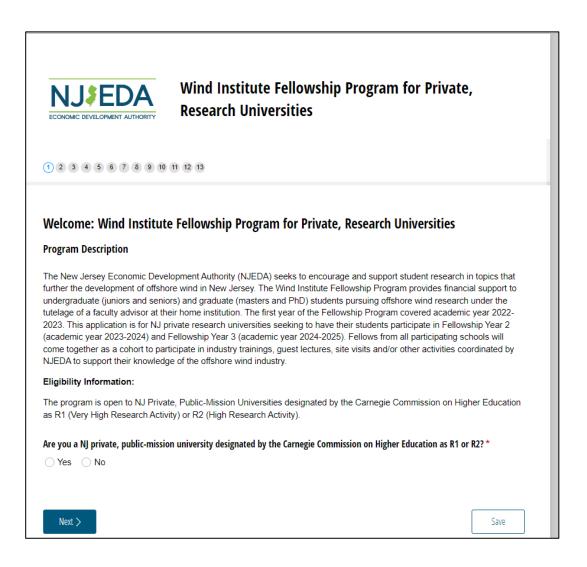


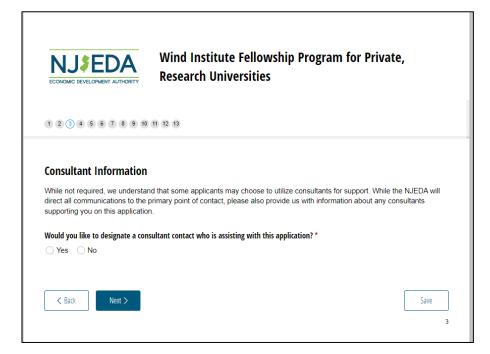
Application Template

(note: the final application will be available on February 24th, 2023 and may differ from the template provided here)

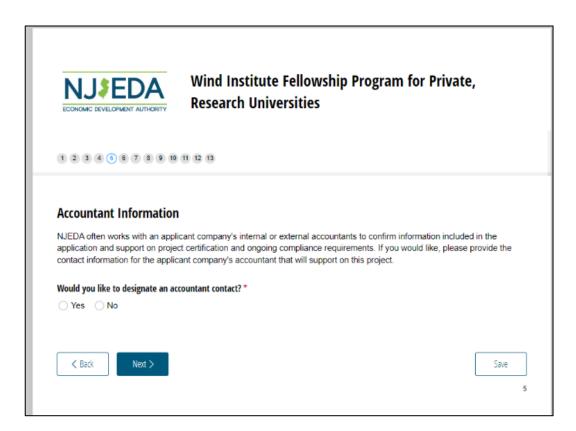


| NJEEDA ECONOMIC DEVELOPMENT AUTHORITY Wind Institute Fellowship Program for Private, Research Universities | |
|----------------------------------------------------------------------------------------------------------------------------|--|
| 1 2 3 4 5 6 7 8 9 10 11 12 13 | |
| Primary Point of Contact Salutation | |
| First Name * | |
| Middle Initial | |
| Last Name * | |
| Suffix | |
| Title * | |

| Confirm Email Address | * | | | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|---------------|-------------------------|----------------------|-------------|------------------------|
| Phone Number | | | | | | |
| Is the primary point of | contact legally aut | norized to su | ıbmit this application | on behalf of the app | licant com | npany? * |
| | | | | | | |
| | | | | | | |
| Is the primary point of | | | icer/equivalent officer | for North America o | perations, | , or equivalent highes |
| Is the primary point of | | | icer/equivalent officer | for North America o | operations, | , or equivalent highes |
| Is the primary point of ranking executive for th Yes No | he applicant compa | ny? * | | | operations, | , or equivalent highes |
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| ECONOMIC DEVELOPMENT AUTHORITY | Wind Institute Fellowship Program for Private, Research Universities |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 2 3 4 5 6 7 8 9 10 | 11 12 13 |
| Legal Counsel | |
| • | |
| Applicants will have limited oppo | rm contractual documents, such as an approval letter and a commitment agreement. rtunity to request non-standard modifications of the agreements. If you would like, please or the applicant company's legal counsel that will support on this project. This contact may be sl. |
| Applicants will have limited oppo provide the contact information for | rtunity to request non-standard modifications of the agreements. If you would like, please or the applicant company's legal counsel that will support on this project. This contact may be al. |
| Applicants will have limited oppo provide the contact information for either internal or external counse | rtunity to request non-standard modifications of the agreements. If you would like, please or the applicant company's legal counsel that will support on this project. This contact may be al. |
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| Applicants will have limited oppo provide the contact information fr either internal or external counse Would you like to designate a lega | rtunity to request non-standard modifications of the agreements. If you would like, please or the applicant company's legal counsel that will support on this project. This contact may be al. |





