



## NEW JERSEY ECONOMIC DEVELOPMENT AUTHORITY

### COMPLIANCE CHECKLIST

*This checklist was created as a guide to assist Tenants/Landlords/Purchasers/Sellers/Licensees/Licensors on the various Compliance documents required to be submitted before entering into any agreement with NJEDA.*

**UNLESS OTHERWISE NOTED, FORMS CAN BE DOWNLOADED FROM THE AUTHORITY'S WEBSITE AT:**  
<https://www.njeda.gov/bidding/#forms>

#### FORMS, REGISTRATIONS & CERTIFICATIONS REQUIRED (All Forms Must Be Physically Signed and Completed, if requested)

1	<b>DESCRIPTION OF COMPLIANCE ITEMS</b> Attached	
2	<b>OWNERSHIP DISCLOSURE FORM</b> Attached	
3	<b>DISCLOSURE OF INVESTMENT ACTIVITIES IN IRAN</b>	
4	<b>NEW JERSEY BUSINESS REGISTRATION CERTIFICATE (BRC)</b>	
5	<b>NJEDA LEGAL QUESTIONNAIRE</b> Attached	
6	<b>TWO-YEAR CHAPTER 51/EXECUTIVE ORDER 333 VENDOR CERTIFICATION AND DISCLOSURE OF POLITICAL CONTRIBUTIONS and CHAPTER 51/EXECUTIVE ORDER 117 Q&amp;A</b>	
7	<b>VENDOR CERTIFICATION AND POLITICAL CONTRIBUTION DISCLOSURE FORM PUBLIC LAW 2005, CHAPTER 271 (not to be confused with Chapter 51 form listed above)</b>	
8	<b>TAX CLEARANCE CERTIFICATE ISSUED BY STATE OF NEW JERSEY, DIVISION OF TAXATION</b> Via link: <a href="https://www16.state.nj.us/NJ_PREMIER_EBIZ/jsp/home.jsp">https://www16.state.nj.us/NJ_PREMIER_EBIZ/jsp/home.jsp</a>	
9	<b>CERTIFICATION OF NON-INVOLVEMENT IN PROHIBITED ACTIVITIES IN RUSSIA OR BELARUS</b>	

## **LEASE/ACQUISITION/SALE COMPLIANCE:**

This Attachment describes the compliance requirements and includes exhibits containing several forms, instructions and samples. Please note that the terms "Bidder", "Proposer", "Contractor", "Applicant" and "Vendor" are synonymous with "Tenant", "Landlord", "Purchaser", "Buyer" and "Seller".

### **A. BUSINESS REGISTRATION:**

NJEDA requires parties to be registered with the New Jersey Department of Taxation – Division of Revenue and obtain a "*Business Registration Certificate*" ("*BRC*"), prior to entering into a contract with the New Jersey Economic Development Authority ("Authority"). All New Jersey and out-of-State business organizations must obtain a "*BRC*", prior to conducting business with the New Jersey Economic Development Authority. Proposers and any joint venture partners submitting a proposal are strongly encouraged to submit their "*Business Registration Certificate(s)*", as well as the "*Business Registration Certificate*" for any named subcontractors with the proposal. The successful Proposer is required to ensure that it, each joint venture partner and all subcontractors possess a valid "*Business Registration Certificate*" throughout the term of the contract and any extensions thereto.

The Authority cannot award a contract unless a valid "*Business Registration Certificate*" is obtained for each entity, as required by law. In the event the Proposer, joint venture partners and / or any named subcontractors are unable to provide evidence of possessing a valid "*Business Registration Certificate*" prior to the award of a contract; the proposal may be deemed materially non-responsive.

During the term of the contract and any extensions thereto, and prior to performing any work against said contract, the successful Proposer must obtain and submit to the Authority, proof of a valid "*BRC*" registration for any subcontractor who will perform work against the resulting contract. The Contractor shall maintain and submit to the Authority a list of subcontractors and their current addresses, updated as necessary, during the course of the contract performance. No subcontract shall be entered into with a subcontractor for work under this contract, unless the subcontractor first provides to the Contractor, proof of the subcontractor's valid "*BRC*" registration.

Pursuant to N.J.S.A. 54:49-4.1, a business organization that fails to provide a copy of a business registration as required pursuant to section 1 of P.L.2001, c.134 (N.J.S.A. 52:32-44 et al.) or subsection e. or f. of section 92 of P.L.1977, c.110 (N.J.S.A. 5:12-92), or that provides false information of business registration under the requirements of either of those sections, shall be liable for a penalty of \$ 25 for each day of violation, not to exceed \$ 50,000 for each business registration copy not properly provided under a contract with a contracting agency or under a casino service industry enterprise contract.

