



**New York State  
Division of Housing and Community Renewal**

**Statement of Qualifications for Management Firm  
Seeking Owner/Agent Agreement, or Extension thereof,**

**With:** \_\_\_\_\_ (“Owner”)

*(Please type or print clearly; use additional sheets to provide full responses, if necessary; and attach requested documents.)*

1. Name of Management Firm (“Agent”): \_\_\_\_\_
  
2. Address: \_\_\_\_\_  
\_\_\_\_\_
  
3. Provide the following information:
  - (a) Agent’s President or Chief Executive Officer.  
\_\_\_\_\_
  
  - (b) Agent’s New York area contact person’s name, address and telephone number.  
\_\_\_\_\_  
\_\_\_\_\_
  
  - (c) Other name(s), if any, under which Agent has operated in the last five (5) years.  
\_\_\_\_\_  
\_\_\_\_\_
  
4.
  - (a) State whether the Agent is a sole proprietorship, corporation, partnership, business association or joint venture. \_\_\_\_\_
  
  - (b) State the jurisdiction under which Agent is organized and operates. \_\_\_\_\_  
\_\_\_\_\_
  
  - (c) For all principals and employees of the Agent who are licensed New York State Real Estate Brokers, provide the name, corporate title, license number and expiration date, and submit a photocopy of each license.
  
  - (d) List names and home addresses of all principals of the Agent.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
  - (e) Identify shareholders owning ten percent (10%) or more of the stock and partners or other co-venturers of the Agent, and state the extent of their respective interests.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
5.
  - (a) Provide Agent’s Dunn & Bradstreet identification number and the latest Dunn & Bradstreet

credit report or a similar credit report. \_\_\_\_\_

(b) State the name and address of Agent's principal bank and a bank officer who can, and is Authorized by Agent, to respond to inquiries. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Provide Agent's Employer Identification Number. \_\_\_\_\_

7. Submit Agent's financial statements, prepared in accordance with generally accepted accounting principles, for three (3) most recent fiscal years.

8. On an attached sheet, list and provide a brief description of all housing developments managed by Agent in the past five (5) years, including those currently and no longer managed by Agent. For each development, provide the address, the number of dwelling units, the length of time managed, the name and address of the owner, and the name and telephone number of a responsible party affiliated with the owner and familiar with Agent's work. If applicable, specify all governmental regulation, assistance and/or subsidy programs involved, and identify the supervising government agency. List Agent's management personnel involved in the management of these developments.

9. Identify and provide current resumes for Agent's principals and key management personnel. Also provide resumes of other management personnel who will be involved with this property.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. In the past ten (10) years has Agent; any principal or key management personnel of Agent; any entity which owns ten percent (10%) or more of Agent; or any entity in which Agent has an interest of ten percent (10%) or more been a principal in a business entity that has filed a petition in bankruptcy or reorganization or has had bankruptcy proceedings initiated against it?

Yes  No

If yes, give the name of the entity, the date of the filing, the court, the county, the reason for filing and the disposition of the case on an attached sheet.

11. In the past five (5) years has any entity described in paragraph 10:

(a) been suspended, debarred, disqualified, had its qualification revoked or otherwise been declared ineligible to bid on any project, public or private?

Yes  No

(b) been barred from bidding or denied a contract as a result of refusal to testify before a grand jury or administrative board?

Yes  No

(c) been denied a contract for any reason despite being the low bidder?

Yes  No

(d) defaulted on any contract/obligation covered by a surety, payment, or performance bond?

Yes  No

(e) terminated a management contract or had a management contract terminated by the owner?

Yes  No

(f) been given a final unsatisfactory performance determination or deemed a poor performer (by letter or formal proceedings) by any owner or any governmental agency, or been subject to a governmental audit, investigation, or management review (other than a management review conducted in the normal course of business) for which there are negative findings?

Yes  No

(g) had damages assessed against it during or upon completion of a contract?

