



Dear Applicant for Empire Zone Certification:

The Empire Zones Program is one of New York's most successful programs for encouraging businesses to grow and expand in the Empire State. Zones are home to companies specializing in all types of products and processes, from high-quality furniture manufacturing to high-tech testing; from consumer products sold regionally to agricultural and aerospace equipment marketed throughout the world. Empire Zone businesses have revitalized and reused land ranging from abandoned brownfields to blighted city blocks.

The Program is administered as a State and local government partnership designed to make participation for qualifying businesses as fast and easy as possible.

To become an Empire Zone certified business, your company must first be located in an Empire Zone. State law requires that a project must enhance the economic climate of the Zone as defined by the Zone's Development Plan. As such, your company's project must be consistent with the criteria stated in the Zone's local development plan created by the local Zone Administrative Board – which serves as the zone community's business plan. Changes to local Empire Zone business certification and boundaries start at the local level. Therefore, to determine if you meet State and local qualifications, you must check with your local Zone Coordinator (list attached).

**Once you complete your application, you must submit it to your local Zone Coordinator for approval and signature by the Zone Administrative Board and the local Zone Certification Officer before it is sent to Empire State Development for State level review and action. Failure to follow this procedure will delay your certification. In addition, if you are moving, or have moved your business operations from an area of New York State that is not designated as an Empire Zone to a zone location, you must also obtain approval from the municipality you are leaving before you can become certified as an Empire Zone business. Documentation of this approval must accompany the application.**

The application packet includes the following forms: Empire Zone List of Coordinators, EZ 1-Process for reviewing applications, EZ-1 Empire Zone Certification Application & Instructions. There are two other forms that may be required depending on the circumstances of your business, Form EZ-1 Supplemental Form, Form EZ-3 Leased Employees-Common Paymaster Attachment.

The Empire Zones program is a vital economic development program that provides incentives to more than 9,500 certified businesses employing approximately 380,000 New Yorkers. The New York State Department of Economic Development invites you to use this Program to relocate or expand in one of the 82 designated zones throughout the State. Thank you for your interest in the Empire Zones Program and New York State looks forward to helping your business grow and prosper.

# ***ZONE COORDINATORS***

7/3/2008

<b>ID</b>	<b>Zone</b>	<b>Name</b>	<b>Affiliation</b>	<b>Address</b>	<b>Phone</b>	<b>Fax</b>	<b>e-mail address</b>
10	East New York	Bill Wilkins	Local Development Corporation of East New York	80 Jamaica Avenue, 3rd Floor New York , NY 11207	(718) 385-6700	(718) 385-7505	billscott44@aol.com
11	Port Morris	Stephane Hyacinthe	South Bronx Overall EDC (SOBRO)	551-555 Bergen Avenue Bronx , NY 10455	(718) 732-7537	(718) 292-3115	shyacinthe@sobro.org
12	South Jamaica	Keicey Castle	Greater Jamaica Development Corp.	90-04 161 Street Jamaica , NY 11432	(718) 291-0282	(718) 658-1405	kcastle@gjdc.org; rwerber@gjdc.org
13	Gloversville	Lisa McCoy	Fulton County EDC	The Crossroads Professional Office Complex 110 Decker Drive, Ste. 110 Johnstown , NY 12095	(518) 773-8700	(518) 773-8701	lisam@sites4u.org
14	Ogdensburg	Kimberly DesChamp	City of Ogdensburg	330 Ford Street, Room 11 Ogdensburg , NY 13669	(315) 393-7150	(315) 393-1136	kdeschamp@ogdensburg.org
15	Cattaraugus County	John Sayegh	Cattaraugus Empire Zone Corporation	120 North Union Street Olean , NY 14760	(716) 373-9260	(716) 372-7912	jsayegh@oleanny.com
16	Lackawanna	William Eagan	City of Lackawanna	City Hall, Room 309 714 Ridge Road Lackawanna , NY 14218	(716) 827-6421	(716) 827-1866	lackawannaempirezone@yahoo.com
17	Syracuse	Patrice Bey	Rebuild Syracuse, Inc., dba Syracuse Empire Zone	City Hall 233 E. Washington St., Rm. 312 Syracuse , NY 13202	(315) 448-8028	(315) 448-8036	pbey@edsyracuse.com
18	Islip	William Mannix	Town of Islip	40 Nassau Avenue Islip , NY 11751	(631) 224-5512	(631) 224-5532	w.mannix@townofislip-ny.gov
19	Troy	Sondra Little	City of Troy	City Hall One Monument Square Troy , NY 12180	(518) 270-4589	(518) 270-4642	sondra.little@troyny.gov
21	Auburn	Marlene Bryant	City of Auburn	24 South Street Auburn , NY 13201	(315) 255-4115	(315) 253-0282	mbryant@ci.auburn.ny.us
22	East Harlem	Sandra Morales DeLeon	East Harlem Business Capital Corporation, Inc.	2261-63 First Avenue, 3rd Floor New York , NY 10035	(212) 427-6590	(212) 427-6537	smdeleon@ehbcc.org
23	Elmira	James Johnson	Southern Tier Economic Growth	400 East Church Street Elmira , NY 14902	(607) 733-6513	(607) 734-2698	jjohnson@steg.com
24	Essex County/Moriah-Port Henry	Barbara Brassard	Essex County Industrial Development Agency	7566 Court Street P.O. Box 217 Elizabethtown , NY 12932	(518) 873-9114	(518) 873-2011	empirezone@essexcountyyida.com
25	Niagara Falls	Clara Dunn	NFC Development Corporation	745 Main Street, City Hall P.O. Box 564 Niagara Falls , NY 14305	(716) 286-4481	(716) 286-4484	clara.dunn@niagarafallsny.gov
26	Oswego	Mary Vanouse	Operation Oswego County, Inc.	44 West Bridge Street Oswego , NY 13126	(315) 343-3795	(315) 342-8231	mvanouse@oswegony.org

