user of the facility, but that party which holds legal title to the facility.)

Legal Name:

OCIDA / RCBRC

Address:

584 Phoenix Drive

Rome, NY 13440

Telephone:

315-338-0393

Balance of Mortgage:

Holder of Mortgage:

If the Applicant is not the present owner of the facility, please attach any written agreements and contracts concerning the acquisition of the real property and/or equipment.

8(b) Is there a legal relationship, directly or indirectly, by virtue of common control or through related persons, between the Applicant and the present owner of the facility?

Yes No. If yes, please explain.

8(c) Will a related real estate holding company, partnership or other entity, be involved in the ownership structure of the transaction?

Yes No. If yes, please explain.

8(d) Will the title owner of the facility/property also be the user of the facility?

Yes No. If no, please explain.

8(e) Is the Applicant currently a tenant in the facility? Yes No

8(f) Are you planning to use the entire proposed facility?
 Yes No

If no, please give the following information with respect to tenant(s) which will remain in the facility after the completion of the project, including the square footage the Applicant will occupy:

<u>Name of Tenant</u>	<u>Floors Occupied</u>	<u>Square Feet Occupied</u>	<u>Nature of Business</u>
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8(g) Are any of the tenants related to the owner of the facility?
 Yes No
If yes, please explain.

8(h) Will there be any other users utilizing the facility?
 Yes No
If yes, please explain. Provide detail of the contractual arrangement including any financial exchange for the use of the site or property.

Part VII: Equipment

9(a) List the principal items or categories of equipment to be acquired as part of the project. If you are requesting sales tax exemption it is important to be as detailed as possible. (If a complete list is not available at time of application, as soon as one is available but prior to final authorizing resolution, please submit a detailed inventory of said equipment to be covered.) Attach a sheet if needed.

N/A

9(b) Please provide a brief description of any equipment which has already been purchased or ordered, attach all invoices and purchase orders, list amounts paid and dates of expected delivery. Attach a sheet if needed.

None

9(c) What is the useful life of the equipment?

20 years

Part VIII: Employment Information

10(a) Estimate how many construction jobs will be created or retained as a result of this project.

Construction Jobs:

10(b) Job Information related to project ***

Estimate below how many jobs will be created and retained as a result of this project, if OCIDA assistance is granted - chart will auto-sum each category

Number of Jobs BEFORE Project	Location 1	Location 2	Location 3	Location 4	Location 5	Total
Address in NYS	7500 Cold Point Dr Rome, NY 13440	South J Street Rome, NY 13440				
Full-Time Company	37	0				37
Full-Time Independent Contractors						0
Full-Time Leased						0
Total Full-Time BEFORE	37	0	0	0	0	37
Part-Time Company						0
Part-Time Independent Contractors						0
Part-Time Leased						0
Total Part-Time BEFORE	0	0	0	0	0	0

*Continued on next page

- chart will auto-sum each category

Number of Jobs AFTER Project (within 3 years of project completion)	Location 1	Location 2	Location 3	Location 4	Location 5	Total
Full-time Company		52				52
Full-Time Independent Contractors						0
Full-Time Leased						0
Total Full-Time AFTER	0	52	0	0	0	52
Part-Time Independent Company						0
Part-Time Independent Contractors						0
Part-Time Leased						0
Total Part-Time AFTER	0	0	0	0	0	0

Estimate the number of residents from the Labor Market Area** in which the Project is located that will fill the jobs created within three years of project completion	Location 1	Location 2	Location 3	Location 4	Location 5	Total
Full-Time		52				52
Part-Time						0
Total AFTER	0	52	0	0	0	52

*Continued on next page

- chart will auto-sum each category

SALARY AND BENEFITS	Retained Jobs		Created Jobs	
	Average Annual Salary	Average Fringe Benefits (as a percentage of wages)	Average Annual Salary	Average Fringe Benefits (as a percentage of wages)
Management	\$ 60,000	% 29	\$ 60,000	% 29
Administrative	\$ 40,000	% 29	\$ 40,000	% 29
Production	\$ 40,000	% 29	\$ 40,000	% 29
Independent Contractor	\$	%	\$	%
Other	\$	%	\$	%
Overall Weighted Average	\$ 46,666	% 29	\$ 46,666	% 29

** Labor Market Area includes Oneida, Lewis, Herkimer, and Madison Counties

*** By statute, Agency staff must project the number of Full-Time Jobs that would be retained and created if the request for Financial Assistance is granted. A Full-Time Job works 35 hours or more per week. Agency staff converts Part-Time Jobs into Full-Time Equivalents (FTE) by dividing the number of Part-Time Jobs by two(2). Agency staff will project such jobs over the THREE (3)-year time period FOLLOWING Project Completion.

10(c) Please list NIC codes for the jobs affiliated with this project:

Part IX: Estimated Project Cost and Financing - form will auto sum

11(a) List the costs necessary for the construction, acquisition or renovation of the facility.

Acquisition of Land (if vacant)	_____
Acquisition of Existing Building(s)	_____
Renovation Costs of Existing Building(s)	_____
New Construction of Buildings	<u>\$ 3,758,000</u>
Machinery and Equipment (other than furniture costs)	_____
Fixtures	_____
Installation Costs	_____
Fees & Permits (other than your own broker and legal fees)	_____
Legal Fees (IDA legal fees, Applicant legal fees)	_____
Architectural/Engineering Interest on	_____
Financing Charges	_____
Other (specify) <i>Sitework, contingency, soft cost</i>	<u>\$ 710,350</u>
Subtotal	<u>0 \$4,468,350</u>
Agency Fee ¹	<u>\$ 22,341.75</u>
Total Project Cost	<u>0 \$4,490,691.75</u>

¹See Attached Fee Schedule (Page 25) for Agency Fee amount to be placed on this line

11(b) **Sources of Funds for Project Costs (will auto sum):**

Bank Financing: \$ 3,271,515
 Equity (excluding equity that is attributed to grants/tax credits) \$ 446,835
 Tax Exempt Bond Issuance (if applicable) \$ _____
 Taxable Bond Issuance (if applicable) \$ _____
 Public Sources (Include sum total of all state and federal grants and tax credits) \$ _____

Identify each state and federal grant/credit:

Edge-RIDC \$ 300,000
ESD-DEF (50-50 participation loan) \$ 450,000
 _____ \$ _____
 _____ \$ _____

Total Sources of Funds for Project Costs: \$ 0 4,468,350

Real Estate Taxes

12(a) For each tax parcel which comprises the facility, please provide the following information, using figures from the most recent tax year.