Yes  No

If the answer to any portion of this question is yes, provide all relevant details, including the name of a contact person at the owner or agency which took any of the above actions, on an attached sheet.

12. (a) Has any entity described in paragraph 11 been convicted of a felony or a misdemeanor within the past ten (10) years?

Yes  No

If yes, state details, including a description of the crime, state and court of the conviction, disposition (plea/conviction and sentence), and the index or docket number on an attached sheet.

(b) Is any entity described in paragraph 11 subject to pending criminal charges?

Yes  No

If yes, state details, including a description of the charges, state and court where the charges are pending and the index or docket number on an attached sheet.

13. Has Agent, or any principal of Agent, or any business entity in which any principal of Agent has been a principal, been the subject of any investigation (civil or criminal) by any governmental agency or public authority within the past ten (10) years, including any pending investigation?

Yes  No

If yes, state name of agency, date, and details and disposition of the investigation on an attached sheet.

14. Has Agent, or any principal of Agent, or any business entity in which any principal of Agent has been a principal, been a party to any litigation, civil or criminal, or in any arbitration proceedings in the past five (5) years?

Yes  No

If yes, provide details of each case or proceeding on an attached sheet, including the caption, court and index or docket number, the particulars, and the disposition.

15. Are there any judgments or awards against the Agent, or any business entity in which any principal of Agent is a principal, in any litigation (civil or criminal) or any arbitration proceeding?

Yes  No

If yes, provide details on an attached sheet, including caption, court and index or docket number of each case or proceeding; the particulars of each case or proceeding; and the disposition of same.

16. Are all principals and employees of the Agent bondable in accordance with the provisions of the Owner/Agent Agreement?

Yes  No

If no, provide explanation on an attached sheet.

17. Does the Owner, or any of its principals, board members, or employees, or any relative thereof, have any interest, direct or indirect, in Agent, or are any of them a relative of a principal of the Agent? As used herein, "Owner" includes any person or entity which has a direct or indirect interest of ten percent (10%) or more in the development or Owner, and "relative" means spouse, parent, stepparent, parent-in-law, child, stepchild, sister, brother, sister-in-law, brother-in-law, grandparent, aunt, uncle, nephew, and niece.

Yes  No

If yes, provide details of the relationship(s) on an attached sheet.

**CERTIFICATION**

I, \_\_\_\_\_, being duly sworn, state that I have read and understand all the items and conditions contained in the foregoing Statement, that I supplied full and complete information and answers to each item therein to the best of my knowledge, information and belief; and that all information supplied by me is true. I understand that:

1. This Statement is submitted as additional inducement to the Owner to find that my organization is qualified to perform the work and that the Owner will rely on the information supplied therein and any other material submitted together therewith.
2. Submission of this Statement will constitute permission by the Agent for the Owner to contact any private or governmental person, entity or agency concerning the experience, financial condition and background of Agent and its principals.
3. By submitting its proposal to provide management services for the Owner, the Agent, and any person signing on behalf of Agent certifies, under penalty of perjury, that to the best of his knowledge and belief:
  - (a) the fee and other terms proposed by Agent have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition with any other managing agent or any competitor;
  - (a) unless otherwise required by law, the fees and terms proposed have not been knowingly disclosed by the Agent and prior to opening will not be knowingly disclosed by the Agent, directly or indirectly, to any other managing agent or competitor, or to the Owner, or any principal, agent or employee thereof; and
  - (b) no attempt has been made or will be made by Agent to induce any other person, partnership, or corporation to submit or not to submit a proposal for the purpose of restricting competition.
4. A proposal shall not be considered for award nor shall any award be made where (a), (b), and (c) above have not been complied with; unless Agent shall furnish with the proposal a signed statement which sets forth in detail the reasons therefore, and the Owner determines that such disclosure was not made for the purpose of restricting competition.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Company

Tel. No. \_\_\_\_\_

Fax No. \_\_\_\_\_

Subscribed and sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_  
Notary Public