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27	Plattsburgh	Benjamin Zimmerman	City of Plattsburgh Zone Coordinator	P.O. Box 3367 Saratoga Springs , NY 12866	(518) 899-2608	(518) 899-9642	ben@camoinassociates.com
28	Utica	Jack Spaeth	City of Utica	One Kennedy Plaza Utica , NY 13502	(315) 792-0195	(315) 797-6607	jspaeth@cityofutica.com
29	Yonkers	Mary Alice Brady	City of Yonkers Office of Economic Development	City Hall 40 South Broadway, 4th Fl. Yonkers , NY 10701	(914) 377-6136	(914) 377-6003	maryalice.brady@cityofyonkers.com
31	Albany (City)	Maria Pidgeon	Albany Local Development Corporation	21 Lodge Street Albany , NY 12207	(518) 434-2532	(518) 434-9846	pidgeonm@ci.albany.ny.us
32	Friendship	Wendall E. Brown	ACCORD Corp./Friendship EZ	Crossroads Commerce Center 6087 Route 19N, Ste.170 Belmont , NY 14813	(585) 268-9094	(585) 268-5085	wbrown@accordcorp.org
33	Hunts Point	Jeremie Sautter	Hunts Point Economic Development Corporation	355 Food Center Drive, C-104 Bronx , NY 10474	(718) 842-1717	(718) 842-6592	jsautter@hpedc.org; jsinfante@aol.com
34	Triple Cities (Broome County)	Margaret Scarinzi	Binghamton Local Development Corporation	Broome County Empire Zone PO Box 1766, 5th Floor COB Binghamton , NY 13902	(607) 778-6001	(607) 778-6051	mscarinzi@co.broome.ny.us
35	Greater Jamestown	Greg Lindquist	City of Jamestown	Municipal Building 200 East 3rd Street Jamestown , NY 14701	(716) 483-7773	(716) 483-7770	lindquist@cityofjamestownny.com
36	Norwich	Jennifer Tavares	Greater Norwich Empire Zone	19 Eaton Avenue Norwich , NY 13815	(607) 334-5532	(607) 336-6963	jtavares@chenangony.org
37	Dutchess County	Theresa Kelly	Poughkeepsie/Dutchess Development, Inc.	3 Neptune Road Poughkeepsie , NY 12601	(845) 463-5420	(845) 463-5401	tkelly@dcedc.com
38	Buffalo	Lorrie Abounader	Buffalo Economic Renaissance Corp.	920 City Hall 65 Niagara Square Buffalo , NY 14202	(716) 842-2667	(716) 842-6942	labounader@berc.org
39	Watertown	Rachel Selsky	City of Watertown Empire Zone	c/o Camoin Associates, Inc. P.O. Box 3367 Saratoga Springs , NY 12866	(518) 899-2608	(518) 899-9642	rachel@camoinassociates.com
40	Southwest Brooklyn	Bryan Barrett	Southwest Brooklyn Industrial Development Corporation	241 41st Street, 2nd Floor Brooklyn , NY 11232	(718) 965-3100	(718) 965-4906	bbarrett@sbidc.org
41	Lewis County	Ben Zimmerman	County of Lewis	c/o Camoin Associates, Inc. P.O. Box 3367 Saratoga Springs , NY 12866	(518) 899-2608	(518) 899-9642	ben@camoinassociates.com
42	Rochester	Beth Ehmann	Rochester Economic Development Corporation	30 Church Street Room 005-A City Hall Rochester , NY 14614	(585) 428-6853	(585) 428-6042	ehmannb@cityofrochester.gov
43	Rome	Peter Zawko	Mohawk Valley EDGE	153 Brooks Road Rome , NY 13440	(315) 338-0393	(315) 338-5694	pzawko@mvedge.org
44	Geneva	Valerie Bassett	City of Geneva	City Hall 47 Castle Street Geneva , NY 14456	(315) 789-4393	(315) 789-4294	vbassett@geneva.ny.us