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Applicant Organization

In this section, we are collecting information about the organization that is applying for assistance. We are focused on the primary applicant only. We may collect information on affiliates, parent companies, holding companies, or other related entities in the following sections of the application.

Applicant Organization Name *

The full name of your registered legal entity. This name should match the name on your formation documents. If you are not sure of your legal entity name, please visit: <u>https://www.niportal.com/DOR/BusinessNameSearch/Search/BusinessName</u>

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Applicant Doing Business As (DBA)

Entity Type *

Date Established *

Is the applicant, or any person who controls the applicant or owns or controls more than 1% of stock of the applicant, an officer or employee of any agency, authority or other instrumentality of the State of New Jersey? *

○ Yes ○ No ○ NA - Applicant Organization is Government Entity

| Address Line 1 | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| Address Line 2 | | |
| City | State | ✓ Zip Code |
| Applicant Country of Incorporation | n/Formation * | |
| Country | | ~ |
| Formation Document(s) | | |
| · · · · · | it entity's name – must provide company forma n, Articles of Organization, Certificate of Incorp rrietors) | |
| Sole Proprietor: Provide | a Certificate of Trade Name (filed with the Cou | unty Clerk) |
| LLC: Certificate of Forma | tion | |
| Corporation: Certificate | of Incorporation and Bylaws | |
| Corporation. <u>Continuate i</u> | st moorportation and bytatto | |
| | of Incorporation and Bylaws | |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit | | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit | of Incorporation and Bylaws y was formed out of state but operates within t | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit Authority when registering Upload or drag files here. | of Incorporation and Bylaws y was formed out of state but operates within t g the business in NJ and provide that certificate | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit Authority when registering | of Incorporation and Bylaws y was formed out of state but operates within t g the business in NJ and provide that certificate | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit Authority when registering Upload or drag files here. Applicant Federal Employer Identi | of Incorporation and Bylaws y was formed out of state but operates within t g the business in NJ and provide that certificate | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit Authority when registering Upload or drag files here. Applicant Federal Employer Identi | of Incorporation and Bylaws. y was formed out of state but operates within t the business in NJ and provide that certificate fication Number (FEIN) * | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit Authority when registering Upload or drag files here. Applicant Federal Employer Identi | of Incorporation and Bylaws. y was formed out of state but operates within t the business in NJ and provide that certificate fication Number (FEIN) * | - |
| Not-for-Profit: <u>Certificate</u> Out of State: If your entit Authority when registering Upload or drag files here. Applicant Federal Employer Identif #################################### | of Incorporation and Bylaws. y was formed out of state but operates within t the business in NJ and provide that certificate fication Number (FEIN) * | - |



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Cannabis Questionnaire

Has the applicant applied for or been issued a license, including a conditional license, from the New Jersey Cannabis Regulatory Commission (NJ-CRC) to operate as a cannabis cultivator, cannabis manufacturer, cannabis wholesaler, cannabis distributor, cannabis retailer, or cannabis delivery service; or does the applicant employ or intend to employ, or is the applicant itself, a certified personal use cannabis handler to perform work for or on behalf of a cannabis establishment, distributor, or delivery service? *