Tax Map #	Current Assessed Value (Land)	Current Assessed Value (Building)	Real Estate Taxes
Portion of 242,000-1-7.2	<u>\$51,000</u>	\$ 773,729	\$ 0

12(b) Address of Receiver of Town and/or Village Taxes:

City of Rome Treasurer
198 N. Washington Street
Rome, NY 13440

12(c) Address of Receiver of School Taxes:

Rome City School District - District Treasurer
409 Bell Road
Rome, NY 13440

12(d) Will the completion of the proposed project result in the increase of the assessment of any of the parcels named above? Yes No

If yes, please indicate which tax account numbers will be affected.

242,000-1-7.2 (current #)

Financial Information

13(a) Has the Applicant contacted any bank, financial/lending institution or private investor with respect to the financing of the proposed project?

Yes No

If yes, please provide details.

Shore United Bank in Easton, MD
JDA Loan

13(b) Has the Applicant received a commitment letter for said financing?

Yes No

If yes, please submit a copy of said commitment letter along with this Application.

13(c) Please complete the Cost/Benefit Analysis form and attach to this Application. As you begin completing the form and have questions, please call the IDA office.

fact and do not omit to state a material fact necessary to make the statements contained herein not misleading.

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

_____, being first duly sworn, deposes and says:

1. That I am the President (Corporate Office) of Cold Point / Whalen (Applicant) and that I am duly authorized on behalf of the Applicant to bind the Applicant.
2. That I have read the attached Application, I know the contents thereof, and that to the best of my knowledge and belief, this Application and the contents of this Application are true, accurate and complete.



(Signature of Officer)

Subscribed and affirmed to me under penalties of perjury
this ___ day of _____, 20 .

(Notary Public)

If the application has been completed by or in part by other than the person signing this application for the applicant please indicate who and in what capacity:

By: _____

Name: _____

Title: _____

Date: _____

Return the original signed and notarized application and two copies with a check in the amount of \$1500.00 made payable to: **Oneida County Industrial Development Agency (OCIDA)**, 584 Phoenix Drive, Rome, New York 13441-1405, Attn.: Shawna M. Papale, Executive Director. \$1000 will be applied at closing against the IDA closing fee. In addition, please send an electronic version of the application (signed), and SEQR form (signed), to spapale@mvedge.org.

ONEIDA COUNTY INDUSTRIAL DEVELOPMENT AGENCY
COST/BENEFIT ANALYSIS
Required by §859-a(3) of the
New York General Municipal Law

Date

5/8/2018

Name of Applicant:

Cold Point Corp-Whalen

Name of All Sublessees or Other Occupants of
Facility:

Principals or Parent of Applicant:

The Whalen Company

Products or Services of Applicant to be produced
or carried out at facility:

Estimated Date of Completion of Project:

Mar-19

Type of Financing/ Structure:

____ Tax-Exempt Financing
____ Taxable Financing
 Sale/ Leaseback
____ Other: _____

Type of Benefits being Sought by Applicant:

____ Taxable Financing
____ Tax-Exempt Bonds
 Sales Tax Exemption on Eligible Expenses Until Completion
 Mortgage Recording Tax Abatement
 Real Property Tax Abatement

Project Costs

Land	\$ -
Existing Building	
Existing Bldg. Rehab	\$ -
Construction of New Building	\$ 3,758,000.00
Addition or Expansion	
Engineering/ Architectural Fees	
Installation	
Fixtures	
Equipment	

Legal Fees (Bank, Bond, Transaction, Credit Provider, Trustee)	See Agency Fee Schedule Page on Application
Finance Charges (Title Insurance, Environmental Review, Bank Commitment Fee, Appraisal, Etc.)	

<u>Sitework, contingency, soft costs</u>	\$ 710,350.00
Subtotal	\$ 4,468,350.00

Agency Fee*	\$ 22,341.75	IDA Agency Fee: PILOT, Mortgage Recording Exemption, Sales Tax Exemption:		
		o Up to a \$1.0 Million project - \$5,000	o Above \$1.0 Million project up to \$10.0 Million project - ½ of 1% of total project cost.	o Above \$10.0 Million project - ½ of 1% of total project cost up to \$10.0 Million plus incremental increase of ¼ of 1% of total project above \$10.0 Million.
TOTAL COST OF PROJECT	\$ 4,490,691.75			

Assistance Provided by the Following:

EDGE & RIDC Loan:	\$ 300,000.00
MVEDD Loan:	
Grants - Please indicate source & Amount:	
Other Loans - Please indicate source & Amount:	\$ 450,000.00

ESD

Company Information

		Average Salary of these Positions
Existing Jobs	34.00	46666
Created Jobs (over three years)	15.00	46666
Retained Jobs	34.00	46666

Earnings Information for Oneida County

Average Salary of Direct Jobs for Applicant	\$ 46,666.00
Average of County Indirect Jobs	\$ 25,000.00
Average of Construction Jobs	\$ 32,000.00

Note: \$1,000,000 in construction expenditures generates 15 person - years of employment