As required by law, the Authority cannot award a contract to any Proposer or joint venture partners, which does not possess a valid "*Business Registration Certificate*".

The business registration form (Form NJ-REG) can be found online at

[State of New Jersey Online Tax/Employer Registration \(njportal.com\)](http://njportal.com)

Proposers may go to [www.nj.gov/njbgs](http://www.nj.gov/njbgs) to register with the Division of Revenue or to obtain a copy of an existing "*Business Registration Certificate*".

**INDIVIDUALS**, MUST also possess a valid "*Business Registration Certificate*". The individual must complete and sign form "*NJ-REG-A*" (Rev 12/06) and submit to the Department of Treasury. Evidence of registration with the Department of Treasury – Client Registration Bureau must be submitted prior to execution of any agreement.

The "*NJ-REG-A*" form may be found at the Department of Treasury's website:

<https://www.nj.gov/treasury/revenue/busregcert.shtml>

**B. P.L. 2005, c. 51 SPECIAL PROVISIONS – POLITICAL CAMPAIGN CONTRIBUTIONS:**

**REQUIREMENTS OF PUBLIC LAW 2005, CHAPTER 51, AS AMENDED BY THE ELECTIONS TRANSPARENCY ACT, P.L. 2023, C.30, CODIFIED AT N.J.S.A. 19:44A-20.13 TO 20.25 (“CHAPTER 51”) AND EXECUTIVE ORDER NO. 333 (2023).**

(form may be accessed via <https://www.njeda.gov/bidding/#forms>)

**For Contracts Awarded Pursuant to a Fair and Open Process**

Pursuant to P.L.2005, c.51, as amended by the Elections Transparency Act, P.L.2023, c.30, codified at N.J.S.A. 19:44A-20.13 to 20.25 (“Chapter 51”), and Executive Order No. 333 (2023), contracts awarded pursuant to a fair and open process do not require a certification or disclosure of any solicitation or contribution of money, or pledge of contribution, including in-kind contributions.

**For Contracts Awarded Pursuant to a Non-Fair and Open Process**

Pursuant to P.L.2005, c.51, as amended by the Elections Transparency Act, P.L.2023, c.30, codified at N.J.S.A. 19:44A-20.13 to 20.25 (“Chapter 51”), and Executive Order No. 333 (2023), the State shall not enter into a Contract to procure services or any material, supplies or equipment, or to acquire, sell, or lease any land or building from any Business Entity, where the value of the transaction exceeds \$17,500, if that Business Entity has solicited or made any contribution of money, or pledge of contribution, including in-kind contributions, to a Continuing Political Committee or to a candidate committee and/or election fund of any candidate for or holder of the public office of Governor during certain specified time periods.

On March 22, 2005, Acting Governor Codey signed into law *P.L. 2005, c. 51*, amending and supplementing *N.J.S.A. 19:44A-20.1 et seq.* This legislation supersedes *Executive Order 134 (2004)* (“*EO 134*”), but essentially codified its substantive provisions aimed at safeguarding the integrity of State government procurement by imposing restrictions to insulate that process from political contributions posing the risk of improper influence, purchase of access, or the appearance thereof. As set forth in detail below, a selected entity will be required to respond in a timely fashion to certification and disclosure requirements that will be issued by the Authority. Under *N.J.S.A. 19:44A-20.24*, the terms and conditions set forth in this section are material terms of the contract.

**(1) Definitions.** For purposes of this section, the following shall be defined as follows:

- (i) “Contributions” means a contribution reportable by the recipient under the “*New Jersey Campaign Contributions and Expenditures Reporting Act, P.L. 1973, c. 83 (N.J.S.A. 19:44A-1 et seq.)*”, and implementing regulations set forth at *N.J.A.C. 19-25-7 and N.J.A.C. 19:25-10.1 et seq.* Currently, contributions in excess of \$300.00 during a reporting period are deemed “reportable” under these laws. The provisions of *P.L. 2005, c. 51* shall apply only to contributions made on or after October 15, 2004.
- (ii) “Business Entity” means any natural or legal person, business corporation, professional services corporation, Limited Liability Company, partnership, limited partnership, business trust, association or any other legal commercial entity organized under the laws of New Jersey or any other state or foreign jurisdiction. It also includes (i) all principals who own or control more than 10 percent of the profits or assets of a business entity or 10 percent of the stock in the case of a business entity that is a corporation for profit, as appropriate; (ii) any subsidiaries directly or indirectly controlled by the business entity; (iii) any political organization organized under 26 U.S.C.A. §527 that is directly or indirectly controlled by the business entity other than a candidate committee, election fund, or political party committee; and (iv) if a business entity is a natural person, that person’s spouse or child, residing therewith.
- (2) **Prohibited Conduct.** The Authority shall not enter into a contract valued at more than \$17,500 for goods or services with any Business Entity, if the Business Entity solicited or made any contribution of money, or pledge of contribution, including in-kind contributions to a candidate committee and/or election fund of any candidate for a holder of the public office of Governor, or to any State or county political party committee on or after October 15, 2004.
- (3) **Certification and Disclosure Requirements:**
  - (i) **Requirements for Selected Entity.** The selected entity shall receive notification that will, among other things, notify the entity that it must submit a “**Two (2) Year Vendor**