🔾 Yes 🔷 No

If the applicant is a property owner, developer, or operator of a project: is the property being used or intended for use, in whole or in part, (1) by or to benefit a cannabis cultivator, cannabis manufacturer, cannabis wholesaler, cannabis distributor, cannabis retailer, or cannabis delivery service, (2) to employ a certified personal use cannabis handler to perform work for or on behalf of a cannabis establishment, distributor, or delivery service, (3) by a person or entity that has applied or intends to apply to the New Jersey Cannabis Regulatory Commission (NJ-CRC) for a license to operate as a cannabis cultivator, cannabis manufacturer, cannabis wholesaler, cannabis distributor, cannabis retailer, or cannabis delivery service or has applied for certification to be, or intends to employ, a certified personal use cannabis handler to perform work for or on behalf of a cannabis establishment, distributor, or delivery service? *

🔾 Yes 🛛 No



Save

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Activity Agreement

If test is selected, test agrees to all of the following activities:

A. Within 30 days of signing a grant agreement with NJEDA test agrees to submit a fellowship marketing and selection plan to NJEDA that outlines the process to:

- communicate the fellowship opportunity widely to the university's student population, including the requirements
 for the fellows to attend monthly meetings, present at the final fellowship symposium, and complete research by
 the due date set by the university.
- · conduct a selection process that facilitates a diverse set of students participating in the program.
- · connect selected fellows with advisors
- · distribute funds to fellows and advisors per the university's internal policies and procedures
- B. Conduct an application and selection process with established selection criteria.

C. Submit the names of the selected students, advisors, project descriptions, and signed participation forms to NJEDA within fifteen (15) days of completing the selection process and no later than September 1, 2023 for Fellowship Year 2 and September 1, 2024 for Fellowship Year 3.

D. Begin the Fellowship Program no later than the Fall 2023 semester and conclude the program no later than the Summer 2024 semester for Fellowship Year 2, and begin no later than the Fall 2024 semester and conclude no later than the Summer 2025 semester for Fellowship Year 3. Each Fellowship should be in place for a minimum of 25 weeks and a maximum of 40 weeks.

E. Assign a university representative to support NJEDA staff on communications with the Fellows and advisors throughout the Fellowship Program.

F. Disburse and track program expenditures including payments to fellows and honorariums to advisors per the university's internal policies and procedures

G. Submit a report detailing the use of funds throughout the Fellowship Program no later than September 1, 2024 for Fellowship Year 2 and no later than September 1, 2025 for Fellowship Year 3

H. Return any funds not utilized for the program to EDA by September 30, 2024 for Fellowship Year 2 and September 30, 2025 for Fellowship Year 2. With EDA's written approval, each university may roll over any unutilized Fellowship Year 2 funding to be used for Fellowship Year 3.

Does test agree to these terms? *

🔾 Yes 🔷 No

Diversity, Equity, & Inclusion

In this section, we would like more information about the diversity of your organization. Answers have no impact on eligibility for assistance and providing information is optional, to be used for tracking purposes only. Within each of these questions, "Prefer not to answer" can be selected if that is the case OR if the question is not applicable to your organization.

With which of the following does the majority owner of the applicant organization self-identify (if applicable)?*

- Minority
- Veteran
- LGBTQ
- Disabled
- None of the above
- Prefer not to answer

Please select which of the following State of New Jersey certifications the applicant organization currently holds: *

- Small Business Enterprise (SBE)
- Disadvantaged Business Enterprise (DBE)
- Minority-Owned Business Enterprise (MBE)
- Woman-Owned Business Enterprise (WBE)
- Veteran-Owned Business Enterprise (VOB)
- Disabled Veteran-Owned Business Enterprise (DVOB)
- None of the above
- Prefer not to answer

Additional DE&I Information

In this section, we would like more information about any actions your organization has taken or is taking with respect to Diversity, Equity, and Inclusion