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45	Fulton	Joseph Fiumara	City of Fulton Community Development Agency	125 West Broadway Fulton , NY 13069	(315) 593-7166	(315) 593-7754	FultonCDA@windstream.net
46	Far Rockaway	Janet Henriquez	Rockaway Development & Revitalization Corp.	1920 Mott Avenue Far Rockaway , NY 11691	(718) 327-5300	(718) 327-4990	jhenriquez@rdrc.org
47	Staten Island - North Shore	Jay Anderson	Staten Island Economic Development Corporation	900 South Avenue Suite 402 Staten Island , NY 10314	(718) 477-1400	(718) 477-0681	jay@siedc.net
48	Potsdam	James Murphy	Potsdam Planning and Development Office	Civic Center P.O. Box 5168 Potsdam , NY 13676	(315) 265-1670	(315) 265-6020	jmurphy@vi.potsdam.ny.us
49	Schenectady (Glenville)	Jesmarie Soto	City of Schenectady	City Hall 105 Jay Street, Room 14 Schenectady , NY 12305	(518) 382-5147	(518) 382-5275	Jsoto@schenectadyny.gov
50	Brookhaven	Anthony M. Figliola	Town of Brookhaven	One Independence Hill Farmingville , NY 11738	(631) 451-6565	(631) 451-6925	afigliola@brookhaven.org
51	Kingston	Amanda Bruck	City of Kingston	420 Broadway Kingston , NY 124014626	(845) 334-3962	(845) 334-3976	abruck@ci.kingston.ny.us
52	Albany County	Thomas Leitz	Albany County	112 State Street Room 720 Albany , NY 12207	(518) 447-5669	(518) 447-5662	Thomas.Leitz@albanycounty.com
53	North Brooklyn (Navy Yard)	Caitlin Dourmashkin	East Williamsburg Valley Industrial Development Corporation	11 Catherine Street Room 312 Brooklyn , NY 112112706	(718) 388-7287	(718) 963-1905	cdourmashkin@ewwidco.com
54	Amsterdam	Fred Quist	Amsterdam-Florida-Glen EZ	61 Church Street City Hall Amsterdam , NY 12010	(518) 841-4369	(518) 842-0784	fredquist@Amsterdamedz.com
55	Dunkirk (Sheridan)	Patrick K. Stokes	Chautauqua Opportunities for Development, Inc.	Stearns Building, 338 Central Avenue, Ste. 210 Dunkirk , NY 14048	(716) 366-2334	(716) 366-7407	dunkirk.sheridan@dsez.com
56	Clinton County	Adore' Flynn Kurtz	The Development Corp - Clinton County NY	61 Area Development Drive Plattsburgh , NY 12901	(518) 563-3100	(518) 562-2232	afkurtz@thedevelopcorp.com
57	Seneca County	Patricia Jones	Seneca County Industrial Development Agency	One DiPronio Drive Waterloo , NY 13165	(315) 539-1727	(315) 539-4340	pjones@co.seneca.ny.us
59	Onondaga County	ATTN: Gregory Hitchin	Onondaga County Office of Economic Development	421 Montgomery Street Syracuse , NY 13202	(315) 435-3770	(315) 435-3669	gregoryhitchin@ongov.net
60	Orange County	ATTN: Lorrie Dana	Orange County	Orange County Government Center 255 Main Street Goshen , NY 10924	(845) 291-7639	(845) 291-2724	ldana@co.orange.ny.us
61	Suffolk County	Tracy Stark	Town of Riverhead Community Development Agency	200 Howell Avenue Riverhead , NY 11901	(631) 727-3200	(631) 208-3023	edz@riverheadli.com
62	Tioga County	Teresa Saraceno	Tioga County Economic Development and Planning	56 Main Street Owego , NY 13827	(607) 687-8260	(607) 687-1435	saraceno@co.tioga.ny.us

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63	Broome County	Margaret Scarinzi	Broome County	Broome County Empire Zone PO Box 1766, 5th Floor COB Binghamton , NY 13902	(607) 778-6001	(607) 778-6051	mscarinzi@co.broome.ny.us
65	Hornell	James Griffin	City of Hornell Industrial Development Agency	40 Main Street Hornell , NY 14843	(607) 324-0310	(607) 324-3776	griff@hornellny.com
66	Cortland County	Karen Niday	Cortland County Business Development Corporation	37 Church Street Cortland , NY 13045	(607) 753-5005	(607) 753-7901	empirezone@cortlandbusiness.com
67	Sullivan County	Susan B. Jaffe	Sullivan County	Government Center 100 North Street Monticello , NY 12701	(845) 794-3000	(845) 794-5538	Susan.Jaffe@co.sullivan.ny.us
68	Staten Island - West Shore	Jay Anderson	Staten Island Economic Development Corporation	900 South Avenue Suite 402 Staten Island , NY 10314	(718) 477-1400	(718) 477-0681	jay@siedc.net
69	Columbia County	Todd Erling	Columbia Economic Development Corporation	c/o Columbia Hudson Partnership 610 State Street Hudson , NY 12534	(518) 828-4718	(518) 828-0901	terling@chpartnership.com
70	Tonawanda	Robert Dimmig	Town of Tonawanda Empire Zone Administrative Board	169 Sheridan-Parkside Drive Tonawanda , NY 14150	(716) 871-8072	(716) 871-8073	rdimmig@tonawanda.ny.us
71	Monroe County	Lydia Birr	Empire Zone of Monroe County, Inc.	50 West Main St., City Place Suite 8100 Rochester , NY 14614	(585) 753-2018	(585) 753-2028	lbirr@monroecounty.gov
72	Warren County	Len Fosbrook	Warren County Economic Development Corporation	234 Glen Street Glens Falls , NY 12801	(518) 761-6007	(518) 761-9053	lfosbrook@warrencounty.org
73	Saratoga County	Shelby Schneider	Saratoga Economic Development Corporation	28 Clinton Street Saratoga Springs , NY 12866	(518) 587-0945	(518) 587-5855	sschneider@saratogaedc.com
74	Buffalo (#2)	Lorrie Abounader	Buffalo Economic Renaissance Corporation	920 City Hall 65 Niagara Square Buffalo , NY 14202	(716) 842-2667	(716) 842-6942	labounader@berc.org
75	Schuyler County	Charles Peacock	Schuyler County Partnership for Economic Development	2 North Franklin Street Watkins Glen , NY 14891	(607) 535-4341	(607) 535-7221	charles@scoped.biz
76	Mount Vernon	Theresa Reid	Mount Vernon Urban Renewal Agency	City Hall -- Roosevelt Square Planning Dept., Room 211 Mount Vernon , NY 10550	(914) 699-7230	(914) 699-1435	treid@cmvny.com
77	Franklin County	Carmen Lorentz	Franklin County Local Development Corporation	10 Elm Street Malone , NY 12953	(518) 899-2608	(518) 899-2608	carmen@camoinassociates.co
78	Otsego County	Zondra Hart	Otsego County	242 Main Street Oneonta , NY 13820	(607) 432-8871	(607) 432-5117	hartz@otsegocounty.com
80	Madison County	Kelly Scranton/Mike Magnusson	Madison County	North Court Street P.O. Box 606 Wampsville , NY 13163	(315) 366-2779	(315) 366-2742	econ.dev@co.madison.ny.us
81	Washington County	Mac Sanders	Washington County Local Development Corporation	County Office Building 383 Broadway Ft. Edward , NY 12828	(518) 746-2295	(518) 746-2293	msanders@co.washington.ny.us

