

B-13-16  
ADDITIONAL  
PICKUP

**PRINCIPAL QUESTIONNAIRE FORM**

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

**COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD**

1. Principal Name Richard O. Felicetta  
Date of birth [REDACTED]  
Home address [REDACTED]  
City/state/zip [REDACTED]  
Business address 75 East Bethpage Road; PO Box 349  
City/state/zip Plainview, NY 11803  
Telephone 516-845-9772, ext 130  
Other present address(es) \_\_\_\_\_  
Telephone cell [REDACTED]  
List of other addresses and telephone numbers attached \_\_\_\_\_
2. Positions held in submitting business and starting date of each (check all applicable)  
President      /      /      Treasurer      /      /       
Chairman of Board      /      /      Shareholder      /      /       
Chief Exec. Officer      /      /      Secretary      /      /       
Chief Financial Officer      /      /      Partner      /      /       
Vice President      /      /       
(Other) \_\_\_\_\_
3. Do you have an equity interest in the business submitting the questionnaire?  
YES x NO      If Yes, provide details. 45 shares (45% interest) R.J. Industries, Inc. Stock
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES x NO      If Yes, provide details.  
Personally Indemnify R.J. Industries' credit facilities with Signature Bank and Liberty Mutual (Surety)
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO       
If Yes, provide details.  
Vice President of RJ Mechanical, Inc. (affiliate of RJ Industries, Inc.)

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6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES x NO \_\_\_\_  
If Yes, provide details. see attached schedule of projects

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.  
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency?  
YES \_\_\_\_ NO x If Yes, provide details for each such instance.
  - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES \_\_\_\_ NO x If Yes, provide details for each such instance.
  - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES \_\_\_\_ NO x If Yes, provide details for each such instance.
  - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES \_\_\_\_ NO x If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES \_\_\_\_ NO x If Yes, provide details for each such charge.
  - b) Is there any misdemeanor charge pending against you? YES \_\_\_\_ NO x If Yes, provide details for each such charge.
  - c) Is there any administrative charge pending against you? YES \_\_\_\_ NO x If Yes, provide details for each such charge.
  - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES \_\_\_\_ NO x If Yes, provide details for each such conviction.

- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES \_\_\_\_ NO x If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES \_\_\_\_ NO x If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES \_\_\_\_ NO x If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES \_\_\_\_ NO x If Yes; provide details for each such investigation.
11. If you or any business or organization listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES \_\_\_\_ NO x If Yes; provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES \_\_\_\_ NO x If Yes, provide details for each such year.

**CERTIFICATION**

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, Richard O. Felicetta, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 3<sup>rd</sup> day of May 2016

Maryanne Hilton  
Notary Public

MARYANNE HILTON  
Notary Public, State of New York  
Qualified in Nassau County  
Commission Expires November 02, 2017

R.J. Industries, Inc.  
Name of submitting business

Richard O. Felicetta  
Print name

[Signature]  
Signature

President  
Title

5, 13, 2016  
Date

## PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

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1. Principal Name John C. Doremus  
Date of birth [REDACTED]  
Home address [REDACTED]  
City/state/zip [REDACTED]  
Business address 75 East Bethpage Road; PO Box 349  
City/state/zip Plainville, NY 11803  
Telephone 516-845-9772, ext 131  
Other present address(es) \_\_\_\_\_  
City/state/zip \_\_\_\_\_  
Telephone cell [REDACTED]  
List of other addresses and telephone numbers attached \_\_\_\_\_
2. Positions held in submitting business and starting date of each (check all applicable)  
President     /     /     Treasurer     /     /      
Chairman of Board     /     /     Shareholder     /     /      
Chief Exec. Officer     /     /     Secretary     /     /      
Chief Financial Officer     /     /     Partner     /     /      
Vice President     /     /      
(Other) \_\_\_\_\_
3. Do you have an equity interest in the business submitting the questionnaire?  
YES x NO     If Yes, provide details. 45 shares (45% interest) R.J. Industries, Inc. Stock
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES x NO     If Yes, provide details.  
Personally indemnify R.J. Industries's credit facilities at Signature Bank and Liberty Mutual (surety)
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES x NO    ;  
If Yes, provide details.