Construction Person Years of Employment:	\$ 18.79
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Calculation of Benefits (3 Year Period)

	Total Earnings	Revenues
Direct Jobs		
Created	\$ 2,099,970.00	89248.725
Existing	\$ 4,759,932.00	202297.11
Indirect Jobs		
Created	\$ 2,812,500.00	119531.25
Existing	\$ 6,375,000.00	270937.5
Construction - only one year		
Person Years	\$ 601,280.00	25554
TOTALS Calculation of Benefits (3 Year Period)	\$ 16,648,682.00	707569

TAXABLE GOODS & SERVICES

	Spending Rate	Expenditures	State & Local Sales Tax Revenues
Direct Jobs			
Created \$	0.36	755989.2	73708.947
Existing \$	0.36	1713575.52	149937.858
Indirect Jobs			
Created \$	0.36	1012500	98718.75
Existing \$	0.36	2295000	200812.5
Construction - only one year			
Person Years \$	0.36	216461	18940
TOTAL TAXABLE GOODS & SERVICES		5993526	542118

Local (3 year) real property tax benefit (assuming 60% of jobs existing and created own a residence) with an average assessment of \$80,000 and the remainder of jobs existing created pay real property taxes through rent based on an average assessment per apartment of \$50,000.

Tax Rate for School District where facility is located:	30.652656
Tax Rate for Municipality where facility is located:	20.239268
Tax Rate for County:	9.156641
Rate Total	60.048565
Real Property Taxes Paid:	\$ 200,081.82

COSTS:

Real Property Taxes Abated on Improvements Only (10 yr. Period):	1,692,686	Amount of Taxes that would be abated by applying PILOT.
Mortgage Tax Abated (.075%)	24,536	
Estimated Sales Tax Abated During Construction Period (8.75%)	131,530	

NOTE: If there is a tax-exempt financing of all or a portion of the project cost, there is a neutral cost/benefit because of lower interest rates by reason of exclusion of interest from gross income of bondholders for purposes of Federal and State income taxes. Taxable financing carries the same cost/benefit for State Income Tax purposes. Such cost/benefits cannot be quantified.

Full Environmental Assessment Form
Part 1 - Project and Setting

Instructions for Completing Part 1

Part 1 is to be completed by the applicant or project sponsor. Responses become part of the application for approval or funding, are subject to public review, and may be subject to further verification.

Complete Part 1 based on information currently available. If additional research or investigation would be needed to fully respond to any item, please answer as thoroughly as possible based on current information; indicate whether missing information does not exist, or is not reasonably available to the sponsor; and, when possible, generally describe work or studies which would be necessary to update or fully develop that information.

Applicants/sponsors must complete all items in Sections A & B. In Sections C, D & E, most items contain an initial question that must be answered either "Yes" or "No". If the answer to the initial question is "Yes", complete the sub-questions that follow. If the answer to the initial question is "No", proceed to the next question. Section F allows the project sponsor to identify and attach any additional information. Section G requires the name and signature of the project sponsor to verify that the information contained in Part 1 is accurate and complete.

A. Project and Sponsor Information.

Name of Action or Project: Project Blue Crab: Construction of new 50,000 SF manufacturing facility @ Complex 3		
Project Location (describe, and attach a general location map): 500 block of Henry Street; intersection of Henry & South Jay Streets - Rome, NY 13440 (map attached)		
Brief Description of Proposed Action (include purpose or need): Construction of a new, 50,000 SF steel building on the former Rome Cable Complex 3 site. Construction will include approximately 60 new parking spaces, an industrial access drive, two loading docks, and landscaping. The building dimensions will be approximately (l)150' x (w)325' x (h)24' - situated parallel to Henry Street, occupying approximately 3.5 acres at the SE corner of the former Rome Cable Complex 3 site. The site is a former brownfield - for which the NYSDEC has issued a Record of Decision that states "No Further Action" for Commercial/Industrial redevelopment. This infill project is an example of smart growth and sustainable development in downtown Rome, and part of the Downtown Revitalization Initiative.		
Name of Applicant/Sponsor: Craig Wanner, President, The Whalen Company		Telephone: 443.258.2763
		E-Mail: cwanner@whalencompany.com
Address: 8900 Glebe Park Drive		
City/PO: Easton	State: MD	Zip Code: 21601
Project Contact (if not same as sponsor; give name and title/role): Dave Kleps, President, C2C Construction		Telephone: 315.801.5185
		E-Mail: dkleps@c2cconst.com
Address: 258 Genesee Street		
City/PO: Utica	State: NY	Zip Code: 13502
Property Owner (if not same as sponsor): Rome Community Brownfield Restoration Corporation		Telephone: 315.338.0393
		E-Mail: cmercurio@mvedge.org; farcuri@mvedge.org
Address: 584 Phoenix Drive		
City/PO: Rome	State: NY	Zip Code: 13441

B. Government Approvals

B. Government Approvals Funding, or Sponsorship. ("Funding" includes grants, loans, tax relief, and any other forms of financial assistance.)		
Government Entity	If Yes: Identify Agency and Approval(s) Required	Application Date (Actual or projected)
a. City Council, Town Board, <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No or Village Board of Trustees	City Common Council and School District - Approval of PILOT Increment Financing District	Common Council - June 15 City School District - June 21
b. City, Town or Village Planning Board or Commission <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Planning Board - Site Plan and Subdivision Approval	July 10, 2018
c. City Council, Town or Village Zoning Board of Appeals <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	n/a	
d. Other local agencies <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Oneida County IDA - PIF Approval	May 18, 2018
e. County agencies <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Oneida County Board of Legislators	June 23, 2018
f. Regional agencies <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Mohawk Valley EDGE Board Loan Approval	May 2018
g. State agencies <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Empire State Development Grants & Loans NYS DEC Environmental Easement	June 21, 2018 July 2018
h. Federal agencies <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
i. Coastal Resources.		
i. Is the project site within a Coastal Area, or the waterfront area of a Designated Inland Waterway? If Yes,		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
ii. Is the project site located in a community with an approved Local Waterfront Revitalization Program?		<input type="checkbox"/> Yes <input type="checkbox"/> No
iii. Is the project site within a Coastal Erosion Hazard Area?		<input type="checkbox"/> Yes <input type="checkbox"/> No

