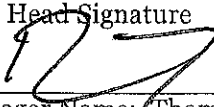




Nassau County

Department of Public Works

**B12-16****Staff Summary**

|  |
|--|
| Subject: Pump Station Repair and Mitigation<br>Contract No. S3P311-07G   |
| Department of Public Works   |
| Commissioner<br>Shila Shah Gavnoudias  |
| Department Head Signature<br> |
| Project Manager Name: Thomas A. Immerso<br>Phone Number: 571-7508  |

|  |
|--|
| Date:<br>February 18, 2016   |
| Vendor Name: R J Industries, Inc.<br>75 East Bethpage Road (P.O. Box 349)<br>Plainview, NY 11803 |
| Contract Number<br>S3P311-07G  |
| Personal Services _____ Blanket Res _____ Calendar _____   |
| Bid <input checked="" type="checkbox"/> Rules Comm. _____  |
| Contract Manager Name: Rich Felicetta, President<br>Phone Number: (516) 845-9772                 |

| Proposed Legislative Action |               |      |          |      |       |
|-----------------------------|---------------|------|----------|------|-------|
|                             | To            | Date | Approval | Info | Other |
|                             | Assgn<br>Comm |      |          |      |       |
|                             | Rules Comm    |      |          |      |       |
|                             | Full Leg      |      |          |      |       |

| Internal Approvals |             |              |                 |
|--------------------|-------------|--------------|-----------------|
| Date & Init.       | Approval    | Date & Init. | Approval        |
| 3/2/16 RS          | Dept. Head  | 4/29/16 RS   | Counsel to C.E. |
| 3/4/16 RS          | Budget      | 3/9/16 MS    | County Atty.    |
|                    | Deputy C.E. | 4/4/16 CS    | County Exec.    |

**Narrative**

**Purpose:** This contract consists of the repair/replacement of equipment and mitigation of four (4) wastewater pumping stations (Inwood, Doughty Blvd., Bayview Ave. & Roslyn Rd.) damaged by Superstorm Sandy.

**Procurement History:** The contract was publicly bid on Dec. 22, 2015 and it is recommended that award be made to the lowest responsible bidder, R J Industries, Inc., who submitted a successful low bid of \$5,947,700.00.

**Discussion:** This construction contract provides for furnishing all labor, materials & equipment required for construction-related services. The contract is FEMA-eligible and includes repair/rehabilitation, code compliance & flood mitigation measures to 'harden' the stations against future storm surges, as occurred during Superstorm Sandy. It is envisioned to have a construction duration of twenty (20) months.

**Impact on Funding:** The bid for this Contract of \$5,947,700 is below the engineer's estimate and funding is available under Capital Project No. CSW 3P311. It is expected that this contract will be eligible for reimbursement by FEMA under the Robert T. Stafford Disaster Relief & Emergency Assistance Act.

**Recommendation:** It is recommended that this contract be approved as submitted.

JLD:TAL:rp

RECEIVED  
CLERK OF THE LEGISLATURE  
NASSAU COUNTY  
MAY - 2 11:08 AM '16



# Nassau County Interim Finance Authority

## Contract Approval Request Form (As of January 1, 2015)

1. Vendor: RJ Industries, Inc.

2. Dollar amount requiring NIFA approval: \$ 5,947,700.00

Amount to be encumbered: \$ 5,947,700.00 *1A*

This is a ☒ New Contract ☐ Advisement ☐ Amendment

If new contract - \$ amount should be full amount of contract

If advisement - NIFA only needs to review if it is increasing funds above the amount previously approved by NIFA

If amendment - \$ amount should be full amount of amendment only

3. Contract Term: 18 months

Has work or services on this contract commenced? ☐ Yes ☒ No

If yes, please explain: \_\_\_\_\_

4. Funding Source:

☐ General Fund (GEN)  
☐ Capital Improvement Fund (CAP)  
☐ Other

☒ Grant Fund (GRT)

Federal % 100  
State % \_\_\_\_\_  
County % \_\_\_\_\_

*All FEMA Funded*

Is the cash available for the full amount of the contract? ☒ Yes ☐ No

If not, will it require a future borrowing? ☐ Yes ☐ No

Has the County Legislature approved the borrowing? ☐ Yes ☐ No ☒ N/A

Has NIFA approved the borrowing for this contract? ☐ Yes ☐ No ☒ N/A

5. Provide a brief description (4 to 5 sentences) of the item for which this approval is requested:

General Construction Contract for repair and mitigation work associated with the following four (4) wastewater pumping stations: Inwood, Doughty Boulevard, Bayview Avenue and Roslyn Road. Work entails repair/replacement of flood damaged process, mechanical and electrical equipment resulting from Hurricane Sandy, as well as Code/OSHA compliance and elevating of critical equipment above the 500-year flood level to prevent damage from potential future storm events.

6. Has the item requested herein followed all proper procedures and thereby approved by the:

Nassau County Attorney as to form ☐ Yes ☐ No ☐ N/A  
Nassau County Committee and/or Legislature ☐ Yes ☐ No ☐ N/A

Date of approval(s) and citation to the resolution where approval for this item was provided:

7. Identify all contracts (with dollar amounts) with this or an affiliated party within the prior 12 months:

Exceeds \$50K

## AUTHORIZATION

To the best of my knowledge, I hereby certify that the information contained in this Contract Approval Request Form and any additional information submitted in connection with this request is true and accurate and that all expenditures that will be made in reliance on this authorization are in conformance with the Nassau County Approved Budget and not in conflict with the Nassau County Multi-Year Financial Plan. I understand that NIFA will rely upon this information in its official deliberations.

Roseann Allen 3/8/16  
Signature Title Date

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

## COMPTROLLER'S OFFICE

To the best of my knowledge, I hereby certify that the information listed is true and accurate and is in conformance with the Nassau County Approved Budget and not in conflict with the Nassau County Multi-Year Financial Plan.

Regarding funding, please check the correct response:

\_\_\_\_ I certify that the funds are available to be encumbered pending NIFA approval of this contract.

If this is a capital project:

\_\_\_\_ I certify that the bonding for this contract has been approved by NIFA.

\_\_\_\_ Budget is available and funds have been encumbered but the project requires NIFA bonding authorization

\_\_\_\_\_  
Signature Title Date

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

## NIFA

Amount being approved by NIFA: \_\_\_\_\_

\_\_\_\_\_  
Signature Title Date

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

**NOTE: All contract submissions MUST include the County's own routing slip, current NIFS printouts for all relevant accounts and relevant Nassau County Legislature communication documents and relevant supplemental information pertaining to the item requested herein.**

**NIFA Contract Approval Request Form MUST be filled out in its entirety before being submitted to NIFA for review.**

**NIFA reserves the right to request additional information as needed.**

George Maragos  
Comptroller



OFFICE OF THE COMPTROLLER

240 Old Country Road  
Mineola, New York 11501

**COMPTROLLER APPROVAL FORM FOR PERSONAL,  
PROFESSIONAL OR HUMAN SERVICES CONTRACTS**

*Attach this form along with all personal, professional or human services contracts, contract renewals, extensions and amendments.*

**CONTRACTOR NAME:** RJ Industries, Inc.

**CONTRACTOR ADDRESS:** 75 East Bethpage Road - Plainview, NY 11716

**FEDERAL TAX ID #:** 11-3401288

---

**Instructions:** Please check the appropriate box ("☑") after one of the following roman numerals, and provide all the requested information.

**I. ☑ The contract was awarded to the lowest, responsible bidder after advertisement for sealed bids.** The contract was awarded after a request for sealed bids was published in Newsday [newspaper] on November 18, 2015. [date]. The sealed bids were publicly opened on December 22, 2015 [date]. Five (5) [#] sealed bids were received and four (4) opened; one (1) rejected.

**II. ☐ The contractor was selected pursuant to a Request for Proposals.**

The Contract was entered into after a written request for proposals was issued on \_\_\_\_\_ [date]. Potential proposers were made aware of the availability of the RFP by \_\_\_\_\_ [newspaper advertisement, posting on website, mailing, etc.]. \_\_\_\_\_ [#] of potential proposers requested copies of the RFP. Proposals were due on \_\_\_\_\_ [date]. \_\_\_\_\_ [#] proposals were received and evaluated. The evaluation committee consisted of: \_\_\_\_\_

\_\_\_\_\_ [list members]. The proposals were scored and ranked. As a result of the scoring and ranking (attached), the highest-ranking proposer was selected.

**III. ☐ This is a renewal, extension or amendment of an existing contract.**

The contract was originally executed by Nassau County on \_\_\_\_\_ [date]. This is a renewal or extension pursuant to the contract, or an amendment within the scope of the contract or RFP (copies of the relevant pages are attached). The original contract was entered into after \_\_\_\_\_

\_\_\_\_\_  
[describe procurement method, i.e., RFP, three proposals evaluated, etc.] Attach a copy of the most recent evaluation of the contractor's performance for any contract to be renewed or extended. If the contractor has not received a satisfactory evaluation, the department must explain why the contractor should nevertheless be permitted to continue to contract with the county.

**IV. ☐ Pursuant to Executive Order No. 1 of 1993, as amended, at least three proposals were solicited and received. The attached memorandum from the department head describes the proposals received, along with the cost of each proposal.**

- ☐ A. The contract has been awarded to the proposer offering the lowest cost proposal; **OR:**
- ☐ B. The attached memorandum contains a detailed explanation as to the reason(s) why the contract was awarded to other than the lowest-cost proposer. The attachment includes a specific delineation of the unique skills and experience, the specific reasons why a proposal is deemed superior, and/or why the proposer has been judged to be able to perform more quickly than other proposers.

**V. ☐ Pursuant to Executive Order No. 1 of 1993 as amended, the attached memorandum from the department head explains why the department did not obtain at least three proposals.**

- ☐ A. There are only one or two providers of the services sought or less than three providers submitted proposals. The memorandum describes how the contractor was determined to be the sole source provider of the personal service needed or explains why only two proposals could be obtained. If two proposals were obtained, the memorandum explains that the contract was awarded to the lowest cost proposer, or why the selected proposer offered the higher quality proposal, the proposer's unique and special experience, skill, or expertise, or its availability to perform in the most immediate and timely manner.
- ☐ B. The memorandum explains that the contractor's selection was dictated by the terms of a federal or New York State grant, by legislation or by a court order. (Copies of the relevant documents are attached).
- ☐ C. Pursuant to General Municipal Law Section 104, the department is purchasing the services required through a New York State Office of General Services contract no. \_\_\_\_\_, and the attached memorandum explains how the purchase is within the scope of the terms of that contract.

- ☐ D. Pursuant to General Municipal Law Section 119-o, the department is purchasing the services required through an inter-municipal agreement.

**VI. ☐ This is a human services contract with a not-for-profit agency for which a competitive process has not been initiated.** Attached is a memorandum that explains the reasons for entering into this contract without conducting a competitive process, and details when the department intends to initiate a competitive process for the future award of these services. For any such contract, where the vendor has previously provided services to the county, attach a copy of the most recent evaluation of the vendor's performance. If the contractor has not received a satisfactory evaluation, the department must explain why the contractor should nevertheless be permitted to contract with the county.

In certain limited circumstances, conducting a competitive process and/or completing performance evaluations may not be possible because of the nature of the human services program, or because of a compelling need to continue services through the same provider. In those circumstances, attach an explanation of why a competitive process and/or performance evaluation is inapplicable.

**VII. ☐ This is a public works contract for the provision of architectural, engineering or surveying services.** The attached memorandum provides details of the department's compliance with Board of Supervisors' Resolution No.928 of 1993, including its receipt and evaluation of annual Statements of Qualifications & Performance Data, and its negotiations with the most highly qualified firms.

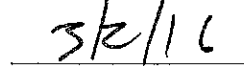
**VIII. ☒ Participation of Minority Group Members and Women in Nassau County Contracts.** The selected contractor has agreed that it has an obligation to utilize best efforts to hire MWBE sub-contractors. Proof of the contractual utilization of best efforts as outlined in Exhibit "EE" may be requested at any time, from time to time, by the Comptroller's Office prior to the approval of claim vouchers.

**IX. ☒ Department MWBE responsibilities.** To ensure compliance with MWBE requirements as outlined in Exhibit "EE", Department will require vendor to submit list of sub-contractor requirements prior to the contract being submitted to the Comptroller.

**X. ☐ Vendor will not require any sub-contractors.**

**In addition, if this is a contract with an individual or with an entity that has only one or two employees:** ☐ a review of the criteria set forth by the Internal Revenue Service, *Revenue Ruling No. 87-41, 1987-1 C.B. 296*, attached as Appendix A to the Comptroller's Memorandum, dated February 13, 2004, concerning independent contractors and employees indicates that the contractor would not be considered an employee for federal tax purposes.

  
\_\_\_\_\_  
Department Head Signature

  
\_\_\_\_\_  
Date

**NOTE:** Any information requested above, or in the exhibit below, may be included in the county's "staff summary" form in lieu of a separate memorandum.

Compt. form Pers./Prof. Services Contracts: Rev. 09/15

## Exhibit A



COUNTY OF NASSAU

POLITICAL CAMPAIGN CONTRIBUTION DISCLOSURE FORM

1. Has the vendor or any corporate officers of the vendor provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

Since January 1, 2014, R.J. Industries, Inc. has contributed to Friends of Ed Mangano (\$3,500 in '2015

& \$5,000 in 2014) and Friends of George Maragos (\$2,000 in 2014).

2. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees identified above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

R.J. Industries, Inc.

Vendor: \_\_\_\_\_

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

3/30/16

Print Name: Richard O. Felicetta

Title: President



## Exhibit B



COUNTY OF NASSAU

LOBBYIST REGISTRATION AND DISCLOSURE FORM

1. Name, address and telephone number of lobbyist(s)/lobbying organization. The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

We have not hired a lobbying firm.

2. List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

NA

3. Name, address and telephone number of client(s) by whom, or on whose behalf, the lobbyist is retained, employed or designated:

NA

---

---

---

---

---

---

---

---

4. Describe lobbying activity conducted, or to be conducted, in Nassau County, and identify client(s) for each activity listed. See page 4 for a complete description of lobbying activities.

NA

---

---

---

---

---

---

---

5. The name of persons, organizations or governmental entities before whom the lobbyist expects to lobby:

NA

---

---

---

---

---

6. If such lobbyist is retained or employed pursuant to a written agreement of retainer or employment, you must attach a copy of such document; and if agreement of retainer or employment is oral, attach a written statement of the substance thereof. If the written agreement of retainer or employment does not contain a signed authorization from the client by whom you have been authorized to lobby, separately attach such a written authorization from the client.

7. Has the lobbyist/lobbying organization or any of its corporate officers provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

NA

I understand that copies of this form will be sent to the Nassau County Department of Information Technology ("IT") to be posted on the County's website.

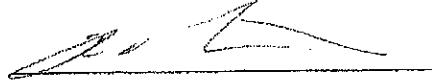
I also understand that upon termination of retainer, employment or designation I must give written notice to the County Attorney within thirty (30) days of termination.

VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees listed above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Dated: 3/30/2016

Signed:



Print Name:

Richard O. Felicetta

Title:

President

The term lobbying shall mean any attempt to influence: any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including but not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

The term "lobbying" or "lobbying activities" does not include: Persons engaged in drafting legislation, rules, regulations or rates; persons advising clients and rendering opinions on proposed legislation, rules, regulations or rates, where such professional services are not otherwise connected with legislative or executive action on such legislation or administrative action on such rules, regulations or rates; newspapers and other periodicals and radio and television stations and owners and employees thereof, provided that their activities in connection with proposed legislation, rules, regulations or rates are limited to the publication or broadcast of news items, editorials or other comment, or paid advertisements; persons who participate as witnesses, attorneys or other representatives in public rule-making or rate-making proceedings of a County agency, with respect to all participation by such persons which is part of the public record thereof and all preparation by such persons for such participation; persons who attempt to influence a County agency in an adjudicatory proceeding, as defined by § 102 of the New York State Administrative Procedure Act.

COUNTY OF NASSAU

CONSULTANT'S, CONTRACTOR'S AND VENDOR'S DISCLOSURE FORM

1. Name of the Entity: R.J. Industries, Inc.

Address: 75 East Bethpage Road; PO Box 349

City, State and Zip Code: Plainview, NY 11803

2. Entity's Vendor Identification Number: 11-3401288

3. Type of Business: ☐ Public Corp ☐ Partnership ☐ Joint Venture  
☐ Ltd. Liability Co ☐ Closely Held Corp ☐ Sub S-Corp ☐ Other (specify)

4. List names and addresses of all principals; that is, all individuals serving on the Board of Directors or comparable body, all partners and limited partners, all corporate officers, all parties of Joint Ventures, and all members and officers of limited liability companies (attach additional sheets if necessary):

Richard O. Felcetta, President;

John C. Doremus, Vice President;

John E. Kozlarz, Vice President;

William J. Doremus, Secretary-Treasurer;

5. List names and addresses of all shareholders, members, or partners of the firm. If the shareholder is not an individual, list the individual shareholders/partners/members. If a Publicly held Corporation, include a copy of the 10K in lieu of completing this section.

see response to question #4

6. List all affiliated and related companies and their relationship to the firm entered on line 1. above (if none, enter "None"). Attach a separate disclosure form for each affiliated or subsidiary company that may take part in the performance of this contract. Such disclosure shall be updated to include affiliated or subsidiary companies not previously disclosed that participate in the performance of the contract.

RJI Mechanical, Inc.

BSRJ A TV

RJ/Scalamandre, JV

7. List all lobbyists whose services were utilized at any stage in this matter (i.e., pre-bid, bid, post-bid, etc.). If none, enter "None." The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

(a) Name, title, business address and telephone number of lobbyist(s):

none

(b) Describe lobbying activity of each lobbyist. See below for a complete description of lobbying activities.

none

(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

no

8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Dated: 3/30/2016

Signed: 

Print Name: Richard O. Felicetta

Title: President



Page 4 of 4

The term lobbying shall mean any attempt to influence; any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including by not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

### Business History Form

The contract shall be awarded to the responsible proposer who, at the discretion of the County, taking into consideration the reliability of the proposer and the capacity of the proposer to perform the services required by the County, offers the best value to the County and who will best promote the public interest.

In addition to the submission of proposals, each proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the Proposal.

NOTE: All questions require a response, even if response is "none" or "not-applicable."  
No blanks.

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: \_\_\_\_\_

1) Proposer's Legal Name: R.J. Industries, Inc.