**Certification of Political Contributions Disclosure” and “Ownership Disclosure” forms** as provided by the Authority. Instructions for completing the forms are also included. Failure to submit these forms in a timely fashion shall be cause for rejection of the entity.

- (ii) **Consultant’s Continuing Obligation to Comply with P.L. 2005, c. 51.** The selected entity shall be required on a continuing basis to disclose and report to the Authority any contributions made during the contract term by the Business Entity on forms provided by the Authority, at the time it makes the contribution.
- (4) **State Treasurer Review.** Prior to the award of the contract, the State Treasurer or his designee shall review the Disclosures submitted by the apparent successful entity, as well as, any other pertinent information concerning the contributions or reports thereof. This review will also take place on a continuing basis during the term of the contract. If the State Treasurer determines that any contribution or action of the contractor constitutes a breach of contract pursuant to this section, or presents a conflict of interest in the awarding of the contract under this solicitation, the State Treasurer shall disqualify the Business Entity from award of this or any future contract.
- (5) **Breach of Contract.** It shall be a breach of the terms of the contract for the Business Entity to: (i) make or solicit a contribution in violation of P.L. 2005, c. 51, (ii) knowingly conceal or misrepresent a contribution given or received; (iii) make or solicit contributions through intermediaries for the purpose of concealing or misrepresenting the source of the contribution; (iv) make or solicit any contribution on the condition or with the agreement that it will be contributed to a campaign committee or any candidate or holder of the public office of Governor, or to any State or county party committee; (v) engage or employ a lobbyist or consultant with the intent or understanding that such lobbyist or consultant would make or solicit any contribution, which if made or solicited by the Business Entity itself would subject that entity to the restrictions of P.L. 2005, c. 51; (vi) fund contributions made by third parties including consultants, attorneys, family members, and employees; (vii) engage in any exchange of contributions to circumvent the intent of P.L. 2005, c. 51; or (viii) directly or indirectly through or by any other person or means, do any action which would subject that entity to the restrictions of P.L. 2005, c. 51.
- (6) **Contract Provisions.** Political Campaign Contribution provisions will be included in and be a part of the contract that the selected entity will be required to sign.

**C. DISCLOSURE OF INVESTMENT ACTIVITIES IN IRAN**

Pursuant to N.J.S.A. 52:32-55 et seq parties must complete, sign and submit the “Disclosure of Investment Activities in Iran” form.

**D. OWNERSHIP DISCLOSURE FORM**

Corporations, partnerships or sole proprietorships, must complete the attached Ownership Disclosure Form.

**E. P.L. 2005, C. 271 SPECIAL PROVISIONS - CAMPAIGN CONTRIBUTION DISCLOSURES**

Parties are advised that this contract is subject to the annual political campaign contribution disclosure requirements set forth in C. 19:44A-20.13 (P.L. 2005, c. 271, section 3). Failure to so file can result in the imposition of financial penalties by the New Jersey Election Law Enforcement Commission (“ELEC”). Additional information about this requirement is available from ELEC at 888-313-3532 or at [www.elec.state.nj.us](http://www.elec.state.nj.us). If awarded a contract, your company/firm will be required to submit a completed Public Law 2005, c. 271 Certification and Political Disclosure Form to NJEDA at least ten (10) days before the contract becomes legally binding.

**F. NJEDA LEGAL QUESTIONNAIRE**

Persons (entities or individuals) contracting with NJEDA are subject to the Authority’s Disqualification/Debarment Regulations (the “Regulations”), which are set forth in N.J.A.C. 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.

**G. TAX CLEARANCE CERTIFICATE-**

In conjunction with Division of Taxation/Department of Treasury authority under the tax clearance certificate program, the NJEDA will require a Tax Clearance Certificate from any Tenant, Landlord, Purchaser or Seller who receives a credit, allowance, rent abatement, rent reduction or "free" rent period. Accordingly Tax Clearance Certificate issued by the Division of Taxation of the State of New Jersey can be obtained by completing the required information via the following link:

[https://www16.state.nj.us/NJ\\_PREMIER\\_EBIZ/jsp/home.jsp](https://www16.state.nj.us/NJ_PREMIER_EBIZ/jsp/home.jsp)

**NOTE:** All entities entering into contracts, agreements, purchase orders, etc. with NJEDA are subject to legal review and sister agency debarment checks.