C. Planning and Zoning

C.1. Planning and zoning actions.	
Will administrative or legislative adoption, or amendment of a plan, local law, ordinance, rule or regulation be the only approval(s) which must be granted to enable the proposed action to proceed? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<ul style="list-style-type: none"> • If Yes, complete sections C, F and G. • If No, proceed to question C.2 and complete all remaining sections and questions in Part 1 	
C.2. Adopted land use plans.	
a. Do any municipally- adopted (city, town, village or county) comprehensive land use plan(s) include the site where the proposed action would be located? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
If Yes, does the comprehensive plan include specific recommendations for the site where the proposed action would be located? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
b. Is the site of the proposed action within any local or regional special planning district (for example: Greenway Brownfield Opportunity Area (BOA); designated State or Federal heritage area; watershed management plan; or other?) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
If Yes, identify the plan(s): The Rome Cable Site is the epicenter of the Erie Boulevard Brownfield Opportunity Area (BOA), currently in Nomination & Implementation Strategy phase. The community vision for the site is to eradicate the blighted structures and return to productive use as a center for employment opportunities in clean manufacturing and/or commercial redevelopment.	
c. Is the proposed action located wholly or partially within an area listed in an adopted municipal open space plan, or an adopted municipal farmland protection plan? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If Yes, identify the plan(s): _____ _____ _____	

C.3. Zoning

a. Is the site of the proposed action located in a municipality with an adopted zoning law or ordinance. Yes No
 If Yes, what is the zoning classification(s) including any applicable overlay district?
 The property is zoned E-3 (General Industrial)

b. Is the use permitted or allowed by a special or conditional use permit? Yes No

c. Is a zoning change requested as part of the proposed action? Yes No
 If Yes,
 i. What is the proposed new zoning for the site? _____

C.4. Existing community services.

a. In what school district is the project site located? Rome City School District

b. What police or other public protection forces serve the project site?
City of Rome PD

c. Which fire protection and emergency medical services serve the project site?
City of Rome FD

d. What parks serve the project site?
Gryziek Park (South James Street) and City Hall Green (W Dominick Street)

D. Project Details

D.1. Proposed and Potential Development

a. What is the general nature of the proposed action (e.g., residential, industrial, commercial, recreational; if mixed, include all components)? Industrial

b. a. Total acreage of the site of the proposed action? _____ 4.7 acres
 b. Total acreage to be physically disturbed? _____ 4.7 acres
 c. Total acreage (project site and any contiguous properties) owned or controlled by the applicant or project sponsor? _____ 5.8 acres

c. Is the proposed action an expansion of an existing project or use? Yes No
 i. If Yes, what is the approximate percentage of the proposed expansion and identify the units (e.g., acres, miles, housing units, square feet)? % _____ Units: _____

d. Is the proposed action a subdivision, or does it include a subdivision? Yes No
 If Yes,
 i. Purpose or type of subdivision? (e.g., residential, industrial, commercial; if mixed, specify types)
industrial
 ii. Is a cluster/conservation layout proposed? Yes No
 iii. Number of lots proposed? 5
 iv. Minimum and maximum proposed lot sizes? Minimum 0.3 Maximum 4.5

e. Will proposed action be constructed in multiple phases? Yes No
 i. If No, anticipated period of construction: _____ 12 months
 ii. If Yes:
 • Total number of phases anticipated _____
 • Anticipated commencement date of phase 1 (including demolition) _____ month _____ year
 • Anticipated completion date of final phase _____ month _____ year
 • Generally describe connections or relationships among phases, including any contingencies where progress of one phase may determine timing or duration of future phases: _____

f. Does the project include new residential uses? Yes No
 If Yes, show numbers of units proposed.

	<u>One Family</u>	<u>Two Family</u>	<u>Three Family</u>	<u>Multiple Family (four or more)</u>
Initial Phase	_____	_____	_____	_____
At completion of all phases	_____	_____	_____	_____

g. Does the proposed action include new non-residential construction (including expansions)? Yes No
 If Yes,

i. Total number of structures 1

ii. Dimensions (in feet) of largest proposed structure: 24 height; 150 width; and 325 length

iii. Approximate extent of building space to be heated or cooled: 50,000 square feet

h. Does the proposed action include construction or other activities that will result in the impoundment of any liquids, such as creation of a water supply, reservoir, pond, lake, waste lagoon or other storage? Yes No
 If Yes,

i. Purpose of the impoundment: _____

ii. If a water impoundment, the principal source of the water: Ground water Surface water streams Other specify: _____

iii. If other than water, identify the type of impounded/contained liquids and their source. _____

iv. Approximate size of the proposed impoundment. Volume: _____ million gallons; surface area: _____ acres

v. Dimensions of the proposed dam or impounding structure: _____ height; _____ length

vi. Construction method/materials for the proposed dam or impounding structure (e.g., earth fill, rock, wood, concrete): _____

D.2. Project Operations

a. Does the proposed action include any excavation, mining, or dredging, during construction, operations, or both? Yes No
 (Not including general site preparation, grading or installation of utilities or foundations where all excavated materials will remain onsite)
 If Yes:

i. What is the purpose of the excavation or dredging? _____

ii. How much material (including rock, earth, sediments, etc.) is proposed to be removed from the site?