2) Address of Place of Business: 75 East Bethpage Road; Plainview, NY 11803

List all other business addresses used within last five years:

3) Mailing Address (if different): PO Box 349; Plainview, NY 11803

Phone: 516-845-9772

Does the business own or rent its facilities? own

4) Dun and Bradstreet number: \_\_\_\_\_

5) Federal I.D. Number: 11-3401288

6) The proposer is a (check one): Sole Proprietorship Partnership  
Corporation Other (Describe) Subchapter s-corp

7) Does this business share office space, staff, or equipment expenses with any other business?  
Yes x No    If Yes, please provide details: BSRJ A TV, RJ/Scalamandre, JV

8) Does this business control one or more other businesses? Yes x No    If Yes, please provide details: RJ East Bethpage Road, LLC (operates the main office building in Plainview, NY)

9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business? Yes x No \_\_\_\_ If Yes, provide details. R.J.I. Mechanical, Inc.

10) Has the proposer ever had a bond or surety cancelled or forfeited, or a contract with Nassau County or any other government entity terminated? Yes \_\_\_\_ No x If Yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture; or details regarding the termination (if a contract). \_\_\_\_\_

11) Has the proposer, during the past seven years, been declared bankrupt? Yes \_\_\_\_ No x If Yes, state date, court jurisdiction, amount of liabilities and amount of assets \_\_\_\_\_

12) In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, 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, in the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business. Yes \_\_\_\_ No x If Yes, provide details for each such investigation. \_\_\_\_\_

13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business, Yes \_\_\_\_ No x If Yes, provide details for each such investigation. \_\_\_\_\_

14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:

a) Any felony charge pending? Yes \_\_\_\_ No x If Yes, provide details for each such charge. \_\_\_\_\_

b) Any misdemeanor charge pending? Yes \_\_\_\_ No x If Yes, provide details for each such charge. \_\_\_\_\_

c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or 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 \_\_\_\_\_

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor?  
Yes \_\_\_\_ No x If Yes, provide details for each such conviction. \_\_\_\_\_

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions? Yes \_\_\_\_ No x If Yes, provide details for each such occurrence. \_\_\_\_\_

15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business 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. \_\_\_\_\_

16) For the past (5) tax years, has this business 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. Provide a detailed response to all questions checked 'YES'. If you need more space, photocopy the appropriate page and attach it to the questionnaire. \_\_\_\_\_

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

17) Conflict of Interest:

a) Please disclose any conflicts of interest as outlined below. NOTE: If no conflicts exist, please expressly state "No conflict exists."

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.  
No conflict exists

(ii) Any family relationship that any employee of your firm has with any County public servant that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County. On the previous disclosure form we noted that one of our employees is related to an employee of Hazen and Sawyer which is employed by Nassau County. Nassau County has since awarded contracts to us.

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.  
No conflict exists

b) Please describe any procedures your firm has, or would adopt, to assure the County that a conflict of interest would not exist for your firm in the future.  
We would be pleased to assist Nassau County in its efforts to eliminate conflicts of interest. Should we learn of any potential conflicts, we intend to notify the County for its determination on what is appropriate.

- A. Include a resume or detailed description of the Proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

Should the proposer be other than an individual, the Proposal MUST include:

- i) Date of formation; 9/2/1997
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner; see attached
- iii) Name, address and position of all officers and directors of the company; see attached
- iv) State of incorporation (if applicable); NY
- v) The number of employees in the firm; 25 non-union / union staff varies (usually between 25 & 35)
- vi) Annual revenue of firm; [REDACTED]
- vii) Summary of relevant accomplishments see attached list of projects
- viii) Copies of all state and local licenses and permits.

B. Indicate number of years in business.

C. Provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.

D. Provide names and addresses for no fewer than three references for whom the Proposer has provided similar services or who are qualified to evaluate the Proposer's capability to perform this work.

Company see attached list of projects

Contact Person

Address

City/State

Telephone

Fax #

E-Mail Address

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

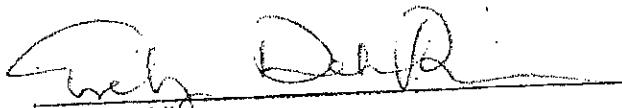
E-Mail Address \_\_\_\_\_

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.

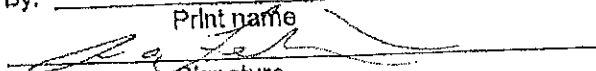
Sworn to before me this 30 day of March 2016

  
Notary Public

EVELYN DELLA RATTA  
Notary Public, State of New York  
01DE4854133  
Qualified in Nassau County  
Commission Expires May 27, 2018

Name of submitting business: R.S. Industries, Inc.

By: Richard O. Felicetta  
Print name

  
Signature

President  
Title

3 / 30 / 2016  
Date

COUNTY OF NASSAU  
Inter-Departmental Memo

**TO:** Office of the County Executive  
Att: Richard R. Walker, Chief Deputy County Executive

**FROM:** Department of Public Works

**DATE:** March 3, 2016

**SUBJECT:** RECOMMENDATION OF AWARD

**Contract No: S3P311-07G**

**Title:** CONTRACT S3P311-07G – PUMP STATION REPAIR & MITIGATION –  
INWOOD, DOUGHTY BOULEVARD, BAYVIEW AVENUE & ROSLYN ROAD  
PUMP STATIONS

**Bids received on: December 22, 2015**

I have examined the bids submitted for the contract mentioned above. Finding them to be in order, I recommend this contract be awarded to **R.J. Industries, Inc.**, as the lowest responsible bidder with a total bid amount of **\$5,947,700.00**. In order to facilitate processing of the above referenced contract, I request that the attached "Request to Initiate" form be approved.

  
Shila Shah-Gavnoudias  
Commissioner

SSG:KGA;jh





**COUNTY OF NASSAU  
DEPARTMENT OF PUBLIC WORKS  
Inter-Departmental Memo**

**TO:** Kenneth G. Arnold, Assistant to Commissioner

**FROM:** Division of Engineering  
Water /Wastewater Engineering Unit

**DATE:** February 19, 2016

**SUBJECT:** RECOMMENDATION OF AWARD

Contract No: S3P311-07G

Title: Pump Station Repair & Mitigation  
Inwood, Doughty Boulevard, Bayview Avenue  
and Roslyn Road

Engineer's Estimate: \$6,872,173.00

Bids Received On: December 22, 2015

The bids received for the above-referenced contract have been examined, and the bid submitted by RJ Industries, Inc., in the amount of \$5,947,700.00 is acceptable as the lowest responsible bidder.

Since the low bid is less than the engineer's estimate and adequate funds are available (Capital Project No. 3P311), it is requested that the Recommendation of Award be prepared for the Commissioner's signature and forwarded to the County Executive for his action.

Attached, herewith, please find a completed Staff Summary, NIFA, CSEA memo, MWBE Utilization Plan, Engineer's Bid Analysis, and Recommendation of Award, Request to Initiate and Comptroller's Approval forms for your information and use.



Joseph L. Davenport  
Unit Head, Water/Wastewater Engineering Unit

JLD:rp  
Attachments

c: Loretta V. Dionisio, Hydrogeologist II  
Thomas A. Immerso, Sanitary Engineer II



## REQUEST FOR QUALIFICATIONS/REQUEST FOR PROPOSAL/REQUEST FOR BID CONTRACT

PART I: Approval by the Deputy County Executive for Operations must be obtained prior to ANY RFQ/RFP/RFBC

☐ RFQ    ☐ RFP    ☒ RFBC    ☐ In-House or Requirements Work Order

Project Title: PUMP STATION REPAIR AND MITIGATION (S3P311-07G)  
Inwood, Doughty Blvd., Bayview Ave. and Roslyn Rd.

Department: Public Works Project Manager: Thomas A. Immerso

Date: November 23, 2015

Service Requested: General Construction Contract

Justification: Necessary for repairs/replacements of equipment at four (4) sewage pump stations damaged as a result of Superstorm Sandy as well as flood mitigation measures for the pump stations listed above.

Requested by: Department of Public Works Department/Agency/Office

Project Cost for this Phase/Contract: (Plan/Design/Construction/CM/Equipment) \$6,800,000.00  
Circle appropriate phase

Total Project Cost: \$8,800,000.00 (approx.)  
Includes, design, construction and CM

Date Start Work: February, 2015  
Phase being requested

Duration: 550 Days  
Phase being requested

Capital Funding Approval: YES ☒ NO ☐

SIGNATURE

DATE

Funding Allocation (Capital Project):

See Attached Sheet if multiyear ☐

NIFS Entered:

SIGNATURE

DATE

AIM Entered:

SIGNATURE

DATE

Funding Code:

Use this on all encumbrances

Timesheet Code:

Use this on timesheets

State Environmental Quality Review Act (SEQRA):

Type II Action ☒ or, Environmental Assessment Form Required ☐

Supplemental Environmental Documentation

Department Head Approval:

YES ☒ NO ☐

SIGNATURE

DCE/Ops Approval:

YES ☐ NO ☐

SIGNATURE

PART II: To be submitted to Chief Deputy County Executive after Qualifications/Proposals/Contracts are received from responding vendors.

VendorQuoteComment

See Attached Sheet (bid results)



TAE 11/24/15

DCE/Ops Approval:

YES

NO

Signature

**B12-16**

RO -2016

A RESOLUTION AUTHORIZING THE COUNTY EXECUTIVE TO AWARD AND EXECUTE A CONTRACT BETWEEN THE COUNTY OF NASSAU ACTING ON BEHALF OF THE NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS AND R.J. INDUSTRIES, INC.

WHEREAS, in accordance with all Federal, State and Local Law, the County of Nassau on behalf of the NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS ["Department"] has received competitive bids for contract S3P311-07G, PUMP STATION REPAIR & MITIGATION – INWOOD, DOUGHTY BOULEVARD, BAYVIEW AVENUE & ROSLYN ROAD PUMP STATIONS ["Contract"], as more particularly described in the contract documents, a copy of which are on file with the Clerk of the Legislature; and

WHEREAS, the firm of R.J. INDUSTRIES, INC.

["Vendor"] has submitted the lowest responsible bid for the work described in the contract in accordance with all Federal, State and Local Law as determined by the Department, and

WHEREAS, the funding for this contract is from capital funds approved by the Nassau County Legislature and included in the current four year capital plan, and

WHEREAS, the Commissioner of the Department is representing that the total contract is estimated to be \$ 5,947,700 now therefore be it

RESOLVED, that the Rules Committee of the Nassau County Legislature, based on the representations of the Department and the recommendation of the Commissioner of the Department, authorizes the County Executive to award and execute the said contract with the vendor.

## R.J. Industries, Inc.

| PROJECT & LOCATION   | OWNER                       | CONTACT/CONSULTANT  | ORIGINAL CONTRACT AMOUNT | SUBSTANTIAL COMPLETION DATE | % COMPLETE |
|--|-----------------------------|---|--------------------------|-----------------------------|------------|
| <b>RJ Industries, Inc.</b><br>Bay Park STP / Cedar Creek WPOP<br>Odor Control Facility; Contract No. S35110-01G                          | Nassau County DPW           | Joseph Davenport / 516-571-7515<br>Michael DeNicola (Hazen & Sawyer)<br>MDeNicola@hazensawyer.com<br>516-881-7843 | \$24,767,700             | March-16                    | 93%        |
| Bay Park STP<br>Temporary Hot Water Piping System<br>Emergency Contract No. S35119-06G   | Nassau County DPW           | Joseph Davenport / 516-571-7515<br>Michael DeNicola (Hazen & Sawyer)<br>MDeNicola@hazensawyer.com<br>516-881-7843 | \$3,937,700              | January-16                  | 68%        |
| Town of Riverhead Advanced WWTP<br>Total Maximum Daily Load (TMDL) Upgrade<br>General Construction and Plumbing Contracts                | Town of Riverhead           | Chris Weiss (H2M Group)<br>845-755-8000   | \$17,889,900             | Jun-16                      | 69%        |
| Cedar Creek WPOP<br>Improvements to Protected & Domestic<br>Water Systems; Contract S35067-04G   | Nassau County DPW           | Joseph Davenport<br>516-571-7515  | \$1,447,623              | March-16                    | 53%        |
| Yachant County Center WWTP<br>Denitrification System Improvements  | County of Suffolk           | Janice McGovern<br>834-852-4188   | \$1,888,800              | December-15                 | 79%        |
| Car Wash Repairs at 238th Street Yard<br>Concourse Yard and Pelham Yard (Bronx)<br>Contract No. C-34813                                  | MTA - New York City Transit | Danirlos Milonas<br>646-252-4127  | \$10,793,360             | December-16                 | 7%         |
| <b>RJ Mechanical, Inc.</b><br>North Queens (Corral) Gate Station<br>Install 36,000 feet High Pressure Gas Main                           | National Grid               | John Luzzardi (Network Infrastructure)<br>516-385-3030  | \$1,147,000              | November-15                 | 100%       |
| <b>BS&amp;J A, INC.</b><br>Bay Park Sewage Treatment Plant<br>Electrical Substation Upgrades (Phase E1)<br>Contract No. S35121-13E       | Nassau County DPW           | Michael DeNicola (Hazen & Sawyer)<br>MDeNicola@hazensawyer.com<br>516-881-7843                                    | \$28,614,700             | Jun-16                      | 84%        |
| Bay Park Sewage Treatment Plant<br>Electrical Substation Upgrades (Phase E2)<br>Contract No. S35121-14F                                  | Nassau County DPW           | Michael DeNicola (Hazen & Sawyer)<br>MDeNicola@hazensawyer.com<br>516-881-7843                                    | \$87,447,200             | Dec-17                      | 2%         |
| <b>RJ Scalimandro, Joint Venture</b><br>Bay Park Sewage Treatment Plant<br>Grit Removal Facility Improvements<br>Contract No. S35120-02G | Nassau County DPW           | Michael DeNicola (Hazen & Sawyer)<br>MDeNicola@hazensawyer.com<br>516-881-7843                                    | \$16,187,700             | Sep-17                      | 29%        |

**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<br>Above Ground Diesel Storage Tank &<br>New Aeration Blower | Nassau County DPW           | Joseph Davenport, PE<br>516-571-7515  | \$996,700              | 2015                        |
| Dock Place & Southland Drive<br>Pump Station Reconstruction                                       | Nassau County DPW           | Michael DeNicola (Hazen & Sawyer)<br>MDeNicola@hazenandsawyer.com<br>516-881-7843 | \$892,200              | 2015                        |
| Bergen Point WWTP (SCSD #3)<br>Influent Pump Station Butterfly Valve<br>Replacement               | County of Suffolk           | John Berchtold, PE<br>Suffolk County DPW<br>631-852-4189                          | \$2,945,400            | 2014                        |
| Bergen Point WWTP (SCSD #3)<br>Effluent Ultraviolet (UV) Disinfection                             | County of Suffolk           | John Berchtold, PE<br>Suffolk County DPW<br>631-852-4189                          | \$13,747,700           | 2014                        |
| Great Neck Water Pollution Control Dist.<br>Plant Upgrade and Expansion to 5.3 MGD                | Great Neck WPCD             | William F Cosulich, Assoc.<br>Joseph Mautarano<br>516-364-9890                    | \$44,557,700           | 2014                        |
| Great Neck Water Pollution Control Dist.<br>Microturbine Cogeneration Facility                    | Great Neck WPCD             | William F Cosulich, Assoc.<br>Joseph Mautarano<br>516-364-9890                    | \$1,995,500            | 2014                        |
| Replacement of Bus Washers at Manhattanville<br>Bus Depot; Contract C-33091                       | MTA - New York City Transit | Keith Summa<br>646-252-3464   | \$2,148,272            | 2014                        |
| City of Long Beach<br>Rehabilitation of New York Avenue<br>Lift Station                           | City of Long Beach          |   | \$448,400              | 2014                        |
| Bergen Point WWTP (SCSD #3)   | County of Suffolk           | John Berchtold  | \$2,347,860            | 2013<br>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>       |
|---|--|--|------------------------|-----------------------------|
| Screening Room Odor Control<br>General Construction & HVAC Contracts  |  | 631-852-4189                                       |                        |                             |
| Bay Park WWTP Emergency Contract (Sandy)<br>Restore Plant Operations, Sewage Collection<br>System & Related Infrastructure Repairs        | Nassau County DPW  | Joseph Davenport<br>516-571-7515                   | \$2,701,537            | 2013                        |
| Greater Atlantic Beach<br>Treatment Facility (Phase II)   | Greater Atlantic Beach Water<br>Reclamation District           | Cameron Engineering<br>Mark Rauber<br>516-827-4900 | \$1,828,800            | 2013                        |
| Water Authority of Western Nassau County<br>Wellhead Treatment for Iron Removal at<br>Plants 28 & 30 (General Construction &<br>Plumbing) | Water Auth Western Nassau<br>Joseph Corbisiero<br>516-327-4053 | John Collins<br>H2M Group<br>631-758-8000          | \$4,872,523            | 2013                        |
| Port Washington WPCD<br>Biosolids Building Rehabilitation   | Port Washington WPCD   | Robert Breslin<br>516-924-4376                     | \$814,400              | 2013                        |
| Port Washington Water District<br>Packed Tower Aeration   | Port Washington Water  | Dvirka Bartilucci<br>Phil Sachs                    | \$734,400              | 2013                        |
| Port Washington WPCD<br>Plant Upgrade (Install New BNR System)  | Port Washington WPCD   | Robert Breslin<br>516-924-4376                     | \$20,988,800           | 2012                        |
| Stony Brook University<br>East Campus Well Replacement  | State University of NY   | Paul Van Loan<br>631-632-3067                      | \$1,076,423            | 2012                        |
| Shoreham Wading River CSD<br>Replace Fuel Oil Storage Tanks   | Shoreham-Wading River<br>CSD                                   | Burton Behrendt Smith<br>631-475-0349              | \$624,800              | 2012                        |
| Patchogue WWTP  | Village of Patchogue   | Steven Cluff                                       | \$8,906,550            | 2011<br>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> |
|--|---|--|------------------------|-----------------------|
| Upgrade & Expansion - GC & Mechanical  |   | H2M Group<br>631-756-8000                              |                        |                       |
| Bay Park STP<br>Dechlorination Facility - General Const.   | Nassau County DPW                       | Nassau County - DPW<br>James Gallagher<br>516-571-7220 | \$3,647,700            | 2011                  |
| Manhasset Lakeville Water District<br>IU Willets Water Treatment Plant<br>General Construction                     | Manhasset - Lakeville<br>Water District | Ben Bletsch<br>H2M Group<br>631-756-8000               | \$1,578,440            | 2011                  |
| Manhasset Lakeville Water District<br>IU Willets Water Treatment Plant<br>Chemical Bulk Storage                    | Manhasset - Lakeville<br>Water District | Ben Bletsch<br>H2M Group<br>631-756-8000               | \$548,440              | 2011                  |
| Jericho Water District<br>Well No. 5 - GC & Mechanical Work  | Jericho Water District                  | Joe Todaro<br>Sidney Bowne<br>516-746-2350             | \$774,880              | 2011                  |
| Cedar Creek WPCP<br>Install New Gravity Selt Thickner  | Nassau County DPW                       | Hazen and Sawyer<br>Mike De Nicola<br>212-539-7038     | \$14,424,400           | 2010                  |
| SUNY - Stony Brook, Sewer Dist No. 21<br>Standby Effluent Pump Station   | Suffolk County, DPW                     | Suffolk County - DPW<br>John Donovan                   | \$622,980              | 2010                  |
| SUNY - Stony Brook<br>East Campus Cooling Tower Replacement  | SUNY - Stony Brook                      | Kevin Rooney<br>631-632-6222                           | \$10,389,900           | 2010                  |
| Greenlawn Water District<br>Treatment for Volatile Organics Compounds<br>(VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist.                   | Ben Bletsch<br>H2M Group<br>631-756-8000               | \$929,800              | 2010                  |

As of December 2015



RJ Industries, Inc.  
11-3401288  
New York State S-Corporation

**Officers / Principals**

Richard Felicetta: President,  
John Doremus: Vice President,  
John Koziarz: Vice President –  
William Doremus: Secretary & Treasurer,

**Safety / Risk Engineering**

Vijay Kumar  
Phil Belfiore

**Project Management / Supervision**

Keith Olsen – Sr. Project Manager (Purchasing & Subcontract Management)  
Joshua Rogers – Project Manager  
Nicholas Felicetta – Project Manager  
Joseph Felicetta – Supervisor  
Todd Melzer – Supervisor  
Tony Etersque – Supervisor (Mechanical)

**Office / Administration**

Maryanne Hilton – Controller  
Evellyn Dellaratta- Office Manager  
Lynn Saccone – Purchasing Assistant

Union Staff includes Engineers, Carpenters, Plumbers, Steamfitters, Laborers

## 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) \_\_\_\_\_  
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 9/12/97 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 \_\_\_\_ NO x;  
If Yes, provide details.