Please describe whether your organization's leadership team is made up of a diverse group of individuals. Please provide as much detail as possible about the composition of your leadership team as it relates to groups that have been historically

| | 1. |
|----------------------------------------------------------------------------------------------------------------------------|--------------------------------------|
| Question is not applicable | |
| ◯ Prefer not to answer | |
| n this section, we would like more information about any actions your organization ha iversity, Equity, and Inclusion * | s taken of is taking with respect to |
| Question is not applicable | |
| Prefer not to answer | |
| | |
| Please upload any documentation detailing diversity initiatives, if available. | |
| Please upload any documentation detailing diversity initiatives, if available. | |
| Please upload any documentation detailing diversity initiatives, if available. | |
| Upload or drag files here. | |

| | U | p | loac | 10 | er | tif | Ì | ca | ti | İ0 | ns |
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| The New Jersey Economic Development Authori | ty requires that the following information be completed and signed by one of |
|---------------------------------------------|------------------------------------------------------------------------------|
| the following: | |

- for a corporation, by a principal executive officer at least the level of vice president;
- for a partnership, by a general partner;
- for a sole proprietorship, by the proprietor;
- for a governmental entity, by the contact person (business administrator, manager, mayor, etc.);
- for other than above, by the person with legal responsibility for the application.

Because you have identified that you are not one of the individuals listed above, it is required that you download each of the three forms listed below and have someone who meets this definition for the applicant company fill out and sign each of the forms. Once the forms have been completed and signed, please attach them at the end of this application, along with any other necessary application attachments.

Your application for assistance will not be reviewed until the NJEDA has each of the signed forms from someone who is legally authorized to make these representations on behalf of the applicant company.

Legal Questionnaire

Certification of Non-Involvement in Prohibited Activities in Russia or Belarus Pursuant to P.L. 2022, C. 3

Application Confirmations

Legal Questionnaire *

Upload or drag files here.

Certification of Non-Involvement in Prohibited Activities in Russia or Belarus Pursuant to P.L. 2022, C. 3 *

Upload or drag files here.

Application Confirmations *

Upload or drag files here.



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Fee Acknowledgment

I acknowledge that there is a \$1,000 non-refundable application fee payable to NJEDA prior to this application being deemed complete.

| Please | select a | payment | method: * |
|--------|----------|---------|-----------|
| | | | |

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| < Back Next > | Save |
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| NJ EDA | Research Univer | ellowship Program f sities | · |
|-------------------------------|-----------------|-------------------------------|-----------|
| 1 2 3 4 5 6 7 8 9 10 | 11 12 (13) 14 | | |
| Electronic Signature | | | |
| I agree to be bound by electr | onic signatures | | |
| Full Name * | | | |
| | | | |
| Title * | | | |
| | | | |
| | | | |
| Signature * | | Date * | |
| Signature * | | Date * 2/17/2023 | Ë |
| Signature * | | | <u>ea</u> |
| | | | e |
| Signature * | | | e |



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Application Submission

Thank you for your interest in the Wind Institute Fellowship Program for Private, Research Universities. Your application is now complete.

If you are ready to submit this application to the NJEDA for review, please click the Submit button.

If you would like to make any changes to the application at this point, please click the Back button.

If there is any additional supporting documentation that you would like to provide, please use the upload button below.

| Upload or drag files here. | | |
|----------------------------|---|---------|
| Full Name * | | |
| Title * | | |
| Date * 2/17/2023 | Ħ | |
| Submit | | Save 14 |

Application Confirmations

Applicant Organization:

This certification shall be signed as follows: for a corporation, by a principal executive officer at least the level of vice president; for a partnership, by a general partner; for a sole proprietorship, by the proprietor; for a governmental entity, by the contact person (business administrator, manager, mayor, etc.); for other than above, by the person with legal responsibility for the application.

A signed and dated certification is a requirement for application.