- Volume (specify tons or cubic yards): _____
- Over what duration of time? _____

iii. Describe nature and characteristics of materials to be excavated or dredged, and plans to use, manage or dispose of them. _____

iv. Will there be onsite dewatering or processing of excavated materials? Yes No
 If yes, describe. _____

v. What is the total area to be dredged or excavated? _____ acres

vi. What is the maximum area to be worked at any one time? _____ acres

vii. What would be the maximum depth of excavation or dredging? _____ feet

viii. Will the excavation require blasting? Yes No

ix. Summarize site reclamation goals and plan: _____

b. Would the proposed action cause or result in alteration of, increase or decrease in size of, or encroachment into any existing wetland, waterbody, shoreline, beach or adjacent area? Yes No
 If Yes:

i. Identify the wetland or waterbody which would be affected (by name, water index number, wetland map number or geographic description): _____

ii. Describe how the proposed action would affect that waterbody or wetland, e.g. excavation, fill, placement of structures, or alteration of channels, banks and shorelines. Indicate extent of activities, alterations and additions in square feet or acres:

iii. Will proposed action cause or result in disturbance to bottom sediments? Yes No
If Yes, describe: _____

iv. Will proposed action cause or result in the destruction or removal of aquatic vegetation? Yes No
If Yes:

- acres of aquatic vegetation proposed to be removed: _____
- expected acreage of aquatic vegetation remaining after project completion: _____
- purpose of proposed removal (e.g. beach clearing, invasive species control, boat access): _____
- proposed method of plant removal: _____
- if chemical/herbicide treatment will be used, specify product(s): _____

v. Describe any proposed reclamation/mitigation following disturbance: _____

c. Will the proposed action use, or create a new demand for water? Yes No
If Yes:

i. Total anticipated water usage/demand per day: _____ 500 gallons/day

ii. Will the proposed action obtain water from an existing public water supply? Yes No

If Yes:

- Name of district or service area: Rome Municipal Water District
- Does the existing public water supply have capacity to serve the proposal? Yes No
- Is the project site in the existing district? Yes No
- Is expansion of the district needed? Yes No
- Do existing lines serve the project site? Yes No

iii. Will line extension within an existing district be necessary to supply the project? Yes No
If Yes:

• Describe extensions or capacity expansions proposed to serve this project: _____

• Source(s) of supply for the district: Rome Municipal Water District

iv. Is a new water supply district or service area proposed to be formed to serve the project site? Yes No
If Yes:

- Applicant/sponsor for new district: _____
- Date application submitted or anticipated: _____
- Proposed source(s) of supply for new district: _____

v. If a public water supply will not be used, describe plans to provide water supply for the project: _____

vi. If water supply will be from wells (public or private), maximum pumping capacity: _____ gallons/minute.

d. Will the proposed action generate liquid wastes? Yes No
If Yes:

i. Total anticipated liquid waste generation per day: _____ 600 gallons/day

ii. Nature of liquid wastes to be generated (e.g., sanitary wastewater, industrial; if combination, describe all components and approximate volumes or proportions of each): _____

iii. Will the proposed action use any existing public wastewater treatment facilities? Yes No
If Yes:

- Name of wastewater treatment plant to be used: Rome Municipal WWTP
- Name of district: City of Rome
- Does the existing wastewater treatment plant have capacity to serve the project? Yes No
- Is the project site in the existing district? Yes No
- Is expansion of the district needed? Yes No

• Do existing sewer lines serve the project site? Yes No
 • Will line extension within an existing district be necessary to serve the project? Yes No
 If Yes:
 • Describe extensions or capacity expansions proposed to serve this project: _____

iv. Will a new wastewater (sewage) treatment district be formed to serve the project site? Yes No
 If Yes:
 • Applicant/sponsor for new district: _____
 • Date application submitted or anticipated: _____
 • What is the receiving water for the wastewater discharge? _____
 v. If public facilities will not be used, describe plans to provide wastewater treatment for the project, including specifying proposed receiving water (name and classification if surface discharge, or describe subsurface disposal plans):

vi. Describe any plans or designs to capture, recycle or reuse liquid waste: _____

e. Will the proposed action disturb more than one acre and create stormwater runoff, either from new point sources (i.e. ditches, pipes, swales, curbs, gutters or other concentrated flows of stormwater) or non-point source (i.e. sheet flow) during construction or post construction? Yes No
 If Yes:
 i. How much impervious surface will the project create in relation to total size of project parcel?
 _____ Square feet or _____ 2.5 acres (impervious surface)
 _____ Square feet or _____ 5.8 acres (parcel size)
 ii. Describe types of new point sources. gutters (roof runoff) and catch basins (parking lot)

 iii. Where will the stormwater runoff be directed (i.e. on-site stormwater management facility/structures, adjacent properties, groundwater, on-site surface water or off-site surface waters)?
 on-site stormwater management through bio-swales and infiltration facilities

 • If to surface waters, identify receiving water bodies or wetlands: _____

 • Will stormwater runoff flow to adjacent properties? Yes No
 iv. Does proposed plan minimize impervious surfaces, use pervious materials or collect and re-use stormwater? Yes No

f. Does the proposed action include, or will it use on-site, one or more sources of air emissions, including fuel combustion, waste incineration, or other processes or operations? Yes No
 If Yes, identify:
 i. Mobile sources during project operations (e.g., heavy equipment, fleet or delivery vehicles)

 ii. Stationary sources during construction (e.g., power generation, structural heating, batch plant, crushers)

 iii. Stationary sources during operations (e.g., process emissions, large boilers, electric generation)

