# Doing Business Data Form

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

Please return the completed Data Form to the City office that supplied it. Please contact the Doing Business Accountability Project at DoingBusiness@cityhall.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

## Section 1: Entity Information

<table>
<thead>
<tr>
<th>Entity Name:</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Entity EIN/TIN:</td>
<td></td>
</tr>
</tbody>
</table>

**Entity Filing Status (select one):**

- [ ] Entity has never completed a Doing Business Data Form. **Fill out the entire form.**
- [ ] Change from previous Data Form dated _____________. **Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.**
- [ ] No Change from previous Data Form dated _____________. **Skip to the bottom of the last page.**

<table>
<thead>
<tr>
<th>Entity is a Non-Profit:</th>
<th>[ ] Yes</th>
<th>[ ] No</th>
</tr>
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<table>
<thead>
<tr>
<th>Entity Type:</th>
<th>[ ] Corporation (any type)</th>
<th>[ ] Joint Venture</th>
<th>[ ] LLC</th>
<th>[ ] Partnership (any type)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[ ] Sole Proprietor</td>
<td>[ ] Other (specify):</td>
<td></td>
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<table>
<thead>
<tr>
<th>Address:</th>
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<table>
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<tr>
<th>City:</th>
<th>State:</th>
<th>Zip:</th>
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<table>
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<tr>
<th>Phone:</th>
<th>Fax:</th>
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<tr>
<th>E-mail:</th>
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Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

01/06/2011

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.
Section 2: Principal Officers

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the Doing Business Database, and indicate the date that the change became effective.

Chief Executive Officer (CEO) or equivalent officer

This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: ___________________________ MI: _____ Last: ___________________________
Office Title: ___________________________
Employer (if not employed by entity): ___________________________
Birth Date (mm/dd/yy): ________________ Home Phone #: ___________________________
Home Address: ___________________________

This person replaced former CEO: ___________________________ on date: ________________

Chief Financial Officer (CFO) or equivalent officer

This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: ___________________________ MI: _____ Last: ___________________________
Office Title: ___________________________
Employer (if not employed by entity): ___________________________
Birth Date (mm/dd/yy): ________________ Home Phone #: ___________________________
Home Address: ___________________________

This person replaced former CFO: ___________________________ on date: ________________

Chief Operating Officer (COO) or equivalent officer

This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: ___________________________ MI: _____ Last: ___________________________
Office Title: ___________________________
Employer (if not employed by entity): ___________________________
Birth Date (mm/dd/yy): ________________ Home Phone #: ___________________________
Home Address: ___________________________

This person replaced former COO: ___________________________ on date: ________________

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.
Section 3: Principal Owners

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, own or control 10% or more of the entity. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do not need to be listed. If an owner was identified on the previous page, fill in his/her name and write “See above.” If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

There are no owners listed because (select one):

☐ The entity is not-for-profit  ☐ There are no individual owners  ☐ No individual owner holds 10% or more shares in the entity
☐ Other (explain): __________________________________________________________________________________________

Principal Owners (who own or control 10% or more of the entity):

First Name: ___________________________________ MI: ____ Last: __________________________
Office Title: ________________________________
Employer (if not employed by entity): ________________________________
Birth Date (mm/dd/yy): ___________________________ Home Phone #: ___________________________
Home Address: ________________________________

First Name: ___________________________________ MI: ____ Last: __________________________
Office Title: ________________________________
Employer (if not employed by entity): ________________________________
Birth Date (mm/dd/yy): ___________________________ Home Phone #: ___________________________
Home Address: ________________________________

First Name: ___________________________________ MI: ____ Last: __________________________
Office Title: ________________________________
Employer (if not employed by entity): ________________________________
Birth Date (mm/dd/yy): ___________________________ Home Phone #: ___________________________
Home Address: ________________________________

Remove the following previously-reported Principal Owners:

Name: ______________________________________ Removal Date: __________
Name: ______________________________________ Removal Date: __________
Name: ______________________________________ Removal Date: __________

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.
Section 4: Senior Managers
Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

Senior Managers:
First Name: ___________________________ MI: _____ Last: ___________________________
Office Title: ________________________________________________________________
Employer (if not employed by entity): ____________________________________________
Birth Date (mm/dd/yy): ___________________________ Home Phone #: __________________
Home Address: __________________________________________________________________

First Name: ___________________________ MI: _____ Last: ___________________________
Office Title: ________________________________________________________________
Employer (if not employed by entity): ____________________________________________
Birth Date (mm/dd/yy): ___________________________ Home Phone #: __________________
Home Address: __________________________________________________________________

First Name: ___________________________ MI: _____ Last: ___________________________
Office Title: ________________________________________________________________
Employer (if not employed by entity): ____________________________________________
Birth Date (mm/dd/yy): ___________________________ Home Phone #: __________________
Home Address: __________________________________________________________________

**Remove the following previously-reported Senior Managers:**
Name: ___________________________ ___________________________ ____________________________
Name: ___________________________ ___________________________ ____________________________

Certification
I certify that the information submitted on these four pages and _____ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: ___________________________ Signature: ___________________________ Date: ___________________________
Entity Name: ___________________________ Title: ___________________________ Work Phone #: ___________________________

Please return this form to the City agency that supplied it to you, not to the Doing Business Accountability Project.