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82	Wayne County	Jared VanDusen	Wayne County	16 Williams Street Lyons , NY 14489	(315) 946-5917	(315) 946-5918	JVanDusen@co.wayne.ny.us
83	Genesee County	Steven C. Lockwood	Genesee County Industrial Development Agency	1 Mill Street Batavia , NY 14020	(585) 343-4866	(585) 343-0848	slockwood@gcedc.com
84	Orleans County	Gabrielle Barone	County of Orleans Industrial Development Agency	111 West Avenue Albion , NY 14411	(585) 589-7060	(585) 589-5258	gabriellebarone2@gmail.com
85	Rensselaer County	Jay Sherman	Rensselaer County Economic Development and Planning	1600 7th Avenue Troy , NY 12180	(518) 270-2917	(518) 270-2981	jayhs Sherman@aol.com; jsherman@rensco.com
86	Herkimer County	Martin Regan	Herkimer County	320 N. Prospect Street P.O. Box 390 Herkimer , NY 13350	(315) 867-1373	(315) 867-1515	mregan@herkimercounty.org
87	Oneida County	Peter Zawko	MohawkValley EDGE	153 Brooks Road Rome , NY 13441	(315) 338-0393	(315) 338-5694	pzawko@mvedge.org
89	Chinatown	Hally Chu	Renaissance EDC	1 Pike Street New York , NY 10002	(212) 964-6022	(212) 964-6003	hally@aafecdf.org
90	Nassau County	Evette Beckett-Tuggle	Nassau County Office of Economic Development	1550 Franklin Avenue, Suite 235 Mineola , NY 11501	(516) 571-1948	(516) 571-1052	ebeckett-tuggle@nassaucountyny.gov
91	Livingston County	Julie A. Marshall	Livingston County Office Economic Development	6 Court Street Geneseo , NY 14450	(585) 243-7124	(585) 243-7126	jmarshall@co.livingston.ny.us
92	Delaware County	William Willis	Delaware County Economic Development	One Courthouse Square, Ste. 2 13753 Delhi , NY	(607) 746-8595	(607) 746-8836	william.willis@co.delaware.ny.u
93	Greene County	ATTN: Warren Hart	Greene County Planning & Economic Development	County Office Building 411 Main Street Catskill , NY 12414	(518) 719-3290	(518) 719-3789	whart@discovergreene.com
94	Hamilton County	William G. Farber	Hamilton County Board of Supervisors	P.O. Box 203 Lake Pleasant , NY 12108	(518) 548-6651		hamcosup@frontiernet.net
95	Rockland County	Steven Porath	Rockland Economic Development Corporation	One Blue Hill Plaza, PO Box 1575 Pearl River , NY 10965	(845) 735-7040	(845) 735-5736	stevenp@redc.org
96	Schoharie County	Julie Pacatte Rohan	Schoharie County Industrial Development Agency	349 Mineral Springs Road Cobleskill , NY 12043	(518) 234-3751	(518) 234-3951	juliepacatte@yahoo.com
97	Tompkins County	Heather Filiberto	Tompkins County Area Development	200 East Buffalo Street, Ste. 102A Ithaca , NY 14850	(607) 273-0005	(607) 273-8964	heatherf@tcad.org
98	Wyoming County	Michael E. Heftka	Wyoming County Board of Supervisors	143 N. Main St. Warsaw , NY 14530	(585) 237-4110	(585) 237-4113	wcida@rochester.rr.com
99	Yates County	Steven Griffin	Yates County Industrial Development Agency	1 Keuka Business Park, Ste. 104 Penn Yan , NY 14527	(315) 536-7328		steve@yatesida.com
100	Putnam County	Burt Houseworth	Putnam Industrial Development Agency	34 Gleneida Avenue Carmel , NY 10512	(845) 228-8066	(842) 225-0311	burtida@comcast.net



**State of New York  
Empire Zones Program  
Process For Reviewing and Approving  
APPLICATION FOR JOINT CERTIFICATION OF AN EMPIRE ZONE BUSINESS ENTERPRISE**

The following description of the approval process for Empire Zone Certification applications is based on New York State regulations (Section 11.5 of Part 11 of Chapter II, Title 5 NYCRR). **Submission of an incomplete application or an application with incorrect or fraudulent information will result in a delay of approval for, or a denial of, certification.**

Completed applications for certification must be submitted by the business enterprise to the local zone for approval by the local zone administration board (ZAB) and local zone certification officer (ZCO). The local zone certification officer must approve or disapprove the completed application within **10 business days** of receiving a completed application from the ZAB. An application is deemed complete after approval by the ZAB. A completed application means the official Empire Zone certification application form has been filled out in its entirety and all required information is provided. If an application is incomplete, the local zone should return the application to the applicant for completion.

If the local zone administration board or certification officer disapproves the application, the board or officer must notify the business enterprise in writing, specifying the grounds for disapproval, and send a copy of such notification and the application to the Commissioner of Economic Development. If the application is approved, it must be delivered to the Commissioner of Economic Development.