# OWNERSHIP DISCLOSURE FORM

NEW JERSEY ECONOMIC DEVELOPMENT AUTHORITY  
36 WEST STATE STREET, PO BOX 990  
TRENTON, NEW JERSEY 08625-0990

BID SOLICITATION # AND TITLE: \_\_\_\_\_

VENDOR NAME: \_\_\_\_\_

**ALL PARTIES ENTERING INTO A CONTRACT WITH THE STATE ARE REQUIRED TO PROVIDE A STATEMENT OF OWNERSHIP.**

- |   |                          |                          |
|---|--------------------------|--------------------------|
|   | <b>YES</b>               | <b>NO</b>                |
| 1. The vendor is a <b>Non-Profit Entity</b> ; and therefore, no disclosure is necessary.  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. The vendor is a <b>Sole Proprietor</b> ; and therefore, no other disclosure is necessary.<br>A Sole Proprietor is a person who owns an unincorporated business by himself or her-self.<br>A limited liability company with a single member is not a Sole Proprietor. | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. The vendor is a <b>corporation, partnership, or limited liability company</b> .  | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered **YES** to Question 3, you must disclose the following: **(a)** the names and addresses of all stockholders in the corporation who own 10% or more of its stock, of any class; **(b)** all individual partners in the partnership who own a 10% or greater interest therein; or, **(c)** all members in the limited liability company who own a 10% or greater interest therein.\*

NAME _____
ADDRESS _____
ADDRESS _____
CITY _____ STATE _____ ZIP _____

NAME _____
ADDRESS _____
ADDRESS _____
CITY _____ STATE _____ ZIP _____

NAME _____
ADDRESS _____
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CITY _____ STATE _____ ZIP _____

NAME _____
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ADDRESS _____
CITY _____ STATE _____ ZIP _____

- |  |                          |                          |
|--|--------------------------|--------------------------|
|  | <b>YES</b>               | <b>NO</b>                |
| 4. For each of the corporations, partnerships, or limited liability companies identified above, are there any individuals, partners, members, stockholders, corporations, partnerships, or limited liability companies owning a 10% or greater interest of those listed business entities? | <input type="checkbox"/> | <input type="checkbox"/> |

If you answered **YES** to Question 4, you must disclose the following: **(a)** the names and addresses of all stockholders in the corporation who own 10% or more of its stock, of any class; **(b)** all individual partners in the partnership who own a 10% or greater interest therein; or, **(c)** all members in the limited liability company who own a 10% or greater interest therein. The disclosure(s) shall be continued until the names and addresses of every non-corporate stockholder, individual partner, and/or member a 10% or greater interest has been identified.\*

NAME _____
ADDRESS _____
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NAME _____
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5. As an alternative to completing this form, a Vendor with any direct or indirect parent entity which is publicly traded, may submit the name and address of each publicly traded entity and the name and address of each person that holds a 10% or greater beneficial interest in the publicly traded entity as of the last annual filing with the federal Securities and Exchange Commission or the foreign equivalent, and, if there is any person that holds a 10% or greater beneficial interest, also shall submit links to the websites containing the last annual filings with the federal Securities and Exchange Commission or the foreign equivalent and the relevant page numbers of the filings that contain the information on each person that holds a 10% or greater beneficial interest.\*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\* Attach additional sheets if necessary

## NEW JERSEY ECONOMIC DEVELOPMENT AUTHORITY LEGAL QUESTIONNAIRE

Applicant Name:

Please note “Applicant” includes “Tenant”, “Landlord”, “Purchaser”, “Seller”, “Developer”, “Redeveloper”

Persons (entities or individuals) contracting with NJEDA are subject to the Authority’s Disqualification/Debarment Regulations (the “Regulations”), which are set forth in N.J.A.C. 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.

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

### **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, N.J.S.A. 10:5-1 et seq., as supplemented by P.L. 1975, c127), or of the act banning discrimination in public works employment (N.J.S.A. 10:2-1 et seq.) or of the act prohibiting discrimination by industries engaged in defense work in the employment of persons therein (P.L. 1942, c114, N.J.S.A. 10:1-10, et seq.).  
 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, N.J.S.A. 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 N.J.S.A. 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 N.J.S.A. 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.
- (iii) No person may, directly or indirectly, undertake any private business, 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.
- (vi) Laws banning anti-competitive dumping of goods.
- (vii) Anti-terrorist laws.

- (viii) Criminal laws involving commission of any felony or indictable offense under State or Federal law.
- (ix) Laws banning human rights abuses.
- (x) 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 pending 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.