I, THE UNDERSIGNED, CERTIFY AS FOLLOWS:

- 1. I affirm, represent, and warrant that the information contained in this application and in all associated attachments submitted herewith is to the best of my knowledge true and complete and that the funding applied for herein is not for personal, family, or household purposes.
- 2. I understand that if such information is willfully false, I am subject to criminal prosecution under N.J.S.A. 2C:28-2 and civil action by the NJEDA which may at its option terminate its financial assistance.
- 3. I authorize the New Jersey Department of Law and Public Safety to verify any answer(s) contained herein through a search of its records, or records to which it has access, and to release the results of said research to the NJEDA.
- 4. I authorize the NJEDA to provide information submitted to it by or on behalf of the applicant to any bank or State agency which might participate in the requested financing with the NJEDA.
- 5. I certify my understanding that an electronic signature of this Application and any Approval Letter or Agreement shall be a binding on the parties.
- 6. I certify that the applicant organization is not in default with any other program administered by the State of New Jersey.

I certify, under the penalty of perjury, that the information contained in this application is true, correct and accurate.

(Signature)

(Title)

(Name, please print)

(Date)





CERTIFICATION OF NON-INVOLVEMENT IN PROHIBITED ACTIVITIES IN RUSSIA OR BELARUS

Program Name:

| Applicant Name: | Ap | plica | nt N | lame: |
|-----------------|----|-------|------|-------|
|-----------------|----|-------|------|-------|

DBA:

Pursuant to N.J.S.A. 52:32-60.1, et seq. (P.L. 2022, c.3) any person or entity (hereinafter 'Applicant') that seeks to be approved for or continue to receive an economic development subsidy from the New Jersey Economic Development Authority must complete the certification below indicating whether or not the Applicant is engaged in prohibited activities in Russia or Belarus. If the New Jersey Economic Development Authority finds that an Applicant has made a certification in violation of the law, it shall take any action as may be appropriate and provided by law, rule or contract, including but not limited to, imposing sanctions, seeking compliance, recovering damages, declaring the party in default and seeking debarment or suspension of the party.

Certification

I, the undersigned, have read and reviewed the Department of the Treasury's List: (<u>https://www.nj.gov/treasury/administration/pdf/RussiaBelarusEntityList.pdf</u>) of entities engaged in prohibited activities in Russia or Belarus, and having done so certify (must check one appropriate box and complete the Authorized Signature section below):

- **A.** That the Applicant is not identified on the Department of the Treasury's list of entities engaged in prohibited activities in Russia or Belarus **and** is not engaged in prohibited activities in Russia or Belarus. **OR**
- **B.** That I am unable to certify as to "A" above because the Applicant is identified on the Department of the Treasury's list of entities engaged in prohibited activities in Russia and/or Belarus. **OR**
- **C.** That I am unable to certify as to "A" above because the Applicant, though not identified on the Department of the Treasury's list of entities engaged in prohibited activities in Russia or Belarus, is engaged in prohibited activities in Russia or Belarus. A detailed, accurate and precise description of the Applicant's activity in Russia and/or Belarus is set forth below.

Description of Prohibited Activity- include duration of engagement & anticipated cessation date (Attach Additional Sheets If Necessary.)

If applicable, provide Additional Certification of Federal License

I, the undersigned, certify that Applicant is currently engaged in activity in Russia and/or Belarus, but is doing so consistent with federal law and/or regulation and/or license. Provide a detailed description of how the Applicant's activity in Russia and/or Belarus is consistent with federal law, or is within the requirements of the federal license. (*Attach Additional Sheets If Necessary.*)

Authorized Signature

Date

Applicant FEIN or Taxpayer ID

I understand that if the above statements are willfully false, I shall be subject to penalty.

Signature of Applicant Authorized Representative

Print Name & Title of Applicant Authorized Representative

Definitions

"Economic development subsidy" means the provision of an amount of funds to a recipient with a value of greater than \$25,000 for the purpose of stimulating economic development in New Jersey, including, but not limited to, any investment, bond, grant, loan, loan guarantee, matching fund, tax credit, or other tax expenditure.

"Engaged in prohibited activities in Russia or Belarus" means: (1) companies in which the Government of Russia or Belarus has any direct equity share; (2) having any business operations commencing after the effective date of this act that involve contracts with or the provision of goods or services to the Government of Russia or Belarus; (3) being headquartered in Russia or having its principal place of business in Russia or Belarus, or (4) supporting, assisting or facilitating the Government of Russia or Belarus in their campaigns to invade the sovereign country of Ukraine, either through in-kind support or for profit.