Within **five business days** of receiving the completed and signed copy of an application approved by the ZAB and ZCO, the Commissioner of Economic Development shall deliver one copy to the Commissioner of Labor. However, if the application is missing any information, the Commissioner of Economic Development must first notify the local zone. The local zone must provide the requested information to the Commissioner of Economic Development within **10 business days** from the receipt of the notification. If the local zone fails to provide the requested information within the **10 business days**, the Commissioner of Economic Development shall disapprove the application.

Within **15 business days** of receipt of a copy of an application from the Commissioner of Economic Development, the Commissioner of Labor shall approve or disapprove the application. Provided, however, that within **10 business days** of receipt of the copy of the application from the Commissioner of Economic Development, the Commissioner of Labor shall notify the applicant of all deficiencies, and the applicant has **15 business days** from the mailing of the notification to correct any deficiencies. If the applicant fails to correct the deficiencies within the time specified, the Commissioner of Labor shall disapprove the application.

If the Commissioner of Labor approves the application, the copy is delivered to the Commissioner of Economic Development. The Commissioner of Economic Development must approve or disapprove of the application within **five business days** of receiving a copy from the Commissioner of Labor.

Once the Commissioner of Economic Development approves the application, a numbered certificate is issued and delivered to the local zone authorizing the business to operate as an Empire Zone enterprise. The local certification officer must sign and issue to the applicant the numbered certificate of Empire Zone joint certification, and send copies to the Commissioners of Labor, Economic Development and Taxation and Finance.

The effective date of certification for an approved application is the date the local zone certification officer approves the application as indicated by his or her signature and the date such signature was affixed to the application.

If at any time during the review process, an application is disapproved, the grounds for disapproval will be specified and provided to the applicant by the local zone.



**State of New York  
Empire Zones Program  
Instructions for completing and transmitting the  
APPLICATION FOR JOINT CERTIFICATION OF AN EMPIRE ZONE BUSINESS ENTERPRISE**

The information requested in sections A-H of this application should be provided by **the responsible officer of the business seeking certification** as an Empire Zone enterprise, or an authorized representative of that business. It is strongly recommended that this application be completed in consultation with the local zone administrator. Instructions are provided below for select questions in the application where the answer is not evident and further explanation is needed.

The completed application must be signed by the applicant or an authorized representative. Please note that if a third party will be signing the application on behalf of the applicant, a completed power of attorney must be submitted along with this application. After signing the acknowledgements where indicated in Section H, the completed application must be forwarded to the local zone (See list of Empire Zone Contacts). **Do not submit this application directly to the Department of Economic Development. You must first obtain the approval of the local zone officials. Failure to follow this procedure will result in the delay of approving your application.**

**NOTE TO ALL APPLICANTS OR THEIR AUTHORIZED REPRESENTATIVES: Submission of an incomplete application or an application with incorrect or fraudulent information will result in a delay of approval for, or a denial of, certification.**

FOR LOCAL ZONE USE: The local certification officer shall mail the completed application plus one copy to: NYS Department of Economic Development, 30 South Pearl Street, 7<sup>th</sup> Floor, Albany, New York 12245.

**SECTION A: DESCRIPTION OF APPLICANT BUSINESS AND CONTACT INFORMATION**

1. Please use the legal name of the business organization. You can include the name under which the business operates (i.e., dba), provided it accompanies the legal name. NOTE: Legal name should correspond with the federal employment identification number (FEIN) provided in question 9.
2. A manufacturer is a taxpayer which during the taxable year is principally engaged in the production of goods by manufacturing, processing, assembling, refining, mining, extracting, farming, agriculture, horticulture, floriculture, viticulture, or commercial fishing, or a business engaged in emerging technologies (pursuant to section 3102-e of the Public Authorities Law).

The North American Industrial Classification System (NAICS) is a new business classification scheme introduced by the Office of Management and Budget (OMB) in 1997 to replace the SIC and make it more compatible with systems used in Canada and Mexico. These codes are assigned to all business establishments. Therefore, a business with multiple establishments can have multiple classification codes assigned to it. **For purposes of Empire Zone certification, please provide the NAICS code for the establishment for which the applicant is seeking certification.** If you are not certain what your NAICS code is, you can call 1-800-HIRE-992 or go to [www.census.gov](http://www.census.gov).

3. For purposes of this question, a corporation is defined as an Article 9-A taxpayer. This distinction is important for calculating the potential value of the empire zones investment tax credit (ITC) the applicant may be eligible to receive. The ITC is 10 percent of a qualifying investment for Article 9-A taxpayers. If the applicant is an Article 22 taxpayer, which includes: individuals, sole proprietors, partners in a partnership including members of an LLC if that LLC is treated as a partnership for Federal tax purposes, and shareholders of a S Corporation, then the potential ITC is 8 percent of a qualifying investment. If the

applicant is organized as an LLC but files as a C Corporation on their Federal Tax Return, then the applicant should check “corporation” to answer this question.

5. Please check all that apply. For example, if a business is minority **and** women owned, check both.

A new business is new to New York State if, within the five years preceding the date the applicant signs the application for certification:

- It is a start-up business (i.e. new business venture, not an existing entity that has changed its status);
- It is an existing business entity with no previous operations in NYS that is moving some or all of its operations into the State;
- It is an existing business entity with no previous operations in NYS that merged with a business entity with previous operations in NYS to form a new entity;
- It is an existing business entity that acquired a business entity with previous operations in NYS.

6. Please specify whether the business is a calendar year or fiscal year taxpayer. If fiscal year, indicate the fiscal period (i.e. 7/1 – 6/30).

7. A certified business must submit a Business Annual Report in order to maintain its certification. This report (and other official correspondence) should be directed to the address of the representative that will be responsible for ensuring compliance with program administrative requirements. This should be a general executive officer or employee of the company and not an accountant, consultant, or other third party representative.