Vice President of RJ Mechanical, Inc. (affiliate of RJ Industries, Inc.) & officer (Treasurer) of James McCullagh Co., Inc. (overseeing the wind down and liquidation of company).

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES ☒ NO ☐  
If Yes, provide details. See Attached schedule of projects.

**NOTE:** An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.  
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency? YES ☐ NO ☒ If Yes, provide details for each such instance.
  - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES ☐ NO ☒ If Yes, provide details for each such instance.
  - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES ☐ NO ☒ If Yes, provide details for each such instance.
- and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES ☐ NO ☒ If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
  - b) Is there any misdemeanor charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
  - c) Is there any administrative charge pending against you? YES ☐ NO ☒ If Yes, provide details for each such charge.
  - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES ☐ NO ☒ If Yes, provide details for each such conviction.

- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES \_\_\_\_ NO x If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES \_\_\_\_ NO x If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES \_\_\_\_ NO x If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES \_\_\_\_ NO x If Yes, provide details for each such investigation.
11. In the past 5 years, have you or the business, or any other associated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES \_\_\_\_ NO x If Yes, provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES \_\_\_\_ NO x If Yes, provide details for each such year.

**CERTIFICATION**

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I, John C. Doremus, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 3<sup>rd</sup> day of May 2016

Maryanne Hilton  
Notary Public, State of New York  
No. 01115210000  
Qualified in Nassau County  
Commission Expires November 02, 2017  
Notary Public

R.J. Industries, Inc.

Name of submitting business

John C. Doremus

Print name

Signature

Vice President

Title

5 / 3 / 2016

Date



PROJECT & LOCATION	OWNER	CONTACT/CONSULTANT	ORIGINAL CONTRACT AMOUNT	SUBSTANTIAL COMPLETION DATE	% COMPLETE
<b>RJ Industries, Inc.</b> Bay Park STP / Cedar Creek WPCP Older Central Facility; Contract No. S38110-01G	Nassau County DPW	Joseph Dravenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazendansawyer.com 516-881-7843	\$24,767,700	March-16	88%
Bay Park STP Temporary Hot Water Picking System Emergency Contract No. S38119-06G	Nassau County DPW	Joseph Dravenport / 516-571-7515 Michael DeNicola (Hazen & Sawyer) MDeNicola@hazendansawyer.com 516-881-7843	\$3,937,700	January-16	68%
Town of Riverhead Advanced WWTTP Total Maximum Daily Load (TMDL) Upgrade General Construction and Plumbing Contracts	Town of Riverhead	Chris Weiss (T2M Group) 831-756-8000	\$17,889,900	Jun-16	68%
Cedar Creek WPCP Improvements to Protected & Domestic Water Systems; Contract S3C087-04G	Nassau County DPW	Joseph Dravenport 516-571-7515	\$1,447,423	March-16	55%
Yaphank County Center WWTTP Denitrification System Improvements	County of Suffolk	Janice McGovern 631-852-4188	\$1,868,800	December-15	79%
Cor Weather Ramps at 238th Street Yard, Corporous Yard and Parkman Yard (Bronx) Contract No. C-34973	MTA - New York City Transit	Danilice Milonas 646-252-4127	\$10,733,360	December-16	7%
<b>B.L. Mechanical, Inc.</b> North Queens (Corona) Gate Station Install 36,000 feet High Pressure Gas Main	National Grid	John Lusardi (Network Infrastructure) 516-385-9030	\$1,147,000	November-15	100%
<b>B.S.R.A. TV</b> Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E1) Contract No. S35121-13E	Nassau County DPW	Michael DeNicola (Hazen & Sawyer) MDeNicola@hazendansawyer.com 516-881-7843	\$28,674,700	Jun-16	84%
Bay Park Sewage Treatment Plant Electrical Substation Upgrades (Phase E3) Contract No. S35121-14E	Nassau County DPW	Michael DeNicola (Hazen & Sawyer) MDeNicola@hazendansawyer.com 516-881-7843	\$97,447,200	Dec-17	2%
<b>R.J. Seaburner, John Venture</b> Bay Park Sewage Treatment Plant Gate Removal Facility Improvements Contract No. S38120-02G	Nassau County DPW	Michael DeNicola (Hazen & Sawyer) MDeNicola@hazendansawyer.com 516-881-7843	\$16,167,700	Sep-17	29%