NEW JERSEY ECONOMIC DEVELOPMENT AUTHORITY LEGAL QUESTIONNAIRE

Applicant Name:

Persons (entities or individuals) applying for NJEDA programs are subject to the Authority's Disqualification/Debarment Regulations (the "Regulations"), which are set forth in <u>N.J.A.C.</u> 19:30-2.1, *et seq.* Applicants are required to answer the following background questions ("Legal Questionnaire") pertaining to causes that may lead to debarment, disqualification, or suspension from eligibility under the Regulations and Executive Orders 34 (Byrne 1976) and 189 (Kean 1988) after consideration of all relevant mitigating factors. Governmental entities are not required to submit this Legal Questionnaire and may leave it empty.

<u>Note that this form has recently been modified.</u> <u>Please review in its entirety prior to providing any responses or certifications.</u>

DEFINITIONS

Notwithstanding any terms defined elsewhere or otherwise herein, the following definitions shall govern in responding to this Legal Questionnaire:

"Affiliates" means any entities or persons having an overt or covert relationship such that any one of them directly or indirectly controls or has the power to control another. For the purposes of application for, or ongoing compliance with, Authority-administered programs, this includes:

- any entities or persons having an ownership interest in Applicant of 10% or greater;
- any entities in which Applicant holds an ownership interest of 10% or greater; and
- any entities that are named in the application and/or agreement, or that will receive a direct benefit from the financing, incentive, or other agreement with the Authority.

Note that any entities or persons fitting these definitions will need to be listed in Part C below.

"Legal Proceedings" means any civil, criminal, or administrative proceedings in a State or Federal court or administrative tribunal in the United States or any territories thereof.

RELEVANT TIMEFRAMES

Responses should be given based on the following "look-back" periods:

- For civil matters, those that were either pending or concluded within 5 years of the reporting date;
- For criminal matters, those that were either pending or concluded within 10 years of the reporting date;
- For environmental regulatory matters, those that were either pending or concluded within 10 years of the reporting date; and
- For all other regulatory matters, those that were either pending or concluded within 5 years of the reporting date.

Note that in cases where Applicant has previously submitted and certified a legal questionnaire to the Authority, the Applicant may refer to its prior legal questionnaire and report only those matters that are new or have changed in status since the date of last reporting.

Part A. Past Proceedings

Has Applicant, or any officers or directors of Applicant, or any Affiliates of Applicant, been found or conceded or admitted to being guilty, liable or responsible in any Legal Proceeding, or conceded or admitted to facts in any Legal Proceedings that demonstrate responsibility for any of the following violations or conduct? (Any civil or criminal decisions or verdicts that have been vacated or expunged need not be reported.)

1. Commission of a criminal offense as an incident to obtaining or attempting to obtain a public or private contract, or subcontract there under, or in the performance of such contract or subcontract.

____ Yes ____ No

2. Violation of the Federal Organized Crime Control Act of 1970, or commission of embezzlement, theft, fraud, forgery, bribery, falsification or destruction of records, perjury, false swearing, receiving stolen property, obstruction of justice, or any other offense indicating a lack of business integrity or honesty.

____ Yes ____ No

3. Violation of the Federal or State antitrust statutes, or of the Federal Anti-Kickback Act (18 U.S.C. 874).

____ Yes ____ No

4. Violation of any law governing the conduct of elections of the Federal Government, State of New Jersey or of its political subdivision.

____ Yes ____ No

5. Violation of the "Law Against Discrimination" (P.L. 1945, c169, <u>N.J.S.A.</u> 10:5-1 <u>et seq</u>., as supplemented by P.L. 1975, c127), or of the act banning discrimination in public works employment (<u>N.J.S.A.</u> 10:2-1 <u>et seq</u>.) or of the act prohibiting discrimination by industries engaged in defense work in the employment of persons therein (P.L. 1942, c114, <u>N.J.S.A.</u> 10:1-10, <u>et seq</u>.).