8. The designated contact is the person with whom the local zone administrator/coordinator, and officials from the Departments of Economic Development and Labor, will communicate regarding all questions and matters relating to the application for certification. If the designated contact of the applicant is a consultant, accountant, or other third party representative of the applicant, then the responsible officer of the applicant must provide a letter authorizing the representative to release information necessary for completion of the application to ESD and NYSDOL. A completed power of attorney form may be attached in lieu of a letter. A completed power of attorney must be submitted if the third party representative is signing the application on behalf of the applicant.

## **SECTION B: BUSINESS IDENTIFICATION NUMBERS**

9. The Federal Employer Identification Number (FEIN) is the business’ taxpayer identification number. If the business is a sole-proprietorship and has no employees or does not project hiring employees within 90 days from the date the applicant signs the application, please provide the social security number of the principal owner. If applicant is a sole-proprietorship and has employees at time of application or projects hiring employees in the near future, then a FEIN is required. Apply for a FEIN online at [www.irs.com](http://www.irs.com) (Form SS-4).
10. The Unemployment Insurance Registration Number (UI) is the number assigned when the business registered with the Department of Labor, Unemployment Division. The UI number may be obtained from the Department of Labor, Unemployment Division at (518) 485-8589 or 1-888-899-8810.
11. The Worker’s Compensation Policy Number (WCI) is the Workers' Compensation insurance policy number. If hiring has already occurred, the policy must be in effect. For further information contact the Worker’s Compensation Board at (518) 474-6967 or go to <http://www.wcb.state.ny.us/content/main/Employers.htm> If there is no WCI policy number,

indicate if the applicant is self-insured. If not, insurance may be purchased from a private carrier, or from the State Insurance Fund 1-888-875-5790, or from the Worker's Compensation Board, Self Insurance Office (518) 402-0247.

12. The Disability Insurance Policy Number (DI) is the Disability benefits insurance policy number. If hiring has already occurred, the policy must be in effect. For further information, call 1-800-353-3092. If there is no DI policy number, indicate if the applicant is self-insured. If not, insurance may be purchased from a private carrier, or from the State Insurance Fund 1-888-875-5790, or from the Worker's Compensation Board, Self Insurance Office (518) 402-0247.

13. A professional employment organization (PEO) or common paymaster's\* federal taxpayer identification number, unemployment insurance registration number, or workers' compensation or disability insurance policy may cover the applicant. If unemployment insurance coverage is being provided by a third party, complete and attach Form EZ-3. This form is necessary for the PEO or common paymaster to authorize the Department of Labor to disclose unemployment insurance information and records for purposes related to certifying the applicant. A third party may also provide site specific workers compensation or disability insurance for the applicant.

\*A common paymaster situation exists when two or more financially related corporations concurrently employ the same individual and one of the corporations compensates the individual for the concurrent employment. Corporations are deemed to be financially related if the same principal or principals own 50% or more of each of the alleged financially related businesses.

14. If any of the retained jobs or new jobs, created or projected, will be for leased employees through a PEO or common paymaster, complete and attach form EZ-3. This form is necessary for the leasing company to authorize the Department of Labor to disclose unemployment insurance information and records for purposes related to certifying the applicant.

15. Predecessor Company. Any entity that was engaged in work substantially similar to the applicant prior to the establishment of the applicant as a business entity where there is a substantial continuity of operation between that entity and the applicant. Substantial continuity of operation includes, but is not limited to, such considerations as some of the same officers or shareholders, or access and use of the same equipment and facilities.

### **SECTION C: CERTIFICATION HISTORY**

16. If the applicant has previously been denied certification in any zone, the Commissioner of Economic Development would have notified, in writing, the local certification officer and the Department of Labor, specifying the grounds for disapproval. The local zone certification officer would have notified the applicant.

17. Has this business previously received certification in any zone and been decertified?

If yes to either questions 16 or 17, briefly summarize the reasons for denial /decertification. Provide an explanation of how the problem or issue that led to business' denial or decertification has been either remedied or resolved. If no remedy or resolution to the issue has been made, indicate "NO REMEDY/RESOLUTION." If the company has voluntarily decertified, just indicate so.

## SECTION D: NYS EMPLOYMENT AND ASSET INFORMATION

18. Using the table provided on the following page, calculate the average number of FTE jobs that the company has in all NYS locations (including all locations in Empire Zones) for the four years preceding the year of certification, the year of certification and the current year. Exclude general executive officers\* and related persons.

\*General executive officers are the chairman, president, vice president, secretary, assistant secretary, treasurer, assistant treasurer, comptroller, and any other officer charged with the general affairs of the applicant company. A general executive officer is, therefore, an appointed or elected officer of the corporation having company-wide authority with respect to assigned functions or responsibility for an entire division of the company. If there is less than one FTE currently employed, please indicate PT (part-time) in the answer to this question.

Owners (and related persons), in sole-proprietorships and partners (and related persons) within companies organized as partnerships, are also excluded from the employee counts calculated for this question.

Example One: The applicant was first certified in another Empire Zone in 2003. Provide the average number of jobs for 1999 (Prior Year 4), 2000 (Prior Year 3), 2001 (Prior Year 2), 2002 (Prior Year 1), 2003 (Year of certification), and the current year (year in which the application is being submitted).

Example Two: The applicant is not an Empire Zone certified enterprise and is applying for certification prior to November 1<sup>st</sup> of the current year, i.e. the year of certification and the current year are likely to be the same. If the current year is 2007, provide the average number of jobs for 2003 (Prior Year 4), 2004 (Prior Year 3), 2005 (Prior Year 2), 2006 (Prior Year 1), and 2007 (Year of certification and current year).