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.

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.
  - 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 \_\_\_\_ 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 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. In the past 5 years, have you or this business, or any other affiliated 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**

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.

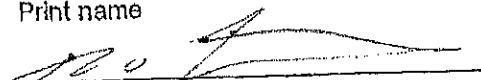
Sworn to before me this 30 day of March 2016

  
Notary Public

EVELYN DELLA RATTÀ  
Notary Public, State of New York  
01DE4854133  
Qualified in Nassau County  
Commission Expires May 27, 2018

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

Richard O. Felicetta  
Print name

  
Signature

President  
Title

3/30/2016  
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.

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 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 8/2/1997 to Present  
(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 \_\_\_\_\_ NO x;  
If Yes, provide details.

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 x  
If Yes, provide details.

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. In the past 5 years, have you or this business, or any other affiliated 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**

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, 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 30 day of March 2016

  
Notary Public


EVELYN DELLA RATTA  
Notary Public, State of New York  
01DE4854133  
Qualified in Nassau County  
Commission Expires May 27, 2018

R.J. Industries, Inc.

Name of submitting business

John C. Doremus

Print name

  
Signature

Vice Pres.

Title

313012016  
Date

**R.J. Industries, Inc.**  
75 East Bethpage Road  
P.O. Box 349  
Plainview, New York 11803-0349

Phone: (516) 845-9772  
Fax: (516) 454-1759

February 5, 2016

Nassau County  
Department of Public Works  
1194 Prospect Avenue  
Westbury, NY 11590-2723

Att: Joseph Davenport, PE

Re: Contract S3P311-07G (General Construction)  
Pump Station Repair and Mitigation  
Inwood, Doughty Blvd., Bayview Avenue, Roslyn Road Pump Stations  
M/WBE Utilization Plan

Gentlemen:


Reference is made to the above Contract and enclosed MWBE Plan.

Our MWBE Plan currently shows a utilization rate of 6.89%, which is currently below the 20% goal provided in the Contract. We are still looking at areas where we may be able to increase our MWBE participation.

Please be advised there are several areas, such as furnishing the submersible sump pumps, where we have not been able to locate certified MWBE firms. Although we are continuing to solicit, we want to reserve the right to request a waiver in the event we are not able to increase our utilization to meeting (exceed) the 20% goal.

We trust the above is in order and await your timely approval.

Very truly yours,  
R.J. Industries, Inc.



John Doremus  
Vice President

JD/ed

Enclosure

cc: Richard Felicetta  
Bill Doremus

**Minority & Women Owned Business Enterprise (MWBE) Utilization Plan & Waiver Request Form**  
(Revised 09/2014)

**SECTION 1: MUNICIPAL INFORMATION**

|  |           |                         |                              |
|--|-----------|-------------------------|------------------------------|
| Recipient/Municipality: Department of Public Works   |           | County: Nassau          |                              |
| SRF Project No.:   | GIGP No.: | Contract ID: S3P311-07G | Registration No. (NYC only): |
| Minority Business Officer:   | Email:    | Phone #:                |                              |
| Address of MBO:  |           |                         |                              |
| Signature of MBO: (Required even if Authorized Rep. is filled out)   |           |                         | Date:                        |
| <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.<br><i>Complete if applicable: MBO may authorize representative to complete &amp; submit quarterly payment reports.</i> |           |                         |                              |
| Authorized Representative:   | Title:    |                         |                              |
| Authorized Rep. Company:   | Email:    | Phone #:                |                              |
| Electronic Signature of Authorized Rep.:   |           |                         | Date:                        |
| <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.  |           |                         |                              |

**SECTION 2: PRIME CONTRACTOR / SERVICE PROVIDER INFORMATION**

|   |             |   |                             |
|---|-------------|---|-----------------------------|
| If contract is performed through an MWBE Joint Venture or Teaming Arrangement please submit the additional form found at <a href="http://www.efc.ny.gov/mwbe">www.efc.ny.gov/mwbe</a>   |             |   |                             |
| Firm Name: R.J. Industries, Inc.  |             | Contract Type: <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Other Services |                             |
| Prime Firm is Certified as: <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input checked="" type="checkbox"/> N/A <input type="checkbox"/> Other:<br>Please repeat information in the Utilization Plan below (Section 3). If dual certified, you must select either MBE or WBE. |             |   |                             |
| Address: PO BOX 349, Plainview, NY 11803  |             | Phone #: 516-845-9772 Fed. Employer ID #: 11-3401288  |                             |
| Description of Work: Pump Station Repair and Mitigation Inwood, Doughy Blvd, Bayview Ave. & Roslyn Rd. Pump Stations  |             |   |                             |
| Award Date:   | Start Date: | Completion Date:  |                             |
| Total Contract Amount: \$ 5,947,700.00  |             | MWBE GOAL Total   |                             |
| MWBE Eligible Contract Amount: \$   |             | MBE: % \$   | PROPOSED MWBE Participation |
| (MWBE Goals are applied to this amount and includes all change orders, amendments, & waivers)   |             | WBE: % \$   | WBE: 2.44% \$ 145,000.00    |
|   |             | Total: % \$   | Total: 6.89% \$ 410,000.00  |
| If waivers are requested, documentation must be attached: <input type="checkbox"/> Full Waiver (No Participation) <input type="checkbox"/> Partial Waiver (Short of the MWBE Goal)  |             |   |                             |
| <input type="checkbox"/> Specialty Equipment/Services Waiver (must be of SIGNIFICANT cost - list of equipment and cost & good faith effort documentation must be attached)  |             |   |                             |
| Electronic Signature of Contractor: <input checked="" type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and that all MWBE subcontractors will perform a commercially useful function.                            |             |   | Date: 2/5/2016              |
| Name (Please Type): John Doremus  |             |   |                             |

**Minority & Women Owned Business Enterprise (MWBE) Utilization Plan & Waiver Request Form**  
(Revised 09/2014)

**SECTION 3: UTILIZATION PLAN**

|  |  |   |  |  |                 |
|--|--|---|--|--|-----------------|
| <b>This Submittal is:</b>  |  | <input checked="" type="checkbox"/> The First/Original Utilization Plan |  | <input type="checkbox"/> Revised Utilization Plan #: |                 |
| <b>NYS Certified M/WBE Contractor &amp; Subcontractor Info</b><br>(MBO to check certifications)                              |  |   |  |  |                 |
| <b>Name:</b> LB Consulting   |  | <b>Fed. Employer ID#:</b> 06-1415556                                    |  | <b>Contract Amount:</b>                              |                 |
| <b>Address:</b> 296 Sport Hill Rd., Easton, CT 06612   |  | <b>Phone #:</b> 203-373-1195  |  | <b>MBE (\$)</b>                                      | <b>WBE (\$)</b> |
| <b>Scope of Work:</b> Scheduler  |  | <b>Email:</b> lboffa@lbconsultinginc.com                                |  | \$25,000.00  |                 |
| <b>Select Only One:</b> <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other: |  | <b>Start Date:</b>  |  |  |                 |
| <b>Full Contract Amount:</b> \$  |  | <b>Completion Date:</b>   |  |  |                 |
| <b>Name:</b> FCS Group   |  | <b>Fed. Employer ID#:</b> 37-1462733                                    |  |  |                 |
| <b>Address:</b> 57-12 Grand Ave., Maspeth, NY 11370  |  | <b>Phone #:</b> 516-599-4100  |  |  |                 |
| <b>Scope of Work:</b> Painting   |  | <b>Email:</b> nsingh@fcsnewyork.com                                     |  | \$255,000.00   |                 |
| <b>Select Only One:</b> <input checked="" type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: |  | <b>Start Date:</b>  |  |  |                 |
| <b>Full Contract Amount:</b> \$  |  | <b>Completion Date:</b>   |  |  |                 |
| <b>Name:</b> Arlan Executive Cleaning Services   |  | <b>Fed. Employer ID#:</b> 11-3649195                                    |  |  |                 |
| <b>Address:</b> 111 S Franklin Ave. Unit 216, Valley Stream, NY 11582  |  | <b>Phone #:</b> 516-451-3437  |  |  |                 |
| <b>Scope of Work:</b> Cleaning Service   |  | <b>Email:</b> ArlanExecutiveCleaning@yahoo.com                          |  | \$10,000.00  |                 |
| <b>Select Only One:</b> <input checked="" type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other: |  | <b>Start Date:</b>  |  |  |                 |
| <b>Full Contract Amount:</b> \$  |  | <b>Completion Date:</b>   |  |  |                 |
| <b>Name:</b> AMG Demolition Inc.   |  | <b>Fed. Employer ID#:</b>   |  |  |                 |
| <b>Address:</b> 400 Post Ave., Suite 403, Westbury, NY 11590   |  | <b>Phone #:</b> 631-592-2858  |  |  |                 |
| <b>Scope of Work:</b> Demolition   |  | <b>Email:</b> Joni@amg-demolition.com                                   |  | \$120,000.00   |                 |
| <b>Select Only One:</b> <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other: |  | <b>Start Date:</b>  |  |  |                 |
| <b>Full Contract Amount:</b> \$  |  | <b>Completion Date:</b>   |  |  |                 |
| <b>Name:</b>   |  | <b>Fed. Employer ID#:</b>   |  |  |                 |
| <b>Address:</b>  |  | <b>Phone #:</b>   |  |  |                 |
| <b>Scope of Work:</b>  |  | <b>Email:</b>   |  |  |                 |
| <b>Select Only One:</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:            |  | <b>Start Date:</b>  |  |  |                 |
| <b>Full Contract Amount:</b> \$  |  | <b>Completion Date:</b>   |  |  |                 |



GANNETT FLEMING ENGINEERS, P.C.  
100 Crossways Park West  
Suite 300  
Woodbury, NY 11797

Office: (516) 364-4140  
Fax: (516) 921-1565  
Internet: www.gannettfleming.com

January 26, 2016  
File # 60267

Joseph Davenport, P.E.  
Chief Sanitary Engineer/Unit Head  
Water/Wastewater Engineering Unit  
Nassau County Department of Public Works  
3340 Merrick Road, Building R, 3rd Floor  
Wantagh, New York 11793

Re: Pump Station Repair and Mitigation  
Inwood, Doughty Boulevard, Bayview Avenue & Roslyn Road Pump Stations  
Contract No. S3P311-07G

Dear Mr. Davenport:

This letter summarizes the bid results for the Pump Station Repair and Mitigation Project, Contract No.: S3P311-07G. Nassau County Department of Public Works (NCDPW) provided a bid opening summary table (Attachment 1). Bids were submitted by five contractors:

| <u>Contractor</u>            | <u>Lump Sum Bid Price</u> |
|------------------------------|---------------------------|
| Crescent Contracting Corp.   | Rejected                  |
| RJ Industries                | \$5,947,700               |
| Philip Ross Industries, Inc. | \$6,400,000               |
| Posillico Civil, Inc.        | \$7,750,000               |
| John P. Picone, Inc.         | \$7,822,000               |

Gannett Fleming's (GF) opinion of probable construction cost estimate was \$6,872,173. The low bid by RJ Industries (RJ) is 13% lower than the engineers estimate. The lowest bidder RJ submitted a responsive bid with a completed Bid Form package and provided responses to NCDPW's additional information request letter dated December 28, 2016. Bid information is summarized below.

Joseph Davenport, P.E.  
Nassau County Department of Public Works  
January 26, 2016

-2-

### **References**

GF contacted three of the references provided by RJ. The references support their claim of relevant experience with this type of work and indicated that they were satisfied with their work. The phone logs for the references are attached (Attachment 2).

### **Bid Bond**

A bid bond in the amount of 10% of the bid amount was provided. The surety on the bond was provided by Liberty Mutual Insurance Company.

### **PLA Subcontractors**

RJ listed the following subcontractors for this contract:

| <u>Work</u>   | <u>Subcontractor</u>               |
|---------------|------------------------------------|
| Electrical    | LEB                                |
| Fencing       | NA                                 |
| Demolition    | AMG Demolition                     |
| Painting      | NA                                 |
| Masonry       | Job Opportunities for Women Inc.   |
| Doors         | NA                                 |
| Pumps         | NA                                 |
| Grinders      | NA                                 |
| Gas Detection | NA                                 |
| Rebar         | CB Contracting Corp.               |
| Cleaning      | Artlan Executive Cleaning Services |
| Subcontractor | FSC Group                          |
| Subcontractor | LB Consulting                      |

### **Apprenticeship Training Program**

RJ provided documentation indicating they and their subcontractors participate in registered and approved apprenticeship training programs with the following Long Island Unions:

- Local 66 Building Laborers
- Local 138 Operating Engineers
- Local 25 Electrical Workers
- Local 200 Plumbers

Joseph Davenport, P.E.  
Nassau County Department of Public Works  
January 26, 2016



-3-

**MWBE**

RJ provided their MWBE Utilization Plan on the EPA Disadvantaged Business Enterprise (DBE) program DBE Subcontractor Utilization Form (Attachment 3). Below is a summary of the proposed DBE utilization:

| Subcontractor Name / Company Name  | Est. Dollar Amount | Current DBE Certification |
|------------------------------------|--------------------|---------------------------|
| LB Consulting                      | \$25,000           | WBE                       |
| FCS Group                          | \$255,000          | MBE                       |
| Artlan Executive Cleaning Services | \$10,000           | M/WBE                     |
| AMG Demolition Inc.                | \$120,000          | WBE                       |
| <b>TOTAL:</b>                      | <b>\$410,000</b>   |                           |

The preliminary total proposed for DBE utilization is \$410,000, or 6.9% of the total bid price. This will be revised prior to the start of construction.

**Financial**

RJ provided its most recent Financial Statement along with their responses to NCDPW's additional information request letter dated January 4, 2016. A Dunn and Bradstreet (D&B) Business Information Report was obtained and indicated the following:

| D&B Item               | Score | Comment |
|------------------------|-------|---------|
| D&B Rating             |       |         |
| D&B Paydex             |       |         |
| Credit Score Class     |       |         |
| Financial Stress Class |       |         |

**Summary**

Gannett Fleming reviewed the documentation provided by RJ and attended the Pre-Award Conference on January 12, 2016 to determine the contractor's ability and capability to perform the work. RJ indicated that they can meet the contract specifications and satisfy the project schedule within their bid price. Our review of their qualifications indicates that RJ has the necessary experience and resources to complete the work. Based on this information, we believe that Nassau County should award the work to the lowest responsive bidder, RJ. This recommendation is based on further legal and administrative review of the bid packages by Nassau County.

Please call if you have any questions or require additional information.

Joseph Davenport, P.E.  
Nassau County Department of Public Works  
January 26, 2016



-4-

Very truly yours,

GANNETT FLEMING ENGINEERS, P.C.

A handwritten signature in cursive script, appearing to read 'f. McCabe'.

Frank McCabe, P.E.  
Project Engineer

cc: T. Immerso  
C. Leal  
S. Hadjiyane



Nassau DPW B.I.D.S. - Summary of Bid Opening

S3p311-07G - General Contracting

12/22/2015

Pump Station Repair & Mitigation-Inwood, Doughy Blvd, Bayview Ave & Roslyn Rd

Bid Opening: 12/22/2015

Engineer: Tom Immerse

Phone: (516) 571-7508

| Contractor                   | Address  | Insurance                        | Payment     | Bid Amount     | Alternate Bid |
|------------------------------|--|----------------------------------|-------------|----------------|---------------|
| Crescent Contracting Corp.   | 2800 Webster Avenue Bronx, NY 10458            |                                  |             | Rejected       | \$0.00        |
| RJ Industries                | 75 East Bethpage Road Plainview, NY 11803-0349 | Liberty Mutual Insurance Comp    | 10% Amt Bid | \$5,947,700.00 | \$0.00        |
| Philip Ross Industries, Inc. | 200 Long Island Avenue Wyandanch, NY 11798     | Liberty Mutual Insurance Comp    | 10% Amt Bid | \$6,400,000.00 | \$0.00        |
| Posillico Civil, Inc.        | 1750 New Highway Farmingdale, NY 11735         | Liberty Mutual Insurance Comp    | 10% Amt Bid | \$7,750,000.00 | \$0.00        |
| John P. Picone Inc.          | 31 Garden Lane, PO Box 913 Lawrence, NY 11559  | National Liability & Fire Insura | 10% Amt Bid | \$7,822,000.00 | \$0.00        |

The above is a review of the bids and subsequent list of all the bids that were read aloud at the public bid opening. Listed bids may be subsequently withdrawn or disqualified. The list does not reflect the Department's determination of the lowest responsible bidder.