g. Will any air emission sources named in D.2.f (above), require a NY State Air Registration, Air Facility Permit, or Federal Clean Air Act Title IV or Title V Permit? Yes No
 If Yes:
 i. Is the project site located in an Air quality non-attainment area? (Area routinely or periodically fails to meet ambient air quality standards for all or some parts of the year) Yes No
 ii. In addition to emissions as calculated in the application, the project will generate:
 • _____ Tons/year (short tons) of Carbon Dioxide (CO₂)
 • _____ Tons/year (short tons) of Nitrous Oxide (N₂O)
 • _____ Tons/year (short tons) of Perfluorocarbons (PFCs)
 • _____ Tons/year (short tons) of Sulfur Hexafluoride (SF₆)
 • _____ Tons/year (short tons) of Carbon Dioxide equivalent of Hydrofluorocarbons (HFCs)
 • _____ Tons/year (short tons) of Hazardous Air Pollutants (HAPs)

h. Will the proposed action generate or emit methane (including, but not limited to, sewage treatment plants, landfills, composting facilities)? Yes No
 If Yes:
 i. Estimate methane generation in tons/year (metric): _____
 ii. Describe any methane capture, control or elimination measures included in project design (e.g., combustion to generate heat or electricity, flaring): _____

i. Will the proposed action result in the release of air pollutants from open-air operations or processes, such as quarry or landfill operations? Yes No
 If Yes: Describe operations and nature of emissions (e.g., diesel exhaust, rock particulates/dust): _____

j. Will the proposed action result in a substantial increase in traffic above present levels or generate substantial new demand for transportation facilities or services? Yes No
 If Yes:
 i. When is the peak traffic expected (Check all that apply): Morning Evening Weekend
 Randomly between hours of 7 AM to 4 PM.
 ii. For commercial activities only, projected number of semi-trailer truck trips/day: 16
 iii. Parking spaces: Existing 0 Proposed 60 Net increase/decrease 60
 iv. Does the proposed action include any shared use parking? Yes No
 v. If the proposed action includes any modification of existing roads, creation of new roads or change in existing access, describe:
 A public industrial access drive is proposed to extend Ridge Street to the West to serve existing manufacturers (Owl Wire + Worthington Steel) as well as the proposed facility. The net effect is positive for the neighborhood: the new access road eliminates tractor trailer traffic from the residential neighborhood completely; returning Henry street to purely residential and pedestrian traffic.
 vi. Are public/private transportation service(s) or facilities available within 1/2 mile of the proposed site? Yes No
 vii. Will the proposed action include access to public transportation or accommodations for use of hybrid, electric or other alternative fueled vehicles? Yes No
 viii. Will the proposed action include plans for pedestrian or bicycle accommodations for connections to existing pedestrian or bicycle routes? Yes No

k. Will the proposed action (for commercial or industrial projects only) generate new or additional demand for energy? Yes No
 If Yes:
 i. Estimate annual electricity demand during operation of the proposed action: _____
 432,000 kWh
 ii. Anticipated sources/suppliers of electricity for the project (e.g., on-site combustion, on-site renewable, via grid/local utility, or other):
 National Grid, 3-Phase
 iii. Will the proposed action require a new, or an upgrade to, an existing substation? Yes No

l. Hours of operation. Answer all items which apply.
 i. During Construction:
 • Monday - Friday: 7 AM - 4 PM
 • Saturday: _____
 • Sunday: _____
 • Holidays: _____
 ii. During Operations:
 • Monday - Friday: 7 AM - 4 PM
 • Saturday: 7 AM - 11 AM
 • Sunday: _____
 • Holidays: _____

m. Will the proposed action produce noise that will exceed existing ambient noise levels during construction, operation, or both? Yes No

If yes:

i. Provide details including sources, time of day and duration:

During the construction period, there will be trucks, cranes, and heavy equipment to erect the building. During site preparation in July, there will be heavy equipment and specialized machinery used to level the site, compact the soil, and install structural fill.

ii. Will proposed action remove existing natural barriers that could act as a noise barrier or screen? Yes No

Describe: _____

n.. Will the proposed action have outdoor lighting? Yes No

If yes:

i. Describe source(s), location(s), height of fixture(s), direction/aim, and proximity to nearest occupied structures:

Source lighting on the building will downlight/illuminate the structure walls as well as LED lighting along Henry Street in coordination with the City ornamental lighting program. Minimal LED lighting along the rear access drive will not impact residential neighborhood.

ii. Will proposed action remove existing natural barriers that could act as a light barrier or screen? Yes No

Describe: _____

o. Does the proposed action have the potential to produce odors for more than one hour per day? Yes No

If Yes, describe possible sources, potential frequency and duration of odor emissions, and proximity to nearest occupied structures: _____

p. Will the proposed action include any bulk storage of petroleum (combined capacity of over 1,100 gallons) or chemical products 185 gallons in above ground storage or any amount in underground storage? Yes No

If Yes:

i. Product(s) to be stored _____

ii. Volume(s) _____ per unit time _____ (e.g., month, year)

iii. Generally describe proposed storage facilities: _____

q. Will the proposed action (commercial, industrial and recreational projects only) use pesticides (i.e., herbicides, insecticides) during construction or operation? Yes No

If Yes:

i. Describe proposed treatment(s):

ii. Will the proposed action use Integrated Pest Management Practices? Yes No

r. Will the proposed action (commercial or industrial projects only) involve or require the management or disposal of solid waste (excluding hazardous materials)? Yes No

If Yes:

i. Describe any solid waste(s) to be generated during construction or operation of the facility:

- Construction: _____ <1 tons per _____ week (unit of time)
- Operation : _____ <1 tons per _____ month (unit of time)

ii. Describe any proposals for on-site minimization, recycling or reuse of materials to avoid disposal as solid waste:

- Construction: All scrap metal will be recycled from building construction.
- Operation: 90% of the waste is from cardboard boxes/deliveries. 100% of the cardboard and metal is recycled.

iii. Proposed disposal methods/facilities for solid waste generated on-site:

- Construction: approved containers and municipal waste district disposal (OHSWA)
- Operation: approved containers and municipal waste district disposal (OHSWA)

s. Does the proposed action include construction or modification of a solid waste management facility? Yes No