These employment figures should include full-time (FT) and full-time equivalent positions (FTE). General executive officers of the company are excluded from the employment count.

A full-time job equals a position where an employee works at least 35 hours per week.

A full-time equivalent job equals:

- Any combination of two or more part-time jobs that, when combined together, constitute the equivalent of a job of at least 35 hours per week.

Example 1: two part-time workers each work 20 hours per week. Combined, they work a total of 40 hours per week. Since 40 hours per week is greater than 35 hours, these two workers equate to one FTE.

Example 2: three part-time workers each work 10, 10, and 15 hours per week respectively. Combined, they work a total of 35 hours per week. These three workers equate to one FTE.

Example 3: three part-time workers each work 10 hours per week. Combined they work a total of 30 hours per week. Since 30 is less than 35 hours per week, these jobs do not equal one FTE and therefore would not be counted.

The table below illustrates how to calculate the average employment for full-time jobs and full-time equivalent jobs for each year.

<b>Year</b>	<b>March 31<sup>st</sup></b>	<b>June 30<sup>th</sup></b>	<b>Sept. 30<sup>th</sup></b>	<b>Dec. 31<sup>st</sup></b>	<b>Average</b>
Full-time					
FTEs					
<b>Total</b>					

Determine the number of full-time and FTE positions for each quarter ending on March 31<sup>st</sup>, June 30<sup>th</sup>, September 30<sup>th</sup>, and December 31<sup>st</sup>, add together, and divide by 4, giving an average for the year.

NOTE: If the applicant does not have employment in all 4 quarters: determine the number of positions for each quarter (per above), add together, and divide by the number of quarters of actual employment. For example, the applicant may only have been operational for 3 quarters of a particular year, beginning April 1<sup>st</sup>, at which time hiring began. Determine the number of positions for the quarters ending June 30<sup>th</sup>, September 30<sup>th</sup>, and December 30<sup>th</sup>, add together and divide by 3 to determine the average employment for that year. This calculation also applies to positions for seasonal businesses as defined by the Department of Tax and Finance.

*When the average is calculated, a fractional number may result, e.g. the average of (4 + 5 + 4 + 5) = 4.5. Please report the average result as it is calculated.*

19. Provide an estimate of the value of all real property, plant and equipment and other tangible personal property\* subject to depreciation for all facilities owned by the applicant that are located within New York State, (INCLUDING FACILITIES WITHIN EMPIRE ZONE LOCATIONS). This value should be the average of the value of any capital investments or investments in tangible personal property subject to depreciation that the applicant is projecting to make in all NYS locations over the next five year period, including those investments to be made during the year of certification. Typical years are those in which no unusual financial events occur (e.g. merger; acquisition of property, etc.) Do not include operating expenses such as office supplies, utilities, rent, and other recurring expenses.

\*The value of real and tangible property means the adjusted basis of the property(ies) for federal income tax purposes with the exception of any rental property(ies) the applicant owns. The value of rental property shall be 8 times the gross yearly rent collected by the owner.

20. Include the expected average remuneration (i.e. wages including supplemental pay; benefits such as health insurance, retirement benefits, and other non-mandated benefits; or where insurance costs are above the minimum required) paid to employees at all facilities owned or operated by the applicant that are located within New York State, (INCLUDING EMPLOYEES AT FACILITIES WITHIN EMPIRE ZONE LOCATIONS- excluding general executive officers). Use the average, over a five year period beginning with the current year, of the expected value of the wages and benefits that will be paid out during the applicant's projected average typical year. To calculate, add the expected gross totals of payroll and benefit amounts for all NYS employees for the next five years, beginning with the current year and divide by five. Typical years are those in which no unusual financial events occur (e.g. merger; acquisition of property, etc.).

**SECTION E: EMPIRE ZONE LOCATION INFORMATION**

21. Indicate what percentage of the average annual sales from this zone facility are within the municipality of the zone facility (e.g. city, town, village), the county, New York State, and outside New York State. For example, a furniture retailer may estimate that of the average annual sales from the retail store within the zone facility seeking certification: 20% is sold to customers within the city, 40% to customers within the county, 80% to customers within NYS, and 20% to customers outside of NYS. The percentages of sales within NYS and outside of NYS should add up to 100 percent.

If the business is a retailer/service provider such as a restaurant, gift shop, professional service firm, etc. and does not track customer data in a manner that allows estimates of sales by customer location to be made, assume that 100% of the sales are within the municipality, county and New York State.

If the operations of the zone facility seeking certification is part of a larger corporation and only provides sales or services internally to other entities within the corporation, provide an estimate based on how the corporation tracks such internal transactions.

22. Provide the average number of FTE jobs that the company has in all Empire Zone locations – that is, EXCLUDING NON-ZONE LOCATIONS, INCLUDE JOBS AT ALL ZONE FACILITIES REGARDLESS OF WHETHER THE APPLICANT IS CERTIFIED AT ANY OF THESE LOCATIONS - for the four years preceding the year of certification, the year of certification and the current year. Exclude general executive officers and related persons. This calculation should be done in the same manner as it is for question 18, except that the calculation is done for employees at Empire Zone locations only.

Note: If there is a change in zone boundaries or if the business is in a newly designated zone, enter the employment numbers as if the boundaries of the revised or newly designated zone existed during the years indicated in this question. If the applicant is shifting employment from a New York State non-zone location to the zone location, enter those jobs in the current year.