**COUNTY OF NASSAU**  
**DEPARTMENT OF PUBLIC WORKS**  
**Inter-Departmental Memo**

**TO:** Civil Service Employees Association, Nassau Local 830  
Att: Ronald Gurrieri, Executive Vice President

**FROM:** Department of Public Works


**DATE:** December 3, 2015

**SUBJECT:** CSEA Notification of a Proposed DPW Contract  
Pump Station Mitigation – General Construction  
Proposed Contract No. S3P311-07G

The following notification is to comply with the spirit and intent of Section 32 of the County/CSEA contract. It should not be implied that the proposed DPW contract/agreement is for the work which has "historically and exclusively been performed by bargaining unit members".

1. DPW plans to recommend a contract/agreement for the following services:  
General construction for repairs/replacement work resulting from Hurricane Sandy, as well as requirements for Code/OSHA compliance items and flood mitigation measures for four (4) wastewater pump stations.
2. The work involves the following:  
Scope of Work: General construction contract for the replacement of flood damaged process, mechanical and electrical equipment; elevating critical equipment above the 500 year base flood elevation (BFE); flood proofing structures to prevent damage from potential future storm events.
3. An estimate of the cost is: \$6,800,000.00
4. An estimate of the duration is: Eighteen (18) months

Should you wish to propose an alternative to the proposed contract/agreement, please respond within ten (10) days to: Department of Public Works, Att: Kenneth G. Arnold, Assistant to Commissioner, telephone 1-9607, fax 1-9657.

  
Kenneth G. Arnold  
Assistant to Commissioner

KGA:WSN:JLD:rp

- c: Christopher Fusco, Director, Office of Labor Relations  
Brian Libert, Deputy Director, Office of Labor Relations  
Keith Cromwell, Office of Labor Relations  
William S. Nimmo, Deputy Commissioner  
Joseph L. Davenport, Unit Head, Water/Wastewater Engineering Unit  
Patricia Kivo, Unit Head, Human Resources Unit  
Thomas A. Immerso, Sanitary Engineer II  
Loretta V. Dionisio, Hydrogeologist II  
Jonathan Lesman, Management Analyst II



BID BOND

FORM OF BID BOND

**IMPORTANT** The bidder shall instruct the Surety Company to USE THIS FORM PROVIDED as the use of ANY OTHER FORM may cause rejection of the bid.

KNOW ALL MEN BY THESE PRESENTS,  
that we, the undersigned R.J. Industries, Inc.  
as Principal; and Liberty Mutual Insurance Company as surety, who  
is Licensed to do business in the State of New York, are hereby firmly  
bound unto the County of Nassau in the penal sum of  
Ten Percent of Proposal Price dollars (\$ 10% of P.P. ) for the payment  
of which, well and truly to be made, we hereby jointly and severally  
bind ourselves, our heirs, executors, administrators, successors and  
assigns.

Signed, this 16th day of December, 2015

The conditions of the above obligation is such that whereas the  
Principal has submitted to the County of Nassau a certain Bid attached  
hereto and hereby made a part hereof, to enter into a contract in  
writing for the work under Contract No. S3P311-07G for the  
Pump Station Repair and Mitigation, Inwood, Doughty Boulevard, Bayview Avenue & Roslyn Road  
Pump Stations, Capital Project S3P311-07G, Nassau County, New York.  
Contract No.: S3P311-07G - General Construction.

NOW, THEREFORE, the conditions of this obligation are such that if the  
Principal shall not withdraw said proposal except by mutual consent of  
the County of Nassau within a period of forty-five (45) days after the  
opening of bids and in the event of acceptance of the Principal's  
proposal, if the Principal shall,

- a. when notified by the County, execute all necessary counterparts of  
the contract as set forth in the contract documents in accordance  
with the proposal as accepted; and
- b. furnish bonds and other security as specified in the contract  
documents for the faithful performance and proper fulfillment of such  
contract, which bonds or other security shall be satisfactory in all  
respects to the County; and
- c. in all respects, comply with the provisions set forth in the  
invitation to bid; or if the County of Nassau shall reject the  
aforesaid proposal for a reason other than the Principal's failure  
to satisfy the County that he has the necessary skill, experience  
and liquid assets required for the contract as stated in the  
documents aforesaid, then this obligation shall be null and void;  
otherwise to remain in full force and effect.

NO TEXT ON THIS PAGE

Page 2

Provided, however, that this bond is subject to the following additional conditions and limitations.

- a. In the event that the Principal fails to submit a financial statement when required by the County or in the event that an examination of the Principal indicates to the County that the Principal does not meet the financial requirements required by the County, the undersigned will, upon demand, pay to the County of Nassau, as liquidated damages for the Principal's failure to meet such requirements, a sum equal to the amount that would have been required by a certified check if the same were delivered in accordance with the provisions of the contract documents and specifications herein stated.
- b. In case the Principal shall default in the performance of any provision the undersigned will upon demand pay to the County of Nassau the full amount of the damages sustained by the County of Nassau by reason of such default, except however, it is expressly understood and agreed that the liability of the surety for any and all claims hereunder shall in no event exceed the amount of this obligation as herein stated.

The Surety, for value received, hereby stipulates and agrees that the obligation of said Surety and its bond shall be in no way impaired or affected by any extension of time within which the County of Nassau may accept such Bid; and said Surety does hereby waive notice of any such extension.

NO TEXT ON THIS PAGE

Page 4

IN WITNESS WHEREOF, the Principal and the Surety have hereunto set their hands and seals, and such of them as are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

R.J. Industries, Inc.

75 East Bethpage Road, P.O. Box 349, Plainview, NY 11803

Contractor

by

William S. Doremus  
Secretary - The Surety

(L.S.)

(Corporate seal of Contractor)

Title if a corporation

by

(L.S.)

Title

by

(L.S.)

Title

Liberty Mutual Insurance Company  
175 Berkeley Street, Boston, MA 02116

Surety

by

Susan Lupski  
Title of Officer

(L.S.)

Susan Lupski, Attorney-In-Fact

Witness:

~~ADJUTANT~~

Desiree Cardlin  
~~TITLE XXXXXXXXXXXX~~

(L.S.)

Desiree Cardlin

(Corporate seal of Surety)

NO TEXT ON THIS PAGE

Page 6



(Acknowledgment by Contractor if a corporation)

STATE OF New York )

ss.:  
COUNTY OF Nassau )

On this 17<sup>th</sup> day of December, 2015, before me personally came William J. Doremus to me known, who, being by me duly sworn, did depose and say for himself, that he resides in [REDACTED] that he is the Sec-Treasurer of the R.J. Industries, Inc. the corporation described in, and which executed the foregoing instrument; that he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation, and that he signed his name thereto by like order.

Maryanne Hilton  
Notary Public  
MARYANNE HILTON  
Notary Public, State of New York  
No. 01H16213068  
Qualified in Nassau County  
Commission Expires November 02, 2017

(Acknowledgment by Contractor if a partnership)

STATE OF \_\_\_\_\_ )

ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_ to me known and known to me to be a member of the firm described in and which executed the foregoing bond or obligation, and he acknowledged to me that he subscribed the name of said firm thereto on behalf of said firm for the purpose therein mentioned.

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

(Acknowledgment by Contractor if an individual.)

STATE OF \_\_\_\_\_ )

ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_ to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged that he executed the same.

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

NO TEXT ON THIS PAGE

Page 8

(Acknowledgment by Surety Company)

STATE OF New York )

ss.:  
COUNTY OF Nassau )

On this 16th day of December, 2015, before me personally came Susan Lupski to me Known, who being by me duly sworn, did depose and say that he resides in [REDACTED]

that he is the Attorney-In-Fact of the Liberty Mutual Insurance Company, the corporation described in and which executed the within instrument; that he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by the order of the Board of Directors of said corporation, and that he signed his name thereto by like order; and that the liabilities of said company do not exceed its assets as ascertained in the manner provided by the laws of the State of New York, and the said Dana Granice further said that he is acquainted with Susan Lupski and knows him to be the Attorney-In-Fact of said company; that the signature of the said Susan Lupski subscribed to the within instrument is in the genuine handwriting of the said Susan Lupski and was subscribed thereto by like order of the Board of Directors, and in the presence of him, the said Dana Granice.

DANA GRANICE  
Notary Public, State of New York  
No. 01GR6099128  
Qualified in Suffolk County  
Commission Expires 9/22/2019

  
Notary Public

NO TEXT ON THIS PAGE

Page 10

**POWER OF ATTORNEY**

**ATTENTION:** Insert the "Power of Attorney" after this page in with your bid submission.

THIS POWER OF ATTORNEY IS NOT VALID UNLESS IT IS PRINTED ON RED BACKGROUND.  
This Power of Attorney limits the acts of those named herein, and they have no authority to bind the Company except in the manner and to the extent herein stated.  
Certificate No. [REDACTED]

American Fire and Casualty Company  
The Ohio Casualty Insurance Company

Liberty Mutual Insurance Company  
West American Insurance Company

## POWER OF ATTORNEY

KNOWN ALL PERSONS BY THESE PRESENTS: That American Fire & Casualty Company and The Ohio Casualty Insurance Company are corporations duly organized under the laws of the State of New Hampshire, that Liberty Mutual Insurance Company is a corporation duly organized under the laws of the State of Massachusetts, and West American Insurance Company is a corporation duly organized under the laws of the State of Indiana (herein collectively called the "Companies"), pursuant to and by authority herein set forth, does hereby name, constitute and appoint, Camille Mattland; Colette B. Chisholm; Desiree Cardin; George O. Brawster; Gerard S. Macholz; Lee Fernick; Mia Woo-Warren; Nelly Renchlwirt; Peter F. Jones; Rita Sacistano; Robert T. Pearson; Susan Lipski; Thomas Bean; Vincent A. Walsh

all of the city of Uniondale, state of NY, each individually if there be more than one named, its true and lawful attorney-in-fact to make, execute, seal, acknowledge and deliver, for and on its behalf as surety and as its act and deed, any and all undertakings, bonds, recognizances and other surety obligations, in pursuance of these presents and shall be as binding upon the Companies as if they have been duly signed by the president and attested by the secretary of the Companies in their own proper persons.

IN WITNESS WHEREOF, this Power of Attorney has been subscribed by an authorized officer or official of the Companies and the corporate seals of the Companies have been affixed thereto this 6th day of July, 2015



American Fire and Casualty Company  
The Ohio Casualty Insurance Company  
Liberty Mutual Insurance Company  
West American Insurance Company

By: David M. Carey  
David M. Carey, Assistant Secretary

STATE OF PENNSYLVANIA  
COUNTY OF MONTGOMERY

On this 6th day of July, 2015, before me personally appeared David M. Carey, who acknowledged himself to be the Assistant Secretary of American Fire and Casualty Company, Liberty Mutual Insurance Company, The Ohio Casualty Insurance Company, and West American Insurance Company, and that he, as such, being authorized so to do, execute the foregoing instrument for the purposes therein contained by signing on behalf of the corporations by himself as a duly authorized officer.

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed my notarial seal at Plymouth Meeting, Pennsylvania, on the day and year first above written.



COMMONWEALTH OF PENNSYLVANIA  
Notarial Seal  
Teresa Pastella, Notary Public  
Plymouth Twp., Montgomery County  
My Commission Expires March 28, 2017  
Member, Pennsylvania Association of Notaries

By: Teresa Pastella  
Teresa Pastella, Notary Public

This Power of Attorney is made and executed pursuant to and by authority of the following By-laws and Authorizations of American Fire and Casualty Company, The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company which Resolutions are now in full force and effect reading as follows:

**ARTICLE IV - OFFICERS** - Section 12. Power of Attorney. Any officer or other official of the Corporation authorized for that purpose in writing by the Chairman or the President, and subject to such limitation as the Chairman or the President may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Corporation to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact, subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Corporation by their signature and execution of any such instruments and to attach thereto the seal of the Corporation. When so executed, such instruments shall be as binding as if signed by the President and attested to by the Secretary. Any power or authority granted to any representative or attorney-in-fact under the provisions of this article may be revoked at any time by the Board, the Chairman, the President or by the officer or officers granting such power or authority.

**ARTICLE XIII - Execution of Contracts** - SECTION 8. Surety Bonds and Undertakings. Any officer of the Company authorized for that purpose in writing by the chairman of the president, and subject to such limitations as the chairman or the president may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Company by their signature and execution of any such instruments and to attach thereto the seal of the Company. When so executed such instruments shall be as binding as if signed by the president and attested by the secretary.

**Certificate of Designation** - The President of the Company, acting pursuant to the Bylaws of the Company, authorizes David M. Carey, Assistant Secretary to appoint such attorneys-in-fact as may be necessary to act on behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations.

**Authorization** - By unanimous consent of the Company's Board of Directors, the Company consents that facsimile or mechanically reproduced signature of any assistant secretary of the Company, wherever appearing upon a certified copy of any power of attorney issued by the Company in connection with surety bonds, shall be valid and binding upon the Company with the same force and effect as though manually affixed.

I, Gregory W. Davenport, the undersigned, Assistant Secretary, of American Fire and Casualty Company, The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company do hereby certify that the original power of attorney of which the foregoing is a full, true and correct copy of the Power of Attorney executed by said Companies, is in full force and effect and has not been revoked.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the seals of said Companies this DEC 16 2015 day of 20



By: Gregory W. Davenport  
Gregory W. Davenport, Assistant Secretary

**FINANCIAL STATEMENT**

**ATTENTION:** Insert the "Financial Statement" after this page in with your bid submission.



LIBERTY MUTUAL INSURANCE COMPANY  
FINANCIAL STATEMENT — DECEMBER 31, 2014

| Assets  | Liabilities  |
|---|--|
| Cash and Bank Deposits.....                   | Unearned Premiums.....                                       |
| *Bonds — U.S Government.....                  | Reserve for Claims and Claims Expense.....                   |
| *Other Bonds.....                             | Funds Held Under Reinsurance Treaties.....                   |
| *Stocks.....                                  | Reserve for Dividends to Policyholders.....                  |
| Real Estate.....                              | Additional Statutory Reserve.....                            |
| Agents' Balances or Uncollected Premiums..... | Reserve for Commissions, Taxes and<br>Other Liabilities..... |
| Accrued Interest and Rents.....               | Total.....   |
| Other Admitted Assets.....                    | Special Surplus Funds.....                                   |
|   | Capital Stock.....   |
|   | Paid in Surplus.....   |
|   | Unassigned Surplus.....                                      |
|   | Surplus to Policyholders.....                                |
| Total Admitted Assets.....                    | Total Liabilities and Surplus.....                           |



\* Bonds are stated at amortized or investment value; Stocks at Association Market Values.  
The foregoing financial information is taken from Liberty Mutual Insurance Company's financial statement filed with the state of Massachusetts Department of Insurance.

I, TIM MIKOLAJEWSKI, Assistant Secretary of Liberty Mutual Insurance Company, do hereby certify that the foregoing is a true, and correct statement of the Assets and Liabilities of said Corporation, as of December 31, 2014, to the best of my knowledge and belief.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of said Corporation at Seattle, Washington, this 20th day of March, 2015.

*T. Mikolajewski*

Assistant Secretary



**CERTIFICATE OF SOLVENCY**

**ATTENTION:** Insert the "Certificate of Solvency" after this page in with your bid submission.

CERTIFICATE OF SOLVENCY UNDER SECTION 1111 OF THE NEW YORK  
INSURANCE LAW

STATE OF NEW YORK  
DEPARTMENT OF FINANCIAL SERVICES

It is hereby certified that

**LIBERTY MUTUAL INSURANCE COMPANY**

Of Boston, Massachusetts

a corporation organized under the laws of the State of Massachusetts and duly authorized to transact the business of insurance in this State, is qualified to become surety or guarantor on all bonds, undertakings, recognizances, guaranties and other obligations required or permitted by law; and that the said corporation is possessed of a capital and surplus including gross paid-in and contributed surplus and unassigned funds (surplus) aggregating the sum of [REDACTED] (Capital [REDACTED]) as is shown by its sworn financial statement for the Year-End as of December 31, 2014, on file in this Department, prior to audit.

The said corporation cannot lawfully expose itself to loss on any one risk or hazard to an amount exceeding 10% of its surplus to policyholders, unless it shall be protected in excess of that amount in the manner provided in Section 4118 of the Insurance Law of this State.



In Witness Whereof, I have here-  
unto set my hand and affixed the  
official seal of this Department  
at the City of Albany, this  
17<sup>th</sup> day of March, 2015

Benjamin M. Lawsby  
Superintendent

By *Jacqueline Catalfamo*

Jacqueline Catalfamo  
Special Deputy Superintendent

[www.dfs.ny.gov](http://www.dfs.ny.gov)



# NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS

## WICKS EXEMPT LIST OF SUBCONTRACTORS

NOTE: This form is required for "Single-Contract" projects exempt from the Wicks law. Failure to submit this form correctly may render the bidder non responsive.

CONTRACT NO. S3 P311-076

|  |  |                              |   |
|--|--|------------------------------|---|
| Contractor's Name and Address<br><u>R.J. Industries, Inc.</u><br><u>75 East Bethpage Road.</u><br><u>Plainville, NY 11803</u><br>Federal ID No.: <u>11-3401288</u> | Project Description (Project Title, Facility Name and Address):<br><u>Pump Station Repair and Modification</u><br><u>Inwood, Doughty Blvd., Bayview Avenue</u><br><u>&amp; Roslin Road Pump Stations</u> | Bid Date:<br><u>12/22/15</u> | Total Contract Amt:<br><u>\$5,947,700</u> |
|--|--|------------------------------|---|

Indicate ANY work to be self-performed by the contractor in the following categories (check all that apply):

- ☒ Plumbing and Gas Fitting  
☒ Steam Heating, Hot Water Heating, Ventilating and AC Apparatus  
☐ Electric Wiring and Standard Illuminating Fixtures

If ALL contract work is to be self-performed, i.e. no subcontractors will be used, please check this box ☐ skip to bottom of form, and sign it as required.

| Check ( ) only one.   |                          |  |  | General Description of Work | Subcontractor's Contract Amt. |
|---|--------------------------|--|--|-----------------------------|-------------------------------|
| Subcontractor's Name, Address and Federal ID No.                | Plumbing and Gas Fitting | Steam Heating, Hot Water Heating, Ventilating and AC Apparatus | Electric Wiring and Standard Illuminating Fixtures |                             |                               |
| <u>LEB Electric</u><br><u>Corporation, NY</u><br>Federal ID No. |                          |  | <u>\$815,000</u>                                   | <u>Electrical</u>           | <u>815,000</u>                |
| Federal ID No.  |                          |  |  |                             |                               |
| Federal ID No.  |                          |  |  |                             |                               |

This form must be filled out completely and legibly, signed by a company authorized representative and included in a separate, sealed envelope within the bid envelope. Use and additional page if needed.