If Yes:

i. Type of management or handling of waste proposed for the site (e.g., recycling or transfer station, composting, landfill, or other disposal activities): _____

ii. Anticipated rate of disposal/processing:

- _____ Tons/month, if transfer or other non-combustion/thermal treatment, or
- _____ Tons/hour, if combustion or thermal treatment

iii. If landfill, anticipated site life: _____ years

t. Will proposed action at the site involve the commercial generation, treatment, storage, or disposal of hazardous waste? Yes No

If Yes:

i. Name(s) of all hazardous wastes or constituents to be generated, handled or managed at facility: _____

ii. Generally describe processes or activities involving hazardous wastes or constituents: _____

iii. Specify amount to be handled or generated _____ tons/month

iv. Describe any proposals for on-site minimization, recycling or reuse of hazardous constituents: _____

v. Will any hazardous wastes be disposed at an existing offsite hazardous waste facility? Yes No

If Yes: provide name and location of facility: _____

If No: describe proposed management of any hazardous wastes which will not be sent to a hazardous waste facility: _____

E. Site and Setting of Proposed Action

E.1. Land uses on and surrounding the project site

a. Existing land uses.

i. Check all uses that occur on, adjoining and near the project site.

Urban Industrial Commercial Residential (suburban) Rural (non-farm)

Forest Agriculture Aquatic Other (specify): _____

ii. If mix of uses, generally describe:

Mix of Uses. See Map for geography. Manufacturing to the East and West. Urban vacant/brownfield to the South. Residential to the Southeast. Commercial and railroad to the North.

b. Land uses and covertypes on the project site.

Land use or Covertype	Current Acreage	Acreage After Project Completion	Change (Acres +/-)
• Roads, buildings, and other paved or impervious surfaces	4	6.5	2.5
• Forested			
• Meadows, grasslands or brushlands (non-agricultural, including abandoned agricultural)			
• Agricultural (includes active orchards, field, greenhouse etc.)			
• Surface water features (lakes, ponds, streams, rivers, etc.)			
• Wetlands (freshwater or tidal)			
• Non-vegetated (bare rock, earth or fill)	5.5	3	2.5
• Other Describe: _____			

c. Is the project site presently used by members of the community for public recreation? Yes No
i. If Yes: explain: _____

d. Are there any facilities serving children, the elderly, people with disabilities (e.g., schools, hospitals, licensed day care centers, or group homes) within 1500 feet of the project site? Yes No
If Yes,
i. Identify Facilities: _____

e. Does the project site contain an existing dam? Yes No
If Yes:
i. Dimensions of the dam and impoundment:
• Dam height: _____ feet
• Dam length: _____ feet
• Surface area: _____ acres
• Volume impounded: _____ gallons OR acre-feet
ii. Dam's existing hazard classification: _____
iii. Provide date and summarize results of last inspection: _____

f. Has the project site ever been used as a municipal, commercial or industrial solid waste management facility, or does the project site adjoin property which is now, or was at one time, used as a solid waste management facility? Yes No
If Yes:
i. Has the facility been formally closed? Yes No
• If yes, cite sources/documentation: _____
ii. Describe the location of the project site relative to the boundaries of the solid waste management facility: _____
iii. Describe any development constraints due to the prior solid waste activities: _____

g. Have hazardous wastes been generated, treated and/or disposed of at the site, or does the project site adjoin property which is now or was at one time used to commercially treat, store and/or dispose of hazardous waste? Yes No
If Yes:
i. Describe waste(s) handled and waste management activities, including approximate time when activities occurred: _____

h. Potential contamination history. Has there been a reported spill at the proposed project site, or have any remedial actions been conducted at or adjacent to the proposed site? Yes No
If Yes:
i. Is any portion of the site listed on the NYSDEC Spills Incidents database or Environmental Site Remediation database? Check all that apply: Yes No
 Yes – Spills Incidents database Provide DEC ID number(s): _____
 Yes – Environmental Site Remediation database Provide DEC ID number(s): E633053 OU2
 Neither database
ii. If site has been subject of RCRA corrective activities, describe control measures: _____
iii. Is the project within 2000 feet of any site in the NYSDEC Environmental Site Remediation database? Yes No
If yes, provide DEC ID number(s): E633053 and E633073
iv. If yes to (i), (ii) or (iii) above, describe current status of site(s):
E633053 has been remediated under the supervision of the NYS DEC through the Environmental Restoration Program. Record of Decision was issued in March 2011 - indicating No Further Action required for Commercial/Industrial redevelopment. E633073 is under DEC-supervised remediation (Complex 4) across Henry Street from the project site.

v. Is the project site subject to an institutional control limiting property uses? Yes No

- If yes, DEC site ID number: E633053 OU2
- Describe the type of institutional control (e.g., deed restriction or easement): Commercial/Industrial deed restriction
- Describe any use limitations: Commercial/Industrial (no residential)
- Describe any engineering controls: 12" clean fill cap
- Will the project affect the institutional or engineering controls in place? Yes No
- Explain: _____

the proposed use is consistent with the institutional controls. Engineering Firm has been retained by RCBRC for the duration of the construction to ensure adherence to the Site Management Plan; and annual certifications thereafter. NYSDEC will place Environmental Easement on OU2 parcels.