<u>PROJECT &amp; LOCATION</u>	<u>OWNER</u>	<u>Contractor / Consultant</u>	<u>CONTRACT AMOUNT</u>	<u>DATE COMPLETED</u>
North Queens (Corona) Gate Station Install 36,000 feet High Pressure Gas Main	National Grid	John Lusardi (Network Infrastructure) 516-385-3030	\$1,147,000	2015
Manhattan Psychiatric Center Wards Island - Plumbing	NYS - Office of General Services	Jim Dergin (Seacrest Construction Corp) 516-868-3000	\$507,416	2015
Waldorf Astoria Motor Court Sprinkler System	Hilton Hotels	John Matriona (Waldorf) 212-872-4689	\$244,315	2015
Mother Clara Haile Bus Depot Diesel Fuel System C-40455	MTA - New York City Transit	Scott Segal, PE (Silverite Construction) 516-681-0562	\$502,364	2014
Waldorf Astoria 46th Floor Domestic Water Tank Refurbish & Install Temp By-pass	Hilton Hotels	John Matriona (Waldorf) 212-872-4689	\$148,120	2012

# R.J. Industries, Inc.

<u>PROJECT &amp; LOCATION</u>	<u>OWNER</u>	<u>Contractor / Consultant</u>	<u>CONTRACT AMOUNT</u>	<u>DATE COMPLETED</u>
Glen Cove Wastewater Treatment Plant Above Ground Diesel Storage Tank & New Aeration Blower	Nassau County DPW	Joseph Davenport, PE 571-7515	\$996,700	2015
Dock Place & Southland Drive Pump Station Reconstruction	Nassau County DPW	Michael DeNicola (Hazen & Sawyer) Enicola@hazenandsawyer.com 516-881-7843	\$892,200	2015
Bergen Point WWTP (SCSD #3) Influent Pump Station Butterfly Valve Replacement	County of Suffolk	John Berchtold, PE Suffolk County DPW 631-852-4189	\$2,945,400	2014
Bergen Point WWTP (SCSD #3) Effluent Ultraviolet (UV) Disinfection	County of Suffolk	John Berchtold, PE Suffolk County DPW 631-852-4189	\$13,747,700	2014
Great Neck Water Pollution Control Dist. Plant Upgrade and Expansion to 5.3 MGD	Great Neck WPCD	William F Cosulich, Assoc. Joseph Mautarano 516-364-9890	\$44,557,700	2014
Great Neck Water Pollution Control Dist. Microturbine Cogeneration Facility	Great Neck WPCD	William F Cosulich, Assoc. Joseph Mautarano 516-364-9890	\$1,995,500	2014
Replacement of Bus Washers at Manhattanville Bus Depot; Contract C-33091	MTA - New York City Transit	Keith Summa 646-252-3464	\$2,148,272	2014
Bergen Point WWTP (SCSD #3) Screening Room Odor Control General Construction & HVAC Contracts	County of Suffolk	John Berchtold 631-852-4189	\$2,347,860	2013