Failure to complete this form accurately and in its entirety may result in a non responsive bid determination.

Company Authorized Signature: [Signature] Title: Richard O. Feliceffa Date: 12/22/15  
President

PROPOSAL

COUNTY OF NASSAU  
STATE OF NEW YORK

PROPOSAL

FOR

PUMP STATION REPAIR AND MITIGATION  
INWOOD, DOUGHTY BLVD., BAYVIEW AVE.  
& ROSLYN ROAD PUMP STATIONS

Contract No. S3P311-07G

GENERAL CONSTRUCTION

TO THE COUNTY OF NASSAU:

Pursuant to and in compliance with your Notice to Bidders and the Instructions to Bidders relating thereto, the undersigned hereby proposes to furnish all plant, labor, materials, supplies, equipment and other facilities necessary or proper for or incidental to the above Contract, as required by and in strict accordance with the Plans and Specifications for the amount named in the Proposal hereinafter described.

In making this Proposal the Bidder hereby declares that all provisions of the Addenda which have been issued by the County of Nassau have been complied with in preparing his Bids.

Name of Bidder: R. J. Industries, Inc.

Bidder: a SUBCHAPTER S corp  
(Individual, Firm or Corporation, as case may be)

Bidder's Business Address: 75 East Beth Page Road ; Po Box 349  
Plainville, NY 11803

Telephone: 516-845-9772 Date of Bid: Dec. 22, 2015

Fax: 516-454-1759 E-Mail: bid@rjll.net

PROPOSAL

(If Bidder is an Individual, fill in the following blanks:)

Name of Individual: \_\_\_\_\_

Residence of Individual: \_\_\_\_\_

(If Bidder is a Firm, fill in the following blanks:)

Name and Residence of Partner: \_\_\_\_\_

Name and Residence of Partner: \_\_\_\_\_

Name and Residence of Partner: \_\_\_\_\_

(If Bidder is a Corporation, fill in the following blanks:)

Organized under the laws of the State of: New York

Name and Residence of President: Richard O. Felicetta

Name and Residence of Vice-President: John C. Doremus

Name and Residence of <sup>Vice Pres.</sup> Secretary: John E. Kozlitz

Name and Residence of <sup>Secretary &</sup> Treasurer: William J. Doremus

## PROPOSAL

### GENERAL

#### THE BIDDER AFFIRMS AND DECLARES:

1. That the above Bidder is of lawful age and the only one interested in this bid; and that no other person, firm or corporation, except those herein named, has any interest in this bid or in the Contract proposed to be entered into.
2. That this bid is made without any understanding, agreement or in connection with any other person, firm or corporation, making a bid for the same Work, and is in all respects fair and without collusion or fraud.
3. That said Bidder is not in arrears to the County of Nassau upon debt or contract, and is not a defaulter, as surety contractor or otherwise.
4. That no officer or employee of the County of Nassau, or person whose salary is payable in whole or in part from the County Treasury is, shall be, or become interested directly, or indirectly as a contracting party, partner, stockholder, surety or otherwise, in this bid, or in the performance of the Contract, or in the supplies, materials, equipment and work or labor to which it relates, or in any portion of the profits thereof.
5. That he has carefully examined the Site of the Work and that, from his own personal investigations and research, has satisfied himself as to the nature and location of the work, the character, quality and quantity of existing materials, all difficulties likely to be encountered, the kind and extent of labor, equipment, other facilities needed for the performance of the Work, the general and local conditions, and all other items which may, in any way, affect the Work or its performance.
6. The Bidder also declares that he has carefully examined and fully understands all the component parts of this Contract, that the Work can be performed as called for by the Contract, that he will execute the Contract and will completely perform it in strict accordance with its terms for the following prices.
7. That the Bidder, for allowance items, will make payment to the parties designated by the County when directed by the County in the amount certified by the Engineer for the purposes indicated. It is also understood and agreed that the Final Contract Payment for allowance items will be based upon such actual payments, and not on the approximate amount cited herein.
8. Where the work performed under this Contract involves a trade or occupation licensed in the County of Nassau by the Towns of Hempstead, Oyster Bay or North Hempstead or by the Cities of Glen Cove or Long Beach, the contractor shall be required to have such a license.

## PROPOSAL

### I. Rejection of Bids.

#### A. The Commissioner may recommend a reject of bid if:

1. The Bidder fails to furnish any of the information required by the bid documents; or if
2. The bidder misstates or conceals any material fact in the bid, or in the sworn written statement; or if
3. The bid does not strictly conform to law or the requirements of this contract; or if
4. The bid is conditional; or if
5. The bid on Unit Price Contracts, in the opinion of the Commissioner, contains unbalanced bid prices, where the unit price proposed for any item exceeds the estimated cost by more than fifteen percent (15%), or if any lump sum item bid exceeds the estimated cost by more than twenty-five percent (25%); or if
6. A determination that the bidder is not responsible is made in accordance with law.

#### B. Rejection of all bids and waiver of informalities.

The Commissioner, however, reserves the right to recommend / to reject all bids whenever he deems it in the best interest of the County, and also the right to waive any informalities in a bid.

### II. Unit Price Contracts, Comparison of Bids.

Bids on Unit Price Contracts will be compared on the basis of a total bid price, arrived at by taking the sum of the Approximate Quantities of such item multiplied by the corresponding Unit Price, and including any Lump Sum Bid on individual items, in accordance with the items set forth in the bid proposal.

Bidders are warned that the Approximate Quantities of the various items of work and material is estimated only, and is given solely to be used as a uniform basis for the comparison of bids. The quantities actually required to complete the contract work may be more or less than estimated.

### III. Lump Sum Contracts, Comparison of Bids.

Bids on lump Sum Contracts will be compared on the basis of the Lump Sum Price bid adjusted for alternate prices bid, if any.

### IV. Apprenticeship Training Program

For all contracts in excess of \$500,000 attach here verification letter regarding your firm's having an approved State of New York Apprenticeship Training Program.

# PROPOSAL

TO BE COMPLETED BY CONTRACTOR SUBMITTING  
A BID ON GENERAL CONSTRUCTION  
CONTRACT NO. S3P311-07G

| ITEM NO. | APPROXIMATE QUANTITIES | ITEMS WITH UNIT PRICE WRITTEN IN WORDS   | UNIT BID PRICE |       | AMOUNT BID PRICE |       |
|----------|------------------------|--|----------------|-------|------------------|-------|
|          |                        |  | DOLLARS        | CENTS | DOLLARS          | CENTS |
| G-LS-1   | Lump Sum               | Base Bid for Base Bid for furnishing all Labor, Materials and Equipment required for all Construction work at Inwood, Dougherty Blvd., Bayview Ave. & Roslyn Road Pump Stations as specified and shown on the drawings, complete and ready for operation.<br><i>Five Million, six hundred and forty Seven Thousand, Seven hundred dollars + NO</i> | N/A            | N/A   | \$5,647,700      | 00    |
| G-A-1    | Allowance              | For furnishing all labor, materials, equipment and incidentals for Unforeseen Hazardous Materials as directed by the County. (Section 01020).<br>One Hundred Thousand  | N/A            | N/A   | \$100,000        | 00    |
| G-A-2    | Allowance              | For furnishing all labor, materials, equipment and incidentals for miscellaneous additional work to the Inwood Peak Flow Pump Station. (Section 01020)<br>Fifty Thousand   | N/A            | N/A   | \$50,000         | 00    |



PROPOSAL

TO BE COMPLETED BY CONTRACTOR SUBMITTING  
A BID ON GENERAL CONSTRUCTION  
CONTRACT NO. S3P311-07G

| G-A-3 | Allowance | For furnishing all labor, materials, equipment and incidentals for miscellaneous additional work as directed by the County. (Section 01020) |       |     |           |
|-------|-----------|---|-------|-----|-----------|
|       |           | One Hundred and Fifty Thousand  | No    | N/A | \$150,000 |
|       |           | DOLLARS   | CENTS |     | 00        |

TOTAL BID (Bid Item No's G-LS-1 thru G-A-3 inclusive): \$ 5,947,700.-

TOTAL BID (Bid Item No's G-LS-1 thru G-A-3 inclusive): MUST BE WRITTEN IN WORDS

Five million, nine hundred and forty seven thousand, seven hundred  
DOLLARS

00  
CENTS

ALLOWANCES: It is expressly understood and agreed that the total Bid presented in this Proposal is the basis for establishing the amount of the Bid Security and includes the following allowances:

1. Item No. G-A-1: An allowance of \$100,000 for costs associated with Remedial Work for Unforeseen Hazardous Material.
2. Item No. G-A-2: An allowance of \$50,000 for additional work associated with the Peak Flow Pump Station at Inwood.
3. Item No. G-A-2: An allowance of \$150,000 for Miscellaneous Additional Work.

All in accordance with the requirements of Division 1, Special Conditions; Section 01010, Summary of Work; Section 01020, Allowances; and Section 01200 - Measurement and Payment.

Final Contract Payment for allowance items shall be based upon actual payments, and not on the approximate amounts cited herein.

DETERMINATION OF LOW BID: Determination of low Bid will be made by comparing the total Bid which shall include the lump sum Base Bid price, unit price totals and allowances.

MAJOR EQUIPMENT ITEMS: The Bidder shall fill the name and address of the proposed system suppliers for the major equipment items tabulated hereinafter. It is expressly understood that the furnishing of this information will not relieve the Bidder of any requirements of the Contract Documents and failure to fill out properly is grounds for rejection.

| <u>Specification Number</u> | <u>Description</u>                    | <u>Manufacturer and/or Supplier</u>                           |
|-----------------------------|---------------------------------------|---|
| 11116                       | Submersible Pumps                     | G.A. Fleet, Metrolab, Berner Systems, Koester or equal        |
| 11334                       | Grinders                              | JWC/Jace, Franklin Miller/Randall or Equal                    |
| 13620                       | Gas Detection System                  | Heinen or Equal   |
| 15100                       | Valves<br>Plug Valves<br>Check Valves | Dezwick, GA Industries, Metrolab or Equal                     |
| 13220                       | Automatic Tank Gauge (ATG) Panel      | Winters West BNS/Veeva/Root                                   |
| 13851                       | Fire Alarm System                     | Simplex or Equal  |
| 15866                       | Odor Control Unit                     | Heinen or Equal   |
| 16425                       | Variable Frequency Controllers        | Square D, GE, OCB/Metrolab, PCS, G.A. Fleet, Koester or equal |
|                             |                                       |   |

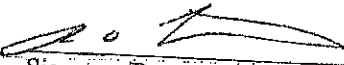
### IRAN DIVESTMENT ACT - CERTIFICATION

Pursuant to New York State Finance Law §165-a, Iran Divestment Act of 2012, the Office of General Services is required to post on its web site <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> a list of persons who have been determined to engage in investment activities in Iran ("the List"), as defined in that Act. Under Public Authorities Law § 2879-c, Iranian Energy Sector Divestment, the Authority, may not enter into or award a Contract unless it obtains a certification from a Bidder, who shall check the box and make the certification in Subparagraph a, below, that they are not on the List. If that certification cannot be made, the Authority may consider entering into a Contract, on a case by case basis if the Bidder checks the box and makes the certification in Subparagraph b, below, that their Iran investment is ceasing.

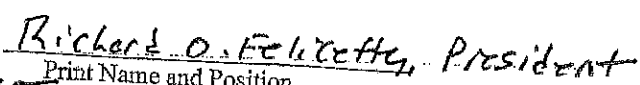
For purposes of this provision, a person engages in investment activities in Iran if: (A) the person provides goods or services of twenty million dollars or more in the energy sector of Iran, including a person that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or (B) the person is a financial institution that extends twenty million dollars or more in credit to another person, for forty-five days or more, if that person will use the credit to provide goods or services in the energy sector in Iran.

The Certification is as follows:

- ☒ a. **Certification that the Bidder is not on the List:** Each person, where person means natural person, corporation, company, limited liability company, business association, partnership, society, trust, or any other nongovernmental entity, organization, or group, and each person signing on behalf of any other party, certifies, and in the case of a joint bid or proposal or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law, or,
- ☐ b. **Certification that the Bidder's investment in Iran is ceasing:** The person cannot make the certification in Subparagraph a, above, but asks the Authority to consider them for award of the Contract by certifying, under penalty of perjury, that the person's investment activities in Iran were made before April 12, 2012; the person's investment activities in Iran have not been expanded or renewed after April 12, 2012; and the person has adopted, publicized and is implementing a formal plan to cease its investment activities in Iran and to refrain from engaging in any new investments in Iran.

  
Signature/Date

Dec. 22, 2015

  
Print Name and Position

## MacBride Fair Employment Principles

### NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MACBRIDE FAIR EMPLOYMENT PRINCIPLES

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either: (answer yes or no to one or both of the following, as applicable),

(1) have business operations in Northern Ireland,

Yes \_\_\_ No X

If yes:

(2) shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of their compliance with such Principles.

Yes \_\_\_ No \_\_\_

  
(Contractor's Signature)

Richard O. Felicitta,  
President

R.J. Industries, Inc.  
(Name of Business)

GENERAL CONSTRUCTION

PROPOSAL: For all work in accordance with the drawings and specifications:

Bidder: R.J. Industries, Inc.  
(Individual, Firm or Corporation, as case may be)

Individual's Social Security No.: \_\_\_\_\_

Federal ID No: 11-340 1288

Municipal License ID Number: \_\_\_\_\_

Municipal Licensing Agency: \_\_\_\_\_

By: [Signature] Date: Dec. 22, 2015  
(Signature of Individual, Partner or Corporate Officer)

(Print): Richard O. Felixette Title: President

WHERE BIDDER IS A CORPORATION, ADD

ATTEST: [Signature]  
Secretary  
William J. Doremus.

(CORPORATE)  
(SEAL)

GENERAL CONSTRUCTION

Note: The Bids shall be sworn to by the person signing them, in one of the following forms:

(Form of Affidavit where Bidder is an Individual)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

\_\_\_\_\_. Being duly sworn, deposes and says:  
That he is the person described in and who executed the foregoing Bid and that the several matters therein  
stated are in all respects true.

Subscribed and sworn to before me

This \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

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

(Form of Affidavit where Bidder is a Firm)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

\_\_\_\_\_. Being duly sworn, deposes and says:  
That he is a member of \_\_\_\_\_, the firm described in and which  
executed the foregoing Bid; that he duly subscribed the name of the firm thereunto on behalf of the firm; and  
that the several matters therein stated are in all respects true.

Subscribed and sworn to before me

This \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

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

GENERAL CONSTRUCTION

(Form of Affidavit where Bidder is a Corporation)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Richard O. Felicetta

That he resides at \_\_\_\_\_

Being duly sworn, deposes and says:

that he is the \_\_\_\_\_

President of the corporation described in and which executed the foregoing instrument; that he knows the seal of said corporation; that the seal affixed to the said instrument is such corporate seal and was affixed by order of the Board of Directors of said corporation; that he affixed his name thereto by like order; and that he has knowledge of the several matters therein stated and they are in all respects true.

Subscribed and sworn to before me

This 22<sup>nd</sup> day of December 20 15

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



## COUNTY OF NASSAU

## CONSULTANT'S, CONTRACTOR'S AND VENDOR'S DISCLOSURE FORM

1. Name of the Entity: R.J. Industries, Inc.  
Address: 75 East Bethpage Road; PO Box 349  
City, State and Zip Code: Plainview, NY 11803
2. Entity's Vendor Identification Number: 11-3401288
3. Type of Business: Public Corp Partnership Joint Venture  
Ltd. Liability Co Closely Held Corp sub s-corp Other (specify)

Richard O. Felicetta, President

John C. Doremus, Vice President

John E. Koziarz, Vice President

William J. Doremus, Secretary-Treasurer

5. List names and addresses of all shareholders, members, or partners of the firm. If the shareholder is not an individual, list the individual shareholders/partners/members. If a Publicly held Corporation include a copy of the 10K in lieu of completing this section.

see response to question #4.

6. List all affiliated and related companies and their relationship to the firm entered on line 1. above (if none, enter "None"). Attach a separate disclosure form for each affiliated or subsidiary company that may take part in the performance of this contract. Such disclosure shall be updated to include affiliated or subsidiary companies not previously disclosed that participate in the performance of the contract.

R.J.I. Mechanical, Inc. 18-15 129th Street; College Point, NY 11356

affiliate of R.J. Industries, Inc.

RJ/Scalamandre, JV 75 East Bethpage Road; Plainview, NY 11803

a joint venture of RJ Industries, Inc. and Peter Scalamandre and Sons Corp.

BSRJ A T/V 75 East Bethpage Road; Plainview, NY 11803

a joint venture of RJ Industries, Inc., Peter Scalamandre and Sons, Corp and Bana Electric Corp.

None of these firms are scheduled to work on this contract (SS3P344-07G) at this time.

7. List all lobbyists whose services were utilized at any stage in this matter (i.e., pre-bid, bid, post-bid, etc.). The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements, or to otherwise engage in lobbying as the term is defined herein. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

(a) Name, title, business address and telephone number of lobbyist(s):

none

Page 3 of 4

(b) Describe lobbying activity of each lobbyist. See page 4 of 4 for a complete description of lobbying activities.