E.2. Natural Resources On or Near Project Site

a. What is the average depth to bedrock on the project site? _____ 65 feet

b. Are there bedrock outcroppings on the project site? Yes No
 If Yes, what proportion of the site is comprised of bedrock outcroppings? _____ %

c. Predominant soil type(s) present on project site:

unclassified urban fill/rubble	_____	50 %
sand	_____	30 %
silt/silt loam	_____	20 %

d. What is the average depth to the water table on the project site? Average: _____ 9.5 feet

e. Drainage status of project site soils: Well Drained: _____ % of site
 Moderately Well Drained: 100 % of site
 Poorly Drained: _____ % of site

f. Approximate proportion of proposed action site with slopes: 0-10%: 100 % of site
 10-15%: _____ % of site
 15% or greater: _____ % of site

g. Are there any unique geologic features on the project site? Yes No
 If Yes, describe: _____

h. Surface water features.

i. Does any portion of the project site contain wetlands or other waterbodies (including streams, rivers, ponds or lakes)? Yes No

ii. Do any wetlands or other waterbodies adjoin the project site? Yes No
 If Yes to either *i* or *ii*, continue. If No, skip to E.2.i.

iii. Are any of the wetlands or waterbodies within or adjoining the project site regulated by any federal, state or local agency? Yes No

iv. For each identified regulated wetland and waterbody on the project site, provide the following information:

- Streams: Name _____ Classification _____
- Lakes or Ponds: Name _____ Classification _____
- Wetlands: Name _____ Approximate Size _____
- Wetland No. (if regulated by DEC) _____

v. Are any of the above water bodies listed in the most recent compilation of NYS water quality-impaired waterbodies? Yes No
 If yes, name of impaired water body/bodies and basis for listing as impaired: _____

i. Is the project site in a designated Floodway? Yes No

j. Is the project site in the 100 year Floodplain? Yes No

k. Is the project site in the 500 year Floodplain? Yes No

l. Is the project site located over, or immediately adjoining, a primary, principal or sole source aquifer? Yes No
 If Yes:
 i. Name of aquifer: _____

<p>m. Identify the predominant wildlife species that occupy or use the project site: _____</p> <p>squirrels _____ robins _____</p> <p>squirrels _____ robins _____</p> <p>squirrels _____ robins _____</p>	
<p>n. Does the project site contain a designated significant natural community? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes:</p> <p>i. Describe the habitat/community (composition, function, and basis for designation): _____</p> <p>ii. Source(s) of description or evaluation: _____</p> <p>iii. Extent of community/habitat:</p> <ul style="list-style-type: none"> • Currently: _____ acres • Following completion of project as proposed: _____ acres • Gain or loss (indicate + or -): _____ acres 	
<p>o. Does project site contain any species of plant or animal that is listed by the federal government or NYS as endangered or threatened, or does it contain any areas identified as habitat for an endangered or threatened species? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>p. Does the project site contain any species of plant or animal that is listed by NYS as rare, or as a species of special concern? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>q. Is the project site or adjoining area currently used for hunting, trapping, fishing or shell fishing? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If yes, give a brief description of how the proposed action may affect that use: _____</p> <p>_____</p>	
<p>E.3. Designated Public Resources On or Near Project Site</p>	
<p>a. Is the project site, or any portion of it, located in a designated agricultural district certified pursuant to Agriculture and Markets Law, Article 25-AA, Section 303 and 304? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes, provide county plus district name/number: _____</p>	
<p>b. Are agricultural lands consisting of highly productive soils present? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>i. If Yes: acreage(s) on project site? _____</p> <p>ii. Source(s) of soil rating(s): _____</p>	
<p>c. Does the project site contain all or part of, or is it substantially contiguous to, a registered National Natural Landmark? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes:</p> <p>i. Nature of the natural landmark: <input type="checkbox"/> Biological Community <input type="checkbox"/> Geological Feature</p> <p>ii. Provide brief description of landmark, including values behind designation and approximate size/extent: _____</p> <p>_____</p>	
<p>d. Is the project site located in or does it adjoin a state listed Critical Environmental Area? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If Yes:</p> <p>i. CEA name: _____</p> <p>ii. Basis for designation: _____</p> <p>iii. Designating agency and date: _____</p>	

e. Does the project site contain, or is it substantially contiguous to, a building, archaeological site, or district which is listed on, or has been nominated by the NYS Board of Historic Preservation for inclusion on, the State or National Register of Historic Places?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If Yes:	
<i>i.</i> Nature of historic/archaeological resource: <input type="checkbox"/> Archaeological Site <input type="checkbox"/> Historic Building or District	
<i>ii.</i> Name: _____	
<i>iii.</i> Brief description of attributes on which listing is based: _____	
f. Is the project site, or any portion of it, located in or adjacent to an area designated as sensitive for archaeological sites on the NY State Historic Preservation Office (SHPO) archaeological site inventory?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
g. Have additional archaeological or historic site(s) or resources been identified on the project site?	
If Yes:	
<i>i.</i> Describe possible resource(s): _____	
<i>ii.</i> Basis for identification: _____	
h. Is the project site within five miles of any officially designated and publicly accessible federal, state, or local scenic or aesthetic resource?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If Yes:	
<i>i.</i> Identify resource: <u>Fort Stanwix National Monument and NYS Barge Canal</u>	
<i>ii.</i> Nature of, or basis for, designation (e.g., established highway overlook, state or local park, state historic trail or scenic byway, etc.): <u>National Heritage Corridor, National Monument designations by US Department of Interior</u>	
<i>iii.</i> Distance between project and resource: _____ 1 miles.	
i. Is the project site located within a designated river corridor under the Wild, Scenic and Recreational Rivers Program 6 NYCRR 666?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If Yes:	
<i>i.</i> Identify the name of the river and its designation: _____	
<i>ii.</i> Is the activity consistent with development restrictions contained in 6NYCRR Part 666?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	

F. Additional Information

Attach any additional information which may be needed to clarify your project.

If you have identified any adverse impacts which could be associated with your proposal, please describe those impacts plus any measures which you propose to avoid or minimize them.

G. Verification

I certify that the information provided is true to the best of my knowledge.

Applicant/Sponsor Name Craig Wanner Date May 11, 2018

Signature  Title President, The Whalen Company