____Yes ____No

6. To the best of your knowledge, after reasonable inquiry, violation of any laws governing hours of labor, minimum wage standards, prevailing wage standards, discrimination in wages, or child labor.

____ Yes ____ No

7. To the best of your knowledge, after reasonable inquiry, violation of any law governing the conduct of occupations or professions of regulated industries.

____ Yes ____ No

8. Debarment by any department, agency, or instrumentality of the State or Federal government.

____ Yes ____ No

- 9. Violation of the Conflict of Interest Law, <u>N.J.S.A.</u> 52:13D-12 *et seq.*, including any of the following prohibitions on vendor activities representing a conflict of interest, or failure to report a solicitation as set forth below:
 - (i) No person shall pay, offer or agree to pay, either directly or indirectly, any fee, commission, compensation, gift, gratuity, or other thing of value of any kind to any Authority officer or employee or special Authority officer or employee, as defined by <u>N.J.S.A.</u> 52:13D-13(b) and (e), with which such person transacts or offers or proposes to transact business, or to any member of the immediate family as defined by <u>N.J.S.A.</u> 52:13D-13(i), of any such officer or employee, or partnership, firm, or corporation with which they are employed or associated, or in which such officer or employee has an interest within the meaning of N.J.S.A. 52:13D-13(g).
 - (ii) The solicitation of any fee, commission, compensation, gift, gratuity or other thing of value by any Authority officer or employee or special Authority officer or employee from any person shall be reported in writing by the person to the Attorney General and the NJEDA Ethics Liaison Officer.
 - No person may, directly or indirectly, undertake any private business, (iii) commercial or entrepreneurial relationship with, whether or not pursuant to employment, contract or other agreement, express or implied, or sell any interest in such person to, any Authority officer or employee or special Authority officer or employee having any duties or responsibilities in connection with the purchase, acquisition or sale of any property or services by or to the Authority, or with any person, firm or entity with which he or she is employed or associated or in which he or she has an interest within the meaning of N.J.S.A. 52:13D-13(g). Any relationships subject to this subsection shall be reported in writing to the NJEDA Ethics Liaison Officer and the State Ethics Commission, which may grant a waiver of this restriction upon application of the Authority officer or employee or special Authority officer or employee upon a finding that the present or proposed relationship does not present the potential, actually or appearance of a conflict of interest.

- (iv) No person shall influence, or attempt to influence or cause to be influenced, any Authority officer or employee or special Authority officer or employee in his or her capacity in any manner which might tend to impair the objectivity or independence of judgment of the officer or employee.
- (v) No person shall cause or influence, or attempt to cause or influence, any Authority officer or employee or special Authority officer or employee to use, or attempt to use, his or her official position to secure unwarranted privileges or advantages for the person or any other person.

____ Yes ____ No

(If Yes for any of the above, specify subsection)

- 10. Violation of any State or Federal law that may bear upon a lack of responsibility or moral integrity, or that may provide other compelling reasons for disqualification. Your responses to the foregoing question should include, but not be limited to, the violation of the following laws, without regard to whether there was any monetary award, damages, verdict, assessment or penalty, except that any violation of any environmental law in category (v) below need not be reported where the monetary award, damages, etc. amounted to less than \$1 million.
 - (i) Laws banning or prohibiting discrimination or harassment in the workplace.
 - (ii) Laws prohibiting or banning any form of forced, slave, or compulsory labor.
 - (iii) The New Jersey Conscientious Employee Protection Act, N. J. Stat. Ann. § 34:19-1 *et seq.*, or other "Whistleblower Laws" that protect employees from retaliation for disclosing, or threatening to disclose, to a supervisor or to a public body an activity, policy or practice of the employer, that the employee reasonably believes is in violation of a law, or a rule or regulation issued under the law.
 - (iv) Securities or tax laws resulting in a finding of fraud or fraudulent conduct.
 - (v) Environmental laws, where the monetary award, penalties, damages, etc. amounted to more than \$1 million.
 - (vii) Laws banning anti-competitive dumping of goods.
 - (viii) Anti-terrorist laws.