N/A

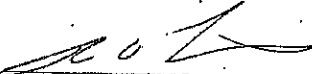
(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

N/A

8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Dated: 12/22/15

Signed: 

Print Name: Richard O. Felicetta

Title: President

Page 4 of 4:

The term lobbying shall mean any attempt to influence: any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including by not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

EXECUTIVE ORDER NO. 2 - 2015

EXECUTIVE ORDER PURSUANT TO SECTION 203 OF THE  
COUNTY GOVERNMENT LAW OF NASSAU COUNTY TO FURTHER  
DISCLOSURE BY THOSE DOING BUSINESS WITH NASSAU  
COUNTY

WHEREAS, pursuant to subdivision 1 of section 203 of the Nassau County Charter, the County Executive is responsible for the administration of all departments, offices and functions of the county government; and

WHEREAS, the County Executive, in furtherance of his duties pursuant to subdivision 1 of section 203, is committed to ensuring transparency and openness with respect to the administration of governmental functions; NOW, THEREFORE BE IT

ORDERED, every lobbyist, as defined on the attached Lobbyist Registration and Disclosure Form (hereinafter "Lobbyist Form"), shall annually file the Lobbyist Form with the County Attorney and with the Clerk of the Nassau County Legislature for each calendar year, provided, however, that the filing of such statement of registration shall not be required of any lobbyist who in any year does not earn or incur an amount in excess of one thousand dollars reportable compensation and expenses for the purposes of lobbying, or is an officer, director, trustee or employee of any public corporation when acting in such official capacity; and it is further

ORDERED, that such filing shall be completed on or before January fifteenth by those persons who have been retained, employed or designated as lobbyists on or before December thirty-first of the previous calendar year who reasonably anticipate that in the coming year they will earn or incur combined reportable compensation and expenses in an amount in excess of one thousand dollars; and for those lobbyists retained, employed or designated after December thirty-first, and those lobbyists who, subsequent to their retainer, employment or designation, reasonably anticipate combined reportable compensation and expenses in excess of such amount, such filing must be completed within fifteen days thereafter; and it is further

ORDERED, that the County Attorney shall forward copies of each Lobbyist Form to the Nassau County Department of Information Technology ("IT"), and that IT shall develop and maintain a lobbyist registration page on that County's website, and make available all such Lobbyist Forms for public inspection on the County's website; and it is further

ORDERED, that upon termination of a lobbyist's retainer, employment or designation, such lobbyist and the client, if any, on whose behalf such service has been rendered shall both give notice to the County Attorney in the electronic filing system within thirty days after the lobbyist ceases the activity that required such lobbyist to file a statement of registration; however, such lobbyist shall nevertheless comply with the reporting requirements as set forth above and the reporting requirements for the last periodic reporting period up to the date such activity has ceased; and it is further

ORDERED, any lobbyist required to file a Lobbying Form as set forth herein who, in any lobbying year, earns or incurs combined reportable compensation and expenses in an amount in excess of one thousand dollars, for the purpose of lobbying, shall file with the County Attorney periodic reports, on forms prescribed by the County Attorney, by the fifteenth day next succeeding the end of the reporting period on which the cumulative total for such lobbying year equaled such sum. Such reporting periods shall be the period from January 1 to March 31, April 1 to May 31, June 1 to August 31 and August 31 to December 31; and it is further

ORDERED, that any lobbyist making a report pursuant to the above paragraph shall thereafter file with the County Attorney, on forms prescribed by the County Attorney, a periodic report for each reporting period that such person earns or incurs combined reportable compensation and expenses in an amount in excess of one thousand dollars for the purposes of lobbying during such reporting period. Such report shall be filed not later than the fifteenth day next succeeding the end of such reporting period and shall include the amounts so earned or

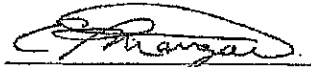
incurred during such reporting period and the cumulative total during the lobbying year; and it is further

ORDERED, that IT shall ensure that the Lobbying Form and the form for periodic reports prescribed by the County Attorney are available on the County website; and it is further

ORDERED, that this Executive Order shall take effect immediately.

Dated:

May 15, 2015



EDWARD P. MANGANO  
NASSAU COUNTY ATTORNEY

COUNTY OF NASSAU

LOBBYIST REGISTRATION AND DISCLOSURE FORM

1. Name of lobbyist(s)/lobbying organization: The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission; or to otherwise engage in lobbying activities as the term is defined herein. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

None

---

2. List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

N/A

3. Name, address and telephone number of client(s) by whom, or on whose behalf, the lobbyist is retained, employed or designated:

N/A

Page 2 of 4

4. Describe lobbying activity conducted, or to be conducted, in Nassau County, and identify client(s) for each activity listed. See page 4 for a complete description of lobbying activities.

N/A

5. The name of persons, organizations or governmental entities before whom the lobbyist expects to lobby:

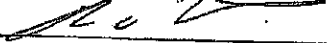
N/A



Page 3 of 4

VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Dated: 12/22/15

Signed: 

Print Name: Richard O. Felicetta

Title: President

The term lobbying shall mean any attempt to influence: any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including by not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant; loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies; boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

### Business History Form

In addition to the submission of bids/proposals, as applicable, each bidder/proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the bid/proposal.

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: November 10, 2015

- 1) Bidder's/Proposer's Legal Name: R.J. Industries, Inc.  
2) Address of Place of Business: 75 East Bethpage Road; Plainview, NY 11803

List all other business addresses used within last five years: n/a

- 3) Mailing Address (if different): 75 East Bethpage Road; PO Box 349; Plainview, NY 11803

Phone : 516-845-9772

Does the business own or rent its facilities? n/a

- 4) Dun and Bradstreet number: n/a

- 5) Federal I.D. Number: 11-3401288

- 6) The bidder/proposer is a (check one): ☐ Sole Proprietorship ☐ Partnership ☒ Corporation ☐ Other (Describe) \_\_\_\_\_

- 7) Does this business share office space, staff, or equipment expenses with any other business? Yes ☒ No ☐ If Yes, please provide details: RJ manages BSRJ A TV & RJ/Scalamandre, JV out of it's main office in Plainview, NY.

- 8) Does this business control one or more other businesses? Yes ☐ No ☒ If Yes, please provide details: \_\_\_\_\_

- 9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business? Yes ☒ No ☐ If Yes, provide details. R.J.I. Mechanical, Inc.

- 10) Has the bidder/proposer ever had a bond or surety cancelled or forfeited, or a contract with Nassau County or any other government entity terminated? Yes ☐ No ☒ If Yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture; or details regarding the termination (if a contract). \_\_\_\_\_

11) Has the bidder/proposer, during the past seven years, been declared bankrupt? Yes \_\_\_ No x  
If Yes, state date, court jurisdiction, amount of liabilities and amount of assets \_\_\_\_\_

12) In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, 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, in the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business. Yes \_\_\_ No x If Yes, provide details for each such investigation. \_\_\_\_\_

13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business. Yes \_\_\_ No x If Yes, provide details for each such investigation. \_\_\_\_\_

14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:

a) Any felony charge pending? No x Yes \_\_\_ If Yes, provide details for each such charge. \_\_\_\_\_

b) Any misdemeanor charge pending? No x Yes \_\_\_ If Yes, provide details for each such charge. \_\_\_\_\_

c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? No x Yes \_\_\_ If Yes, provide details for each such conviction \_\_\_\_\_

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor? No x Yes \_\_\_ If Yes, provide details for each such conviction. \_\_\_\_\_

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions? No x Yes \_\_\_ If Yes, provide details for each such \_\_\_\_\_

occurrence, \_\_\_\_\_

- 15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? No x Yes \_\_\_\_; If Yes, provide details for each such instance. \_\_\_\_\_

- 16) For the past (5) tax years, has this business 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? No x Yes \_\_\_\_ If Yes, provide details for each such year. Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire. \_\_\_\_\_

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

17) Conflict of Interest:

a) Please disclose:

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in acting as collection agent on behalf of Nassau County. none

(ii) Any family relationship that any employee of your firm has with any County public servant that may create a conflict of interest or the appearance of a conflict of interest in acting as collection agent on behalf of Nassau County.

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting as a collection agent on behalf of Nassau County. none

b) Please describe any procedures your firm has, or would adopt, to assure the County that a conflict of interest would not exist for your firm in the future.

17)a)(ii) In 2014, RJ had an open position for an MWBE Officer; we attempted to fill the position with a former employee who was our MWBE Officer but she declined. We received a resume from Brittany Pedenzin, who happens to be related to Robert Pedenzin, an employee of Hazen and Sawyer, the engineering firm currently working for Nassau County. Brittany was hired and has been working as our MWBE officer on all RJ (& related) projects since April 7, 2014.

17)b) We would be willing to assist Nassau County on any initiatives that would help the County maintain protocols that eliminate potential conflicts of interest. Should we learn of any potential / questionable issues that may arise, we intend to notify the County for its determination of what is appropriate.

Attachments to Business History Form

Please provide any other information which would be appropriate and helpful in determining the bidder's/proposer's capacity and reliability to perform these services.

- A. Include a resume or detailed description of the bidder's/proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

Should the bidder/proposer be other than an individual, the bid/proposal should include:

- i) Date of formation; 9/2/1997
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner; see attached
- iii) Name, address and position of all officers and directors of the company; see attached
- iv) State of incorporation (if applicable); NY
- v) The number of employees in the firm; 25 non-union / union varies (25-35)
- vi) Annual revenue of firm; [REDACTED]
- vii) Summary of relevant accomplishments
- viii) Copies of all state and local licenses and permits.

- B. Indicate number of years in business.

- C. Provide any other information which would be appropriate and helpful in determining the bidder's/proposer's capacity and reliability to perform these services.

- D. Provide names and addresses for no fewer than three references for whom the bidder/proposer has provided similar services or who are qualified to evaluate the bidder's/proposer's capability to perform this work.

see enclosed schedule of projects .

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Company see attached

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

**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/PROPOSAL OR FUTURE BIDS/PROPOSALS, 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 22<sup>nd</sup> day of December 2015

Maryanne Hilton  
Notary Public

MARYANNE HILTON  
Notary Public, State of New York  
No. 01HI6213068  
Qualified in Nassau County  
Commission Expires November 02, 2017

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

By: Richard O. Felicetta

Richard O. Felicetta  
Print name

[Signature]  
Signature

President

Title

12 / 22 / 15  
Date



## PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered and the 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/ 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

Other present address(es) na

City/state/zip

Telephone

List of other addresses and telephone numbers attached

2. Positions held in submitting business and starting date of each (check all applicable)

President 9 / 2 / 1997 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?

NO   YES x If Yes, provide details. Stockholder (45% interest in R.J. Industries, Inc.)

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? NO   YES x If Yes, provide details.

Personal Guarantor - RJ (& affiliated) credit lines at Signature Bank

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? NO   YES x If Yes, provide details.  
Managing Member of RJ/Scalamandre, JV and BSRJ A TV

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? NO   YES x 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ If Yes, provide details for each such charge.
- b) Is there any misdemeanor charge pending against you? NO ☒ YES \_\_\_\_ If Yes, provide details for each such charge.
- c) Is there any administrative charge pending against you? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ If Yes, provide details for each such occurrence.

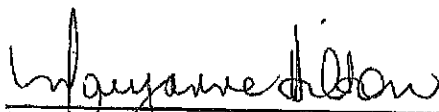
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation 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 6? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ If Yes, provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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/PROPOSAL OR FUTURE BIDS/PROPOSALS, 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 22 day of December 2015

  
Notary Public

MARYANNE HILTON  
Notary Public, State of New York  
No. 01H16213068  
Qualified in Nassau County  
Commission Expires November 02, 2017

R.J. Industries, Inc.

\_\_\_\_\_  
Name of submitting business

Richard O. Felicetta

\_\_\_\_\_  
Print name

  
Signature

\_\_\_\_\_  
President

\_\_\_\_\_  
Title

12 / 22 / 15  
Date

## PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered and the 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/ PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

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 Plainview, NY 11803  
Telephone 516-845-9772  
Other present address(es) na  
City/state/zip   
Telephone   
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 9 / 2 / 1997 to present     /     /      
(Other)
3. Do you have an equity interest in the business submitting the questionnaire?  
NO     YES x If Yes, provide details.
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? NO     YES x If Yes, provide details. Personal Guarantor - Signature Bank credit lines
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? NO     YES x; If Yes, provide details.  
BSRJ a T/V & RJ/Scalamandre, JV
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? NO     YES x If Yes, provide details.  
see attached

**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?  
NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ If Yes, provide details for each such charge.
- b) Is there any misdemeanor charge pending against you? NO ☒ YES \_\_\_\_ If Yes, provide details for each such charge.
- c) Is there any administrative charge pending against you? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ 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 6? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ If Yes; provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated 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? NO ☒ YES \_\_\_\_ 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? NO ☒ YES \_\_\_\_ If Yes, provide details for each such year.

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/PROPOSAL OR FUTURE BIDS/PROPOSALS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

Sworn to before me this 22<sup>nd</sup> day of December 2015

Wayne H. Hahn  
Notary Public

MARYANNE HILTON  
Notary Public, State of New York  
No. 01H16213068  
Qualified in Nassau County  
Commission Expires November 02, 2011

Name of submitting business

Print name

Vice President

12 / 22 / 15  
Date



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

**Certification Regarding  
Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions  
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Richard O. Felicetta, President

Name and Title of Authorized Representative

m/d/yy

Signature

Date

R.J. Industries, Inc.

Name of Organization

75 East Bethpage Road; PO Box 349; Plainview, NY 11803

Address of Organization

#### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposes," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of reports in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

PROPOSAL

---

QUALIFICATION STATEMENT

## QUALIFICATION STATEMENT

Note: All blanks in the form are to be filled in. Where blanks are not applicable to your firm, so indicate in each instance.

1. How many years has your firm been in the business under your present business name?  
17
2. How many years experience in the construction work of a similar type as this contract has your firm had?

a. as a Prime Contractor 7

b. as a Subcontractor 17

3. List below the construction projects your firm has under way as of this date:

| Contract Amount | Class of Work | Percent Completed | Name and Address of Owner or Contracting Officer |
|-----------------|---------------|-------------------|--|
|-----------------|---------------|-------------------|--|

see attached

(use additional blank sheets if additional space is necessary)

4. List the projects which your firm as a firm has performed in the past few years which you feel will qualify you for this work:

| Contract Amount | Class of Work | Percent Completed | Name and Address of Owner or Contracting Officer |
|-----------------|---------------|-------------------|--|
|-----------------|---------------|-------------------|--|

see attached

(use additional blank sheets if additional space is necessary)

5. Have you:

a. ever failed to complete any work awarded to you? no

If so, identify the project, the owner, the contract amount, the circumstances and date of all such failures to complete.

b. ever been defaulted on a contract? no

If so, identify the project, the owner, the contract amount, the circumstances and the date of all default actions.



- c. ever been declared a non-responsible bidder by any municipality or public agency? no

If so; identify the project, the owner, the contract amount, the circumstances and date of all such declarations.

- d. ever been barred from bidding municipal or public contracts? no

If so; identify the municipality or public agency, the circumstances, date and term of disbarment for all debarments.

(use additional blank sheets if additional space is necessary)

6. Has any officer, partner or principal of your firm ever been an officer, partner or principal of some other firm?

- a. that failed to complete a construction contract? no

If so; state name of individual and identify the name of firm, the project, the owner, the contract amount, the circumstances and the date of all failures to complete for all principals of the firm.

- b. that has ever been defaulted on a contract? no

If so; state the name of the individual and identify the name of the firm, the project, the owner, the contract amount, the circumstances and the date of all default actions for all principals of the firm.

- c. that has ever been declared a non-responsible bidder by any municipality or public agency? no

If so; state the name of the individual and identify the name of the firm, the project, the owner, the contract amount, the circumstances and the date of all such declarations for all principals of the firm.

- d. that has ever been barred from bidding municipal or public contracts?

no

If so, state the name of the individual and identify the name of the firm, the municipality or public agency, the circumstances, date and term of debarment for all debarments for all principals of the firm.

(use additional blank sheets if additional space is necessary)

7. Has any officer or partner of your firm ever failed to complete a construction contract handled in his name? no

If so, state name of individual, name of owner and reason therefor:

8. Disclose any and all violations of the Prevailing Wage and Supplemental Payment Requirements of the Labor Law of New York State.

none

9. Disclose any and all other Labor Law Violations, including, but not limited to, child labor violations, failure to pay wages, or unemployment insurance tax delinquencies within the past five years.

none

10. In what other lines of business are you financially interested?

Real Estate Partnership 512 W 185th Street, LLC (minority interest)

11. What is the construction experience of the principal individuals of your firm?

| Individual's Name    | Present Position or Office | Years of Construction Experience | Magnitude and type of work | In what Capacity                   |
|----------------------|----------------------------|----------------------------------|----------------------------|------------------------------------|
| Richard O. Felicetta | President                  | 27 yrs.                          | General                    | Executive/Project Mgt & Mechanical |
| John C. Doremus      | Vice President             | 24 yrs.                          | General                    | Executive/Project Mgt & Mechanical |
| John E. Kozlarz      | Vice President             | 24 yrs.                          | Mechanical                 | Proj. Mgmt                         |
| William J. Doremus   | Sec. Treasurer             | 16 yrs.                          |                            | Finance/Admin                      |

(use additional blank sheets if additional space is necessary)

12. List below the equipment that you own that is available for the proposed work, giving present location where it may be inspected:

| Item         | Description, Size Capacity, Year, etc. | Years of Service | Present Location |
|--------------|--|------------------|------------------|
| see attached |  |                  |                  |

(use additional blank sheets if additional space is necessary)

NOTE: Should the equipment be moved from the above mentioned location, the submitted hereby agrees upon request of the County to state the new location where same may be found.

13. If any of the above equipment is covered by chattel mortgage, conditional bill of sale, lien, or like encumbrance, state the complete details as to nature and amount of encumbrance, the name and address of the holder, etc.

Signature Bank - 2010 Grove RT 605R (50 Ton Crane)

(use additional blank sheets if additional space is necessary)



14. In what manner have you inspected this proposed work?  
Explain in detail.  
Review of contract documents & pre-bid site visit  
  
(use additional blank sheets if additional space is necessary)
15. Explain your plan and lay-out for performing the proposed work.  
Will perform in accordance with owner approved schedule
16. If a contract is awarded or a permit is issued, to your firm, who will have the personal supervision of the work? Attach resume.  
John Doremus
17. Insurance carried by your firm:
- | Type                            | Company | Limits of Coverage | Term |
|---------------------------------|---------|--------------------|------|
| See attached sample certificate |         |                    |      |



18. The undersigned hereby declares: That the foregoing information contained in this bid is a true statement, including, but not limited to, the financial condition of the individual firm herein first named as of the date herein given; the undersigned has read that portion of the Instructions to the Bidders entitled "Qualifications and Responsibility of Bidders" and that the bidder acknowledges its affirmative obligation to transmit with this statement any matters relevant and material to those contractor qualifications and responsibility standards; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitted a contract or issuance of a permit; that any depository, vendor or other agency herein named is authorized to supply such party with any information necessary to verify this statement; and that it understands and agrees that any material misrepresentation or omission of material fact may be deemed grounds for disqualification of the bidder as "not responsible," and may also subject the bidder to future debarment, penalties, and sanctions, to the extent permitted by law.