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

Printed on paper containing 30% post-consumer material
What is the purpose of this Data Form?
To collect accurate, up-to-date identification information about organizations that have business dealings with the City of New York in order to comply with Local Law 34 of 2007 (LL 34), the recently passed campaign finance reform law. LL 34 limits municipal campaign contributions from principal officers, owners and senior managers of entities doing business with the City and mandates the creation of a Doing Business Database to allow the City to enforce the law. The information requested in this Data Form must be provided, regardless of whether the organization or the people associated with it make or intend to make campaign contributions. No sensitive personal information collected will be disclosed to the public.

Why have I received this Data Form?
The contract, franchise, concession, grant or economic development agreement you are proposing on, applying for or have already been awarded is considered a business dealing with the City under LL 34. No proposal or application will be considered and no award will be made unless this Data Form is completed. Most transactions valued at more than $5,000 are considered business dealings and require completion of the Data Form. Exceptions include transactions awarded on an emergency basis or by publicly advertised, non-pre-qualified, competitive sealed bid. Other types of transactions that are considered business dealings include real property and land use actions with the City.

What individuals will be included in the Doing Business Database?
The principal officers, owners and certain senior managers of organizations listed in the Doing Business Database are themselves considered to be doing business with the City and will also be included in the Database.
- **Principal Officers** are the Chief Executive Officer (CEO), Chief Financial Officer (CFO) and Chief Operating Officer (COO), or their functional equivalents. See the Data Form for examples of titles that apply.
- **Principal Owners** are individuals who own or control 10% of more of the organization. This includes stockholders, partners and anyone else with an ownership or controlling interest in the entity.
- **Senior Managers** include anyone who, either by job title or actual duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any contract, concession, franchise, grant or economic development agreement with the City. At least one Senior Manager must be listed or the Data Form will be considered incomplete.

I have already completed a Doing Business Data Form; do I have to submit another one?
Yes. An organization is required to submit a Doing Business Data Form each time it enters into a transaction considered a business dealing with the City, including contract, concession and franchise proposals. However, the Data Form has both a Change option, which requires only information that has changed since the last Data Form was filed, and a No Change option. No organization should have to fill out the entire Data Form more than once.

If you have already submitted a Data Form for one transaction type (such as a contract), and this is the first time you are completing a Data Form for a different transaction type (such as a grant), please select the Change option and complete Section 4 (Senior Managers) for the new transaction type.

Will the personal information on this Data Form be available to the public?
No. The names and titles of the officers, owners and senior managers reported on the Data Form will be made available to the public, as will information about the organization itself. However, personal identifying information, such as home address, home phone and date of birth, will not be disclosed to the public, and home address and phone number information will not be used for communication purposes.
I provided some of this information on the VENDEX Questionnaire; do I have to provide it again?
Yes. Although the Doing Business Data Form and the VENDEX Questionnaire request some of the same information, they serve entirely different purposes. In addition, the Data Form requests information concerning senior managers, which is not part of the VENDEX Questionnaire.

What organizations will be included in the Doing Business Database?
Organizations that hold $100,000 or more in grants, contracts for goods or services, franchises or concessions ($500,000 for construction contracts), or that hold any economic development agreement or pension fund investment contract, are considered to be doing business with the City for the purposes of LL 34. Because all of the business that an organization does or proposes to do with the City will be added together, the Data Form must be completed for all transactions valued at more than $5,000 even if the organization doesn’t currently do enough business with the City to be listed in the Database.

No one in my organization plans to contribute to a candidate; do I have to fill out this Data Form?
Yes. All organizations are required to return this Data Form with complete and accurate information, regardless of the history or intention of the entity or its officers, owners or senior managers to make campaign contributions. The Doing Business Database must be complete so that the Campaign Finance Board can verify whether future contributions are in compliance with the law.

My organization is proposing on a contract with another firm as a Joint Venture that does not exist yet; how should the Data Form be completed?
A joint venture that does not yet exist must submit a Data Form for each of its component firms. If the joint venture receives the award, it must then complete a form in the name of the joint venture.

How long will an organization and its officers, owners and senior managers remain listed on the Doing Business Database?
• Contract, Concession and Economic Development Agreement holders: generally for the term of the transaction, plus one year.
• Franchise and Grant holders: from the commencement or renewal of the transaction, plus one year.
• Pension investment contracts: from the time of presentation on an investment opportunity or the submission of a proposal, whichever is earlier, until the end of the contract, plus one year.
• Line item and discretionary appropriations: from the date of budget adoption until the end of the contract, plus one year.
• Contract proposers: for one year from the proposal date or date of public advertisement of the solicitation, whichever is later.
• Franchise and Concession proposers: for one year from the proposal submission date.
For information on other transaction types, contact the Doing Business Accountability Project.

How does a person remove him/herself from the Doing Business Database?
When an organization stops doing business with the City, the people associated with it are removed from the Database automatically. However, any person who believes that s/he should not be listed may apply for removal. Reasons that a person would be removed include his/her no longer being the principal officer, owner or senior manger of the organization. Organizations may also update their database information by submitting an update form. Removal Request and Update forms are available online at www.nyc.gov/mocs (once there, click MOCS Programs) or by calling 212-788-8104.

What are the new campaign contribution limits for people doing business with the City?
Contributions to City Council candidates are limited to $250 per election cycle; $320 to Borough President candidates; and $400 to candidates for citywide office. Please contact the NYC Campaign Finance Board for more information at www.nyccfb.info, or 212-306-7100.

The Data Form is to be returned to the City office that issued it.

If you have any questions about the Data Form please contact the Doing Business Accountability Project at 212-788-8104 or DoingBusiness@cityhall.nyc.gov. 

1/3/2011