23. Count all employees in all locations in this zone for which you are applying for certification. Exclude general executive officers. If there is less than one FTE currently employed, please indicate PT (part-time) in the answer to this question.
24. Provide an estimate of the value of all real property, plant and equipment and other tangible personal property\* in all facilities owned by the applicant that are located within all Empire Zones, (EXCLUDING NON-ZONE LOCATIONS). This value should be the average of the value of any capital investments or investments in tangible personal property subject to depreciation that the applicant is projecting to make at its Empire Zone locations over the next five year period, including those investments to be made during the year of certification. Typical years are those in which no unusual financial events occur (e.g. merger; acquisition of property, etc.) Do not include operating expenses such as office supplies, utilities, rent, and other recurring expenses.

\*The value of real and tangible property means the adjusted basis of the property(ies) for federal income tax purposes with the exception of any rental property(ies) the applicant owns. The value of rental property shall be 8 times the gross yearly rent collected by the owner.

**SPECIAL NOTE FOR CURRENT YEAR:** If the business applicant is moving into the zone (via a shift in operation from elsewhere in New York State, or a relocation in the State), but is not physically located in the zone at the time this application is being completed, the business should indicate the value of real and tangible property as if the move has already occurred.

25. Include the expected average remuneration (i.e. wages including supplemental pay; benefits such as health insurance, retirement benefits, and other non-mandated benefits; or where insurance costs are above the minimum required) paid to employees excluding general officers at all facilities owned or operated by the applicant that are located within Empire Zones (EXCLUDING NON-ZONE LOCATIONS, INCLUDE THE WAGES AND BENEFITS FOR JOBS AT ALL ZONE FACILITIES REGARDLESS OF WHETHER THE APPLICANT IS CERTIFIED AT ANY OF THESE LOCATIONS). Use the average, over a five year period beginning with the current year, of the expected value of the wages and benefits that will be paid out during the applicant's projected average typical year. To calculate this, add

all five years of the gross totals of the payroll and benefit amounts indicated in question 30 and divide by five. Typical years are those in which no unusual financial events occur (e.g. merger; acquisition of property, etc.).

**SPECIAL NOTE FOR CURRENT YEAR:** If the business applicant is moving into the zone (via a shift in operation from elsewhere in New York State, or a relocation in the State), but is not physically located in the zone at the time this application is being completed, the business should indicate the total remuneration as if the move has already occurred.

#### **SECTION F: PROJECTED INVESTMENTS IN THIS ZONE LOCATION ONLY**

26. For a five year period beginning with the current year, provide an estimate of the projected capital investments, or investments in other tangible personal property, subject to depreciation, that the applicant will be making in the Empire Zone for which it is applying for certification. If the applicant is applying for certification for multiple locations in the zone, this estimate should reflect the total investment in all locations. Include capital investments that the applicant expects to make during the 5 year period, including the current year, e.g. if current year is 2007, include projected investment amounts for 2007 through 2011. If investments are made in the "Other" category, explain what the investment is for. Do not include operating expenses such as office supplies, utilities, rent, inventory which are not subject to IRS depreciation rules, and other recurring expenses.

\*The value of real and tangible property means the cost or other adjusted basis of the properties for federal income tax purposes (except rental property(ies), the value of which shall be 8 times the gross yearly rent).

#### **SECTION G: PROJECTED CUMULATIVE EMPLOYMENT AND ASSET INFORMATION IN THIS ZONE LOCATION ONLY**

27. Provide an estimate of the applicant's projected number of new or shifted\* jobs for this Empire Zone location only for the five year period beginning with the current year, e.g. if the current year is 2007, provide the projected average number of jobs for 2007 through 2011. If the applicant is applying for certification for multiple locations in the zone, this estimate should reflect the total new or shifted\* jobs in all locations.

The projected average number of jobs for each year should include full-time employees and full-time equivalent employees as defined in the instructions for question 18.

\*If the applicant is shifting jobs from a New York State non-zone location to the zone location, those shifted jobs should be included in the current year. Additionally, a shift resolution is necessary for jobs shifted from a non-zone location to the zone location.

NOTE: For each year, the **cumulative** number of net new jobs should be indicated, not just the net new from the previous year. For example, if an applicant expects to create 10 new jobs in 2007, 20 additional jobs in 2008, and another five jobs in 2009, then the net new jobs should be indicated as follows:

2007	10
2008	30
2009	35
2010	35
2011	35

28. Determine how many of the new employees indicated in question 27 would be employees whose total expected annual remuneration (i.e. wages and benefits such as health insurance, retirement, etc.) equals \$40,000 or less.
29. Provide the total annual remuneration (i.e. wages and benefits such as health insurance, retirement, etc.) for the new jobs calculated in question 28 for each year.
30. Provide the total annual remuneration (i.e. wages and benefits such as health insurance, retirement, etc.) for **ALL** (i.e. existing and new) FTE jobs employed by the applicant at this Empire Zone location only for each year. Exclude general executive officers.  
*General executive officers are the chairman, president, vice president, secretary, assistant secretary, treasurer, assistant treasurer, comptroller, and any other officer charged with the general affairs of the applicant company. A general executive officer is, therefore, an appointed or elected officer of the corporation having company-wide authority with respect to assigned functions or responsibility for an entire division of the company.*
31. Enter the date the applicant will hire the new positions expected to be created after the applicant has signed this application. This is not necessarily a reflection of the jobs reported in question number 27.
32. If the company is moving operations and/or employees from another location in NYS that is not currently within the boundaries of an Empire Zone, then a “shift” resolution pursuant to § 959(a)(iii) of the General Municipal Law must be approved by the municipality in which the company is currently located. **Be sure to check with the local zone administrator to ensure all requirements of the “shift” resolution have been fulfilled and all necessary attachments accompany this application.**
- SPECIAL NOTE: The resolution indicated above [