Richard O. Felicetta, President

NOTE: The bids shall be sworn to by the person signing them, in one of the following forms:

(Form of affidavit where Bidder is a corporation)

STATE OF NEW YORK )

) ss.:

COUNTY OF NASSAU )

Richard O. Felioetta

That he resides at

in the City of

Being duly sworn, deposes and says:

Street,

that he is the President of

R. J. Industries, Inc.

the corporation described in and which executed the foregoing instrument; that he knows the seal of said corporation; that the seal affixed to the said instrument is such corporate seal and was affixed by order of the Board of Directors of said corporation; that he signed his name thereto by like order; and that he has knowledge of the several matters therein stated and they are in all respects true.

Subscribed and sworn to before me

this 22<sup>nd</sup> day of December 2015

*Maryanne Hilton*  
Notary

(Form of affidavit where Bidder is a firm)

STATE OF NEW YORK )

) ss.:

COUNTY OF NASSAU )

MARYANNE HILTON  
Notary Public, State of New York  
No. 01H16213063  
Qualified in Nassau County  
Commission Expires November 02, 2017

That he is a member of

the firm in which executed the foregoing bid; that he duly subscribed in and which executed the foregoing bid; that he duly subscribed the name of the firm hereunto on behalf of the firm; and that the several matters therein stated are in all respects true.

this day of 20

Being duly sworn, deposes and says:

Notary

(Form of affidavit where Bidder is a individual)

STATE OF NEW YORK )

) ss.:

COUNTY OF NASSAU )

That he is the person described in and who executed the foregoing bid and that the several matters therein stated are in all respects true.

this day of 20

Being duly sworn, deposes and says:

Notary

NOTICE OF AWARD

## RJ Equipment

| <u>Year</u> | <u>Item</u>                                 | <u>Model No</u> | <u>Serial No.</u> | <u>Value / Orig Cost</u> |
|-------------|---|-----------------|-------------------|--------------------------|
| 2010        | Grove RT 600E (50 Ton Crane)                |                 |                   |                          |
| 2006        | Link Belt RTC (50 Ton Crane)                |                 |                   |                          |
|             | Landis 6" Pipe Threader                     |                 |                   |                          |
| 2013        | CAT Excavator                               |                 |                   |                          |
| 2012        | Geomax Robotic Total Station (Photo Lens)   |                 |                   |                          |
| 2013        | Geomax Robotic Total Station (Photo Lens)   |                 |                   |                          |
| 2014        | Zenith 25 GPS                               |                 |                   |                          |
| 2011        | Moretrench (Various Dewatering Equipment)   |                 |                   |                          |
| 2011        | Komatsu Hydraulic Excavator                 |                 |                   |                          |
| 1999        | CAT Hydraulic Excav                         |                 |                   |                          |
| 2002        | CAT Skid Loader                             |                 |                   |                          |
| 1991        | GROVE Hyd Crane                             |                 |                   |                          |
| 2006        | CAT Excavator                               |                 |                   |                          |
| 2002        | CAT Mini Excavator                          |                 |                   |                          |
| 2001        | CAT 725 Articulated Dump Truck              |                 |                   |                          |
| 2002        | CAT Mini Excavator                          |                 |                   |                          |
| 2001        | CAT Backhoe                                 |                 |                   |                          |
| 2002        | CAT Skid Loader                             |                 |                   |                          |
| 1990        | John Deere Pay Loader                       |                 |                   |                          |
| 1999        | CAT Excavator                               |                 |                   |                          |
| 1997        | CAT Excavator                               |                 |                   |                          |
| 1997        | JCB Telehandler (Forklift)                  |                 |                   |                          |
|             | Gradall Forklift                            |                 |                   |                          |
| 1998        | CAT Backhoe                                 |                 |                   |                          |
| 2002        | CAT Bulldozer                               |                 |                   |                          |
| 2003        | ROBOVIB Pile Driver                         |                 |                   |                          |
| 2006        | CAT Excavator                               |                 |                   |                          |
| 2004        | GORMAN RUPP - 4" Diesel Pump                |                 |                   |                          |
|             | GORMAN RUPP - 6" Dry Prime Pump             |                 |                   |                          |
| 2001        | Ingersoll Rand Vibratory Smooth Drum Roller |                 |                   |                          |
| 1998        | CHICAGO PNEUMATIC Compressor                |                 |                   |                          |
| 2008        | Concrete Saw - Self Propelled               |                 |                   |                          |
|             | Concrete Forms                              |                 |                   |                          |
|             | 3 - WHIRLYBIRDS                             |                 |                   |                          |
|             | 4-5 VIBRATORS                               |                 |                   |                          |
|             | Light Towers                                |                 |                   |                          |
|             | Light Towers                                |                 |                   |                          |
|             | Light Towers                                |                 |                   |                          |
| 2003        | JLG 400S - Self Propelled Deutz             |                 |                   |                          |
| 2006        | Skyjack                                     |                 |                   |                          |
| 2005        | Skyjack                                     |                 |                   |                          |
| 2006        | Skyjack                                     |                 |                   |                          |
| 2001        | JLG Telescopic Boom Lift                    |                 |                   |                          |
| 2001        | Lull - Telescopic Fork Lift                 |                 |                   |                          |
| 2002        | JLG Telescope Boom Lift                     |                 |                   |                          |
|             | Yale Forklift GP 070                        |                 |                   |                          |
| 2009        | CAT Payloader                               |                 |                   |                          |
| 2005        | John Deere (off road Dump)                  |                 |                   |                          |

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

**Prime Contracts in Progress**

| PROJECT & LOCATION<br><u>R.J. Industries, Inc.</u>   | OWNER                       | CONTACT/CONSULTANT  | ORIGINAL<br>CONTRACT AMOUNT | SUBSTANTIAL<br>COMPLETION<br>DATE | %<br>COMPLETE |
|--|-----------------------------|---|-----------------------------|-----------------------------------|---------------|
| Bay Park STP / Cedar Creek WPCP<br>Odor Control Facility   | Nassau County DPW           | Joseph Davenport<br>516-571-7515<br>Michael DeNicola (Hazzen & Sawyer)<br>MDeNicola@hazzenandsawyer.com<br>516-881-7843 | \$24,767,700                | March-16                          | 85%           |
| Town of Riverhead Advanced WWTP<br>Total Maximum Daily Load (TMDL) Upgrade<br>General Construction and Plumbing Contracts                | Town of Riverhead           | Chris Weiss (H2M Group)<br>631-756-8000   | \$17,869,900                | Jun-16                            | 48%           |
| Glen Cove Wastewater Treatment Plant<br>Above Ground Diesel Storage Tank &<br>New Aeration Blower  | Nassau County DPW           | Richard Wabber<br>516-571-5811  | \$896,700                   | September-15                      | 90%           |
| Dock Place & Southland Drive<br>Pump Station Reconstruction  | Nassau County DPW           | Michael DeNicola (Hazzen & Sawyer)<br>MDeNicola@hazzenandsawyer.com<br>516-881-7843                                     | \$892,200                   | Dec-15                            | 96%           |
| Yaphank County Center WWTP<br>Denitrification System Improvements  | County of Suffolk           | Janice McGovern<br>631-862-4186   | \$1,888,800                 | December-15                       | 51%           |
| Cedar Creek Domestic Water   | Nassau County DPW           | Joseph Davenport<br>516-571-7515  | \$1,447,423                 | March-16                          | 1%            |
| Car Washer Repairs at 239th Street Yard,<br>Concourse Yard and Pelham Yard (Bronx)<br>Contract No. C-34913                               | MTA - New York City Transit | Dimitrios Milonas<br>646-222-4127   | \$10,733,360                | December-16                       | 0%            |
| <u>R.J. Mechanical, Inc.</u><br>North Queens (Corona) Gate Station<br>Install 36,000 Feet High Pressure Gas Main                         | National Grid               | John Lusardi (Network Infrastructure)<br>516-385-3030   | \$1,147,000                 | November-15                       | 16%           |
| <u>BSRJA JV</u><br>Bay Park Sewage Treatment Plant<br>Electrical Substation Upgrades (Phase E1)<br>Contract No. S35121-13E               | Nassau County DPW           | Michael DeNicola (Hazzen & Sawyer)<br>MDeNicola@hazzenandsawyer.com<br>516-881-7843                                     | \$28,674,700                | Jun-16                            | 53%           |
| <u>RJ/Scalamandre, Joint Venture</u><br>Bay Park Sewage Treatment Plant<br>Grit Removal Facility Improvements<br>Contract No. S3B120-02G | Nassau County DPW           | Michael DeNicola (Hazzen & Sawyer)<br>MDeNicola@hazzenandsawyer.com<br>516-881-7843                                     | \$16,187,700                | Sep-17                            | 6%            |

as of June 30,  
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> |
|--|-----------------------------|--|------------------------|-----------------------|
| Bergen Point WWTP (SCSD #3)<br>Influent Pump Station Butterfly Valve Replacement   | County of Suffolk           | John Berchtold, PE<br>Suffolk County DPW<br>631-852-4189       | \$2,945,400            | 2014                  |
| Bergen Point WWTP (SCSD #3)<br>Effluent Ultraviolet (UV) Disinfection  | County of Suffolk           | John Berchtold, PE<br>Suffolk County DPW<br>631-852-4189       | \$13,747,700           | 2014                  |
| Great Neck Water Pollution Control Dist.<br>Plant Upgrade and Expansion to 5.3 MGD   | Great Neck WPCD             | William F Cosulich, Assoc.<br>Joseph Mautarano<br>516-364-9890 | \$44,557,700           | 2014                  |
| Great Neck Water Pollution Control Dist.<br>Microturbine Cogeneration Facility   | Great Neck WPCD             | William F Cosulich, Assoc.<br>Joseph Mautarano<br>516-364-9890 | \$1,995,500            | 2014                  |
| Replacement of Bus Washers at Manhattanville<br>Bus-Depot; Contract C-33091  | MTA - New York City Transit | Keith Summa<br>646-252-3464                                    | \$2,148,272            | 2014                  |
| City of Long Beach<br>Rehabilitation of New York Avenue<br>Lift Station  | City of Long Beach          |  | \$448,400              | 2014                  |
| Bergen Point WWTP (SCSD #3)<br>Screening Room Odor Control<br>General Construction & HVAC Contracts                                | County of Suffolk           | John Berchtold<br>631-852-4189                                 | \$2,347,860            | 2013                  |
| Bay Park WWTP Emergency Contract (Sandy)<br>Restore Plant Operations, Sewage Collection<br>System & Related Infrastructure Repairs | Nassau County DPW           | Joseph Davenport<br>516-571-7515                               | \$2,701,537            | 2013                  |

As of June 30, 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> |
|--|--|--|------------------------|-----------------------|
| Greater Atlantic Beach Treatment Facility (Phase II)   | Greater Atlantic Beach Water Reclamation District              | Cameron Engineering<br>Mark Rauber<br>516-827-4900 | \$1,823,800            | 2013                  |
| Water Authority of Western Nassau County Wellhead Treatment for Iron Removal at Plants 28 & 30 (General Construction & Plumbing) | Water Auth Western Nassau<br>Joseph Corbisiero<br>516-327-4053 | John Collins<br>H2M Group<br>631-756-8000          | \$4,872,523            | 2013                  |
| Port Washington WPCD Biosolids Building Rehabilitation   | Port Washington WPCD   | Robert Breslin<br>516-924-4376                     | \$814,400              | 2013                  |
| Port Washington Water District Packed Tower Aeration   | Port Washington Water  | Dvirka Bartilucci<br>Phil Sachs                    | \$734,400              | 2013                  |
| Port Washington WPCD Plant Upgrade (Install New BNR System)  | Port Washington WPCD   | Robert Breslin<br>516-924-4376                     | \$20,988,800           | 2012                  |
| Stony Brook University East Campus Well Replacement  | State University of NY   | Paul Van Loan<br>631-632-3067                      | \$1,076,423            | 2012                  |
| Shoreham Wading Rive CSD Replace Fuel Oil Storage Tanks  | Shoreham-Wading River CSD                                      | Burton Behrendt Smith<br>631-475-0349              | \$624,800              | 2012                  |
| Patchogue WWTP Upgrade & Expansion - GC & Mechanical   | Village of Patchogue   | Steven Cluff<br>H2M Group<br>631-756-8000          | \$8,906,550            | 2011                  |

As of June 30, 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 STP<br>Dechlorination Facility - General Const.   | Nassau County DPW                       | Nassau County - DPW<br>James Gallagher<br>516-571-7220 | \$3,647,700            | 2011                  |
| Manhasset Lakeville Water District<br>IU Willets Water Treatment Plant<br>General Construction                     | Manhasset - Lakeville<br>Water District | Ben Bleisch<br>H2M Group<br>631-756-8000               | \$1,578,440            | 2011                  |
| Manhasset Lakeville Water District<br>IU Willets Water Treatment Plant<br>Chemical Bulk Storage                    | Manhasset - Lakeville<br>Water District | Ben Bleisch<br>H2M Group<br>631-756-8000               | \$548,440              | 2011                  |
| Jericho Water District<br>Well No. 5 - GC & Mechanical Work  | Jericho Water District                  | Joe Todaro<br>Sidney Bowne<br>516-746-2350             | \$774,880              | 2011                  |
| Cedar Creek WPCP<br>Install New Gravity Belt Thickener   | Nassau County DPW                       | Hazen and Sawyer<br>Mike De Nicola<br>212-539-7038     | \$14,424,400           | 2010                  |
| SUNY - Stony Brook, Sewer Dist No. 21<br>Standby Effluent Pump Station   | Suffolk County, DPW                     | Suffolk County - DPW<br>John Donovan                   | \$622,980              | 2010                  |
| SUNY - Stony Brook<br>East Campus Cooling Tower Replacement  | SUNY - Stony Brook                      | Kevin Rooney<br>631-632-6222                           | \$10,389,900           | 2010                  |
| Greenlawn Water District<br>Treatment for Volatile Organics Compounds<br>(VOC) Removal at Plant 13 - General Cont. | Greenlawn Water Dist.                   | Ben Bleisch<br>H2M Group<br>631-756-8000               | \$929,800              | 2010                  |

As of June 30, 2015





OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Utilization Form**

This form is intended to capture the prime contractor's actual and/or anticipated use of identified certified DBE<sup>1</sup> subcontractors<sup>2</sup> and the estimated dollar amount of each subcontract. An EPA Financial Assistance Agreement Recipient must require its prime contractors to complete this form and include it in the bid or proposal package. Prime contractors should also maintain a copy of this form on file.

|  |  |                                       |  |
|--|--|---------------------------------------|--|
| Prime Contractor Name<br>R.J. Industries, Inc. |  | Project Name<br>Inwood Pump Stations  |  |
| Bld/ Proposal No.<br>S3P311-07G                | Assistance Agreement ID No. (If known) | Point of Contact<br>Richard Felicetta |  |
| Address<br>PO BOX 349, Plainview, NY 11803     |  |                                       |  |
| Telephone No. 516-845-9772                     |  | Email Address<br>RFelicetta@rjl.net   |  |
| Issuing/Funding Entity:                        |  |                                       |  |

| I have identified potential DBE certified subcontractors        | <input type="checkbox"/> YES                            | <input checked="" type="checkbox"/> NO |                                |
|---|---|--|--------------------------------|
| If yes, please complete the table below. If no, please explain: |   |  |                                |
|   |   |  |                                |
| Subcontractor Name/<br>Company Name                             | Company Address/ Phone/ Email                           | Est. Dollar<br>Amt                     | Currently<br>DBE<br>Certified? |
| LB Consulting   | 296 Sport Hill Road<br>Easton, CT 06612                 | \$25,000.00                            | WBE                            |
| FCS Group   | 57-12 Grand Ave. Maspeth, NY 11378                      | \$255,000.00                           | MBE                            |
| Artlan Executive Cleaning<br>Services                           | 111 S Franklin Ave. Unit 216<br>Valley Stream, NY 11582 | \$10,000.00                            | M/WBE                          |
| Continue on back if needed                                      |   |  |                                |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

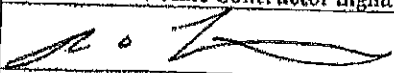
<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Utilization Form

I certify under penalty of perjury that the foregoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 93 Section 93.302 (c).

|   |                   |
|---|-------------------|
| Prime Contractor Signature  | Print Name        |
|  | Richard Felicetta |
| Title   | Date              |
| President   | 12/22/2015        |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Participation Form

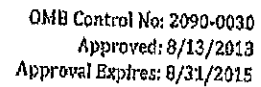
An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE<sup>1</sup> subcontractor<sup>2</sup> the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

|   |  |  |  |
|---|--|--|--|
| Subcontractor Name<br><b>Job Opportunities For Women Inc.</b> |  | Project Name<br><b>Inwood Pump Stations</b>  |  |
| Bid/ Proposal No.   | Assistance Agreement ID No. (if known) | Point of Contact<br><b>Robert Stewart</b>    |  |
| Address<br><b>558 Union Ave, Westbury, N.Y. 11590</b>         |  |  |  |
| Telephone No.<br><b>516-333-4414</b>                          |  | Email Address<br><b>bob.stewart@jofw.com</b> |  |
| Prime Contractor Name<br><b>R.J. Industries, Inc.</b>         |  | Issuing/Funding Entity:                      |  |

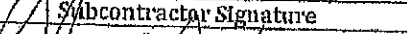
| Contract Item Number  | Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies | Amount Received by Prime Contractor |
|---|--|-------------------------------------|
| <b>33P311-01G</b><br><b>NE-DPW</b><br><b>Pump Station Repair</b><br><b>Inwood</b> | <b>Masonry</b>   |                                     |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Women Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Participation Form

Please use the space below to report any concerns regarding the above EPA-funded project:

|   |                   |
|---|-------------------|
| Subcontractor Signature   | Print Name        |
|  | Maria A. Minucci  |
| Title   | Date              |
| President   | December 17, 2015 |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Performance Form