- (ix) Criminal laws involving commission of any felony or indictable offense under State or Federal law.
- (x) Laws banning human rights abuses.
- (xi) Laws banning the trade of goods or services to enemies of the United States.

____ Yes ____ No

Part B. Pending Proceedings

11. To the best of your knowledge, after reasonable inquiry, are Applicant, or any officers or directors of Applicant, or any Affiliates, a party to <u>pending</u> Legal Proceedings wherein any of the offenses or violations described in questions 1-10 above are alleged or asserted against such entity or person? With respect to laws banning or prohibiting discrimination or harassment in the workplace, please provide only information pertaining to any class action lawsuits.

____ Yes ____ No

If the answer to any of the foregoing questions is affirmative, you must provide the following information as an attachment to the application: (i) the case name and court/administrative agency (including jurisdiction and venue) in which such matters were tried or are pending; (ii) the charges or claims adjudicated or alleged; and (iii) a brief explanation of the circumstances giving rise to such matters. Also, for affirmative answers to question 1-10, please attach copies of document(s) reflecting the final resolution (e.g., final judgments, verdicts, plea bargains, consent orders, administrative findings, or settlement agreements).

Note that an Applicant may refer to or attach specific provisions of a 10-K/Q or other filings with the U.S. Securities and Exchange Commission (SEC); however, the Applicant should be aware that different laws apply to disclosures to the Authority. This means that the Authority does not have the same types of materiality thresholds as the SEC. The Applicant is expected to supplement its SEC filings to ensure that all relevant matters are disclosed to the Authority, including any matters that were below the SEC's materiality threshold and any matters that may have occurred after its most recent filing.

Please Note: Eligibility is determined based on the information presented in the completed Application. If, at any time while engaged with the Authority the Applicant should become aware of any facts that materially alter or change its answers, or that render any of them incomplete or inaccurate, the Applicant has a duty to promptly report such facts to the Authority in writing. The Authority reserves the right to require additional clarifying or explanatory information from the Applicant regarding the answers given, to ask additional questions not contained in this Legal Questionnaire, and to perform its own due diligence investigations and searches.

Part C. Applicable Affiliates

Please provide a list of all entities or persons considered to be "Affiliates" of Applicant based upon the above definitions.

| Name of Affiliate (Entity or Person) | Federal Employer Identification Number (EIN) (if applicable) |
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CERTIFICATION OF LEGAL QUESTIONNAIRE AND AUTHORIZATION TO RELEASE INFORMATION

This certification shall be signed as follows:

- for a corporation, by a principal executive officer at least the level of vice president;
- for a partnership, by a general partner;
- *for a sole proprietorship, by the proprietor;*
- for a governmental entity, by the contact person (business administrator, manager, mayor, etc.);
- for other than above, by the person with legal responsibility for the application.

I hereby represent and certify that I have reviewed the information contained in this Legal Questionnaire, and that the foregoing information is true and complete under penalty of perjury. I am aware that if any of the foregoing statements made by me are willfully false, I am subject to punishment. I further agree to inform the New Jersey Economic Development Authority of any changes in the foregoing information which may occur prior to execution of any agreement with the Authority, and so long as any such agreement is in effect. Failure to disclose relevant matters may render the Applicant ineligible for the financial benefits sought and may subject the Applicant to disqualification, debarment, suspension, or referral to the office of the state's Attorney General.

The undersigned, on behalf of the Applicant, understands and acknowledges that information and documents provided to the New Jersey Economic Development Authority: (1) are subject to public disclosure during deliberations of the Authority at public meetings regarding the application and as set forth in the minutes of the Authority's public meetings; and (2) are subject to public disclosure under certain laws, including, but not limited to, the Open Public Records Act, N.J.S.A. 47A:1-1 *et seq.*, and the common law right-to-know.

Signature

Date

Printed Name/Title

Applicant Name

Date

***Note: by providing electronic signature, you ratify your prior confirmation (email) that you accept and are bound by an electronic signature on this Questionnaire.