As of December 2015

# R.J. Industries, Inc.

<u>PROJECT &amp; LOCATION</u>	<u>OWNER</u>	<u>Contractor / Consultant</u>	<u>CONTRACT AMOUNT</u>	<u>DATE COMPLETED</u>
Bay Park WWTTP Emergency Contract (Sandy) Restore Plant Operations, Sewage Collection System & Related Infrastructure Repairs	Nassau County DPW	Joseph Davenport 516-571-7515	\$2,701,537	2013
Greater Atlantic Beach Treatment Facility (Phase II)	Greater Atlantic Beach Water Recreation District	Cameron Engineering Mark Rauber 516-827-4900	\$1,828,800	2013
Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & Plumbing)	Water Auth Western Nassau Joseph Corbisiero 516-327-4053	John Collins H2M Group 631-756-8000	\$4,872,523	2013
Port Washington WPCD Biosolids Building Rehabilitation	Port Washington WPCD	Robert Breslin 516-924-4376	\$814,400	2013
Port Washington Water District Packed Tower Aeration	Port Washington Water	Dvirka Bartilucci Phil Sachs	\$734,400	2013
Port Washington WPCD Plant Upgrade (Install New BNR System)	Port Washington WPCD	Robert Breslin 516-924-4376	\$20,988,800	2012
Stony Brook University East Campus Well Replacement	State University of NY	Paul Van Loan 631-632-3067	\$1,076,423	2012
Shoreham Wading River CSD Replace Fuel Oil Storage Tanks	Shoreham-Wading River CSD	Burton Behrendt Smith 631-475-0349	\$624,800	2012
Patchogue WWTTP Upgrade & Expansion - GC & Mechanical	Village of Patchogue	Steven Cluff H2M Group 631-756-8000	\$8,906,550	2011

***R.J. Industries, Inc.***

<u>PROJECT &amp; LOCATION</u>	<u>OWNER</u>	<u>Contractor / Consultant</u>	<u>CONTRACT AMOUNT</u>	<u>DATE COMPLETED</u>
Bay Park STP Dechlorination Facility - General Const.	Nassau County DPW	Nassau County - DPW James Gallagher 516-571-7220	\$3,647,700	2011
Manhasset Lakeville Water District IU Willets Water Treatment Plant General Construction	Manhasset - Lakeville Water District	Ben Bietsch H2M Group 631-756-8000	\$1,578,440	2011
Manhasset Lakeville Water District IU Willets Water Treatment Plant Chemical Bulk Storage	Manhasset - Lakeville Water District	Ben Bietsch H2M Group 631-756-8000	\$548,440	2011
Jericho Water District Well No. 5 - GC & Mechanical Work	Jericho Water District	Joe Todaro Sidney Bowne 516-746-2350	\$774,880	2011
Cedar Creek WPCP Install New Gravity Belt Thickener	Nassau County DPW	Hazen and Sawyer Mike De Nicola 212-639-7038	\$14,424,400	2010
SUNY - Stony Brook, Sewer Dist No. 21 Standby Effluent Pump Station	Suffolk County, DPW	Suffolk County - DPW John Donovan	\$622,980	2010
SUNY - Stony Brook East Campus Cooling Tower Replacement	SUNY - Stony Brook	Kevin Rooney 631-632-6222	\$10,389,900	2010
Greenlawn Water District Treatment for Volatile Organics Compounds (VOC) Removal at Plant 13 - General Cont.	Greenlawn Water Dist.	Ben Bietsch H2M Group 631-756-8000	\$929,800	2010
Great Neck Water District	Great Neck Water Dist.	Dvirka & Bartluci	\$648,000	2010 As of December 2015

***R.J. Industries, Inc.***

<u>PROJECT &amp; LOCATION</u>	<u>OWNER</u>	<u>Contractor / Consultant</u> Bill Merklin 516-595-4845	<u>CONTRACT AMOUNT</u> <u>DATE COMPLETED</u>
Concrete Clearwell - Weybridge Road General Construction	State University Construction Fund	Richard Brown 518-320-3204	\$1,998,050 2010
SUNY - Maritime Replace Fuel Oil Tanks (Ft. Schuyler)			