This form is intended to capture the DBE<sup>1</sup> subcontractor's<sup>2</sup> description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractors bid or proposal package.

|   |  |   |
|---|--|---|
| Subcontractor Name<br><b>Job Opportunities For Women Inc.</b> |  | Project Name<br><b>Inwood Pump Stations</b> |
| Bid/ Proposal No.   | Assistance Agreement ID No. (if known)       | Point of Contact<br><b>Robert Stewart</b>   |
| Address<br><b>558 Union Avenue, Westbury, N.Y. 11590</b>      |  |   |
| Telephone No.<br><b>516-333-4414</b>                          | Email Address<br><b>bob.stewart@jofw.com</b> |   |
| Prime Contractor Name<br><b>R.J. Industries, Inc.</b>         |  | Issuing/Funding Entity:                     |

| Contract Item Number   | Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies | Price of Work Submitted to the Prime Contractor  |
|--|---|--|
| <b>S3P311-07G</b><br><b>NCDPW</b><br><b>Pump Station</b><br><b>Repair Inwood</b>                                     | <b>MASONRY</b>  |  |
| DBE Certified By: <input type="checkbox"/> DOT <input type="checkbox"/> SBA<br><input type="checkbox"/> Other: _____ |   | Meets/exceeds EPA certification standards?<br><input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> Unknown |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

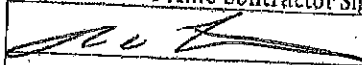
<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

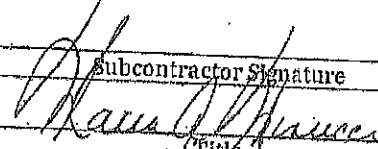


OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Performance Form

I certify under penalty of perjury that the forgoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

|   |                   |
|---|-------------------|
| Prime Contractor Signature  | Print Name        |
|  | Richard Felicetta |
| Title   | Date              |
| President   | 12/22/2015        |

|  |                   |
|--|-------------------|
| Subcontractor Signature  | Print Name        |
|  | Maria A. Minucci  |
| Title  | Date              |
| President  | December 17, 2015 |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Participation Form**

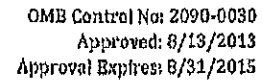
An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE<sup>1</sup> subcontractor<sup>2</sup> the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

|  |  |                                      |  |
|--|--|--------------------------------------|--|
| Subcontractor Name<br>CB Contracting Corp            |  | Project Name<br>Inwood Pump Stations |  |
| Bid/ Proposal No.                                    | Assistance Agreement ID No. (if known) | Point of Contact<br>Carol A Burt     |  |
| Address<br>4118 Victory Blvd, Staten Island NY 10314 |  |                                      |  |
| Telephone No.<br>718-370-2300                        |  | Email Address<br>[REDACTED]          |  |
| Prime Contractor Name<br>R.J. Industries, Inc.       |  | Issuing/Funding Entity:              |  |


| Contract Item Number | Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies | Amount Received by Prime Contractor |
|----------------------|--|-------------------------------------|
|                      | Cut, bend and install rebar  |                                     |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Women Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.



Please use the space below to report any concerns regarding the above EPA-funded project:

|  |                            |
|--|----------------------------|
| Subcontractor Signature<br> | Print Name<br>Carol A Burt |
| Title<br>President   | Date<br>12/21/15           |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.





OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Performance Form

This form is intended to capture the DBE<sup>1</sup> subcontractor's<sup>2</sup> description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractor's bid or proposal package.

|  |  |                                      |
|--|--|--------------------------------------|
| Subcontractor Name<br>CB Contracting Corp            |  | Project Name<br>Inwood Pump Stations |
| Bid/ Proposal No.                                    | Assistance Agreement ID No. (if known) | Point of Contact<br>Carol A Burt     |
| Address<br>4118 Victory Blvd, Staten Island NY 10314 |  |                                      |
| Telephone No.<br>718-370-2300                        |  | Email Address<br>[REDACTED]          |
| Prime Contractor Name R.J. Industries, Inc.          |  | Issuing/Funding Entity:              |

| Contract Item Number  | Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies | Price of Work Submitted to the Prime Contractor   |
|---|---|---|
|   | Cut, bend and install rebar   |   |
| DBE Certified By: <input type="checkbox"/> DOT <input type="checkbox"/> SBA<br><input checked="" type="checkbox"/> Other: WBE - NYS, NYC, PA NYNJ |   | Meets/ exceeds EPA certification standards?<br><input type="checkbox"/> YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> Unknown |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

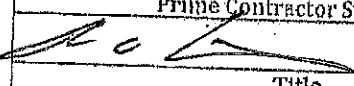
<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

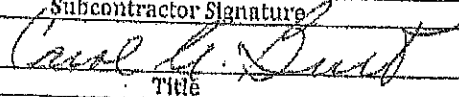


OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Performance Form

I certify under penalty of perjury that the foregoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

|   |                   |
|---|-------------------|
| Prime Contractor Signature  | Print Name        |
|  | Richard Felicetta |
| Title   | Date              |
| President   | 12/22/2015        |

|  |              |
|--|--------------|
| Subcontractor Signature  | Print Name   |
|  | Carol A Burt |
| Title  | Date         |
| President  | 12/21/15     |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



OMB Control No: 2090-0080  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Participation Form**

An EPA Financial Assistance Agreement Recipient must require its prime contractors to provide this form to its DBE subcontractors. This form gives a DBE<sup>1</sup> subcontractor<sup>2</sup> the opportunity to describe work received and/or report any concerns regarding the EPA-funded project (e.g., in areas such as termination by prime contractor, late payments, etc.). The DBE subcontractor can, as an option, complete and submit this form to the EPA DBE Coordinator at any time during the project period of performance.

|   |  |   |  |
|---|--|---|--|
| Subcontractor Name<br><b>AME Demolition Inc</b>             |  | Project Name<br><b>Inwood Pump Stations</b> |  |
| Bid/ Proposal No.   | Assistance Agreement ID No. (if known)           | Point of Contact<br><b>John Moliaccio</b>   |  |
| Address<br><b>400 Post Ave. Suite 403 Westbury NY 11590</b> |  |   |  |
| Telephone No.<br><b>631-592-2858</b>                        | Email Address<br><b>Jonie@AME-Demolition.com</b> |   |  |
| Prime Contractor Name<br><b>R.J. Industries, Inc.</b>       |  | Issuing/Funding Entity:                     |  |

| Contract Item Number | Description of Work Received from the Prime Contractor Involving Construction, Services, Equipment or Supplies | Amount Received by Prime Contractor |
|----------------------|--|-------------------------------------|
|                      | See attached Proposal  | -                                   |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.

<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.

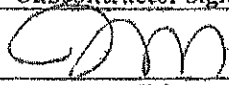


OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Participation Form

Please use the space below to report any concerns regarding the above EPA-funded project:

N/A

|   |                |
|---|----------------|
| Subcontractor Signature   | Print Name     |
|  | dan migliaccio |
| Title   | Date           |
| President   | 12/17/2015     |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Performance Form

This form is intended to capture the DBE<sup>1</sup> subcontractor's<sup>2</sup> description of work to be performed and the price of the work submitted to the prime contractor. An EPA Financial Assistance Agreement Recipient must require its prime contractor to have its DBE subcontractors complete this form and include all completed forms in the prime contractors bid or proposal package.

|   |  |   |  |
|---|--|---|--|
| Subcontractor Name<br><b>Amg Demolition Inc</b>             |  | Project Name<br><b>Inwood Pump Stations</b>     |  |
| Bid/ Proposal No.   | Assistance Agreement ID No. (if known) | Point of Contact<br><b>Joan Migliacelo</b>      |  |
| Address<br><b>400 Post Ave. Suite 403 Westbury NY 11590</b> |  |   |  |
| Telephone No.<br><b>631-592-2858</b>                        |  | Email Address<br><b>Joan@Amg-Demolition.com</b> |  |
| Prime Contractor Name<br><b>R.J. Industries, Inc.</b>       |  | Issuing/Funding Entity:                         |  |

| Contract Item Number   | Description of Work Submitted to the Prime Contractor Involving Construction, Services, Equipment or Supplies | Price of Work Submitted to the Prime Contractor   |
|--|---|---|
|  | <b>See attached Proposal</b>  | <b>\$126,577<sup>92</sup></b>   |
| DBE Certified By: <input checked="" type="checkbox"/> DOT <input type="checkbox"/> SBA<br><input checked="" type="checkbox"/> Other: <b>Empire State nyc</b> |   | Meets/ exceeds EPA certification standards?<br><input type="checkbox"/> YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> Unknown |

<sup>1</sup> A DBE is a Disadvantaged, Minority, or Woman Business Enterprise that has been certified by an entity from which EPA accepts certifications as described in 40 CFR 33.204-33.205 or certified by EPA. EPA accepts certifications from entities that meet or exceed EPA certification standards as described in 40 CFR 33.202.


<sup>2</sup> Subcontractor is defined as a company, firm, joint venture, or individual who enters into an agreement with a contractor to provide services pursuant to an EPA award of financial assistance.




OMB Control No: 2090-0030  
Approved: 8/13/2013  
Approval Expires: 8/31/2015

**Disadvantaged Business Enterprise (DBE) Program  
DBE Subcontractor Performance Form**

I certify under penalty of perjury that the foregoing statements are true and correct. Signing this form does not signify a commitment to utilize the subcontractors above. I am aware of that in the event of a replacement of a subcontractor, I will adhere to the replacement requirements set forth in 40 CFR Part 33 Section 33.302 (c).

|  |  |
|--|--|
| <b>Prime Contractor Signature</b><br> | <b>Print Name</b><br>Richard Felicetta |
| <b>Title</b><br>President  | <b>Date</b><br>12/22/2015              |

|   |                                       |
|---|---------------------------------------|
| <b>Subcontractor Signature</b><br> | <b>Print Name</b><br>Juan Mugliacchio |
| <b>Title</b><br>President   | <b>Date</b><br>12/17/2015             |

The public reporting and recordkeeping burden for this collection of information is estimated to average three (3) hours per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.

ADDENDUM NO. 32

Project Specific Addendum to the  
Project Labor Agreement Dated November 2015  
Between Nassau County and the  
Nassau Suffolk Building and Construction Trades Council and their  
Affiliated Local Construction Trade Unions

This Addendum relates to the Pump Station Repair & Mitigation Contract No.: S3P311-07G project under the conditions and requirements of the PLA referenced above.

1. **Project Description:** Pump Station Repair and Mitigation at Inwood, Doughty Blvd., Bayview Ave., & Roslyn Rd. Pump Stations (Project No. S3P311-07G)

The Nassau County Department of Public Works (County) owns and operates twenty-two stations in Sanitary Sewer District 2 that discharge to Bay Park, fifteen pump stations in Sanitary Sewer District 3 that discharge to Cedar Creek, and seventeen pump stations discharge to Glen Cove.

During Superstorm Sandy, many of the NCDPW pump stations experienced major flooding. Damaged facilities need to be repaired and mitigated such that they can continue to operate during a future storm event.

The Project which defines the Covered Work specifically identified in the Contract Documents includes the following:

1. Inwood Pump Station

- Perform miscellaneous demolition work.
- Provide new louver.
- Provide new flood-proof exterior doors.
- Raise fuel tank vent piping.
- Provide new fuel tank monitoring equipment and anchoring system.
- Provide new dry pit submersible main sewage pump assemblies with motors, piping, valves and associated equipment.
- Provide new VFDs and control panel for main sewage pumps.
- Provide new wet pit submersible peak flow pump station pump assemblies with motors, piping, valves and associated equipment.
- Provide new submersible sump pump assembly with motors, piping, valves and associated equipment.
- Provide new grinder units and associated components.
- Provide backwater prevention valves.
- Provide new floor access doors and fall protection.
- Provide new unit heaters and associated components.
- Provide new fire alarm system and associated components.
- Provide new gas detection system and associated components.
- Provide new odor control system and associated components.
- Provide electrical power equipment, conduits and cable for interconnecting of power, control and instrumentation.
- Maintenance of sewage flow and pump station operations.

2. Doughty Boulevard Pump Station

- Perform miscellaneous demolition work.
- Provide new submersible sump pump assembly with motors, piping, valves and associated equipment.
- Provide new dry pit submersible main sewage pump assemblies with motors, piping, valves and associated equipment.
- Provide new floor access doors and fall protection.
- Raise miscellaneous vent piping.
- Provide new unit heaters and associated components.
- Provide new fire alarm system and associated components.
- Provide new gas detection system and associated components.
- Provide electrical power equipment, conduits and cable for interconnecting of power, control and instrumentation.
- Maintenance of sewage flow and pump station operations.

3. Bayview Avenue Pump Station

- Perform miscellaneous demolition work.
- Provide new flood-proof exterior doors.
- Provide new mechanical hoist.
- Provide new grinder unit and associated components.
- Provide backwater prevention valves.
- Provide new floor access doors and fall protection.
- Provide new unit heaters and associated components.
- Provide new fire alarm system and associated components.
- Provide new gas detection system and associated components.
- Provide new fuel tank monitoring equipment and anchoring system
- Provide electrical power equipment, conduits and cable for interconnecting of power, control and instrumentation.
- Maintenance of sewage flow and pump station operations.

4. Roslyn Road Pump Station

- Perform miscellaneous demolition work.
- Provide new flood-proof exterior doors.
- Provide new grinder unit and associated components.
- Provide new access hatches and fall protection.
- Provide new fire alarm system and associated components.
- Provide new gas detection system and associated components.
- Provide new fuel tank monitoring equipment and anchoring system
- Provide electrical power equipment, conduits and cable for interconnecting of power, control and instrumentation.
- Maintenance of sewage flow and pump station operations.

Based on a 540-day construction schedule from Notice to Proceed (NTP), the Preliminary Construction Cost Estimate for this project (trade cost only without markup or general requirements) is estimated to be \$4,442,310 of which labor is \$1,797,588 or 40.5% (See Table 5.0, Gannett Fleming PLA Feasibility Study). It is estimated that approximately



12,398 man-hours will be expended on this project (See Table 5.1, Gannett Fleming PLA Feasibility Study). The details of the work to be covered under this PLA will be detailed in the Contract Documents (Plans and Specifications) which will incorporate the Master PLA with this Project-specific Addendum.

**1. Feasibility Analysis**

Nassau County has engaged Gannett Fleming Engineers, P.C. to perform a PLA Feasibility Analysis to determine if the development and implementation of a PLA for the Project will provide a benefit to the County in terms of time, cost and quality. As detailed in their study, a PLA would generate potential cost savings of \$167,122 (3.8% of the base estimated cost).

In addition, their study has determined that the utilization of the Master PLA will provide for labor harmony on the Project site, eliminate strikes, labor disruptions and job actions, standardize working conditions, expedite the resolutions of grievances and jurisdiction disputes, increase the competitive bidding process and generally level the labor playing field for trade labor participating on the Project.

**2. PLA Administrator**

To our knowledge, Nassau County has not designated a PLA Administrator for the Project. Typically, the Construction Manager is designated to administer the PLA but in certain circumstances, the firm that generated the feasibility study can perform this role.

**3. Wicks Law**

The Project is subject to Wicks Law requirements but is anticipated to be a single prime contract under the Master PLA.

**4. Project engineer and Construction Manager**

The project Engineer is Gannett Fleming Engineers, P.C. The Project Construction Manager is D&B Engineers and Architects, P.C..

**5. Project Labor Agreement Adjustments**

Add after Article XIII:

**"Article XIV, WORKERS' COMPENSATION ADR**

The parties may negotiate regarding the application of a Workers Compensation Alternate Dispute Resolution (ADR) program on a Project wide basis with the option of individual Union affiliates to opt out at their discretion. Notwithstanding the status of any of these negotiations, the remainder of this Agreement will remain in full force and effect."

6. Project PLA Letter of Assent

See attached.

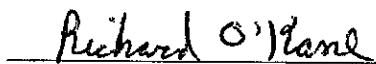
IN WITNESS WHEREOF, the parties have caused this Agreement to be executed and effective as of

The 26<sup>TH</sup> day of January 2017.



for

Nassau County Department of Public Works  
By: Ms. Shila Shah-Gavnoudias, Commissioner NCDPW



Nassau Suffolk Building and Construction Trades Council  
By: Richard O'Kane, President

**EXHIBIT**  
**Letter of Assent**  
**Nassau County Project Labor Agreement - Letter of Assent**

The undersigned party confirms that it agrees to be a party to and be bound by the Nassau County Project Labor Agreement, NCM-PLA, for the designated Project added to the Agreement by Addendum \_\_\_\_\_ Dated March 2015 as such agreement may, from time to time, be amended by the parties or interpreted pursuant to its terms. The terms of the NCM-PLA, Schedules, Addenda and Exhibits are hereby incorporated by reference herein.

The undersigned, as a Contractor or Subcontractor (hereinafter Contractor) on the specific project added by the prior stated addendum (hereinafter PROJECT), for and in consideration of the award to it of a contract to perform work on said PROJECT, and in further consideration of the mutual promises made in the NCM-PLA, a copy of which was received and is acknowledged, hereby:

1. Accepts and agrees to be bound by the terms and conditions of the Agreement, together with any and all schedules: amendments and supplements now existing or which are later made thereto. Agrees to be bound by the legally established collective bargaining agreements and local trust agreements to the extent set forth in the NCM-PLA.
2. Authorizes the parties to such local trust agreements to appoint trustees and successor trustees to administer the trust funds and hereby ratifies and accepts the trustees so appointed as if made by the Contractor.
3. Certifies that it has no commitments or agreements that would preclude its full and complete compliance with the terms and conditions of said NCM-PLA.
4. Agrees to employ labor that can work in harmony with all other labor on the Project and shall require labor harmony from every lower tier subcontractor it engaged to work on the Project, Labor harmony disputes issues shall be subject to the Labor Management Committee's Pre-Job conference provisions.
5. Agrees to secure from any Contractor(s) (as defined in said Agreement) which is or becomes a Subcontractor (of any tier), to it, a duly executed Agreement to be Bound in form identical to this document
6. Agrees that it will not invoke the Most Favored Nations Clause that may be contained in any of its Collective Bargaining Agreements with affiliated unions as a result of the application of this NCM-PLA to this project

\_\_\_\_\_  
(Print name of officer of contractor)

Subscribed and sworn to before  
this \_\_\_\_ day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
(Signature of officer of contractor)

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

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Address and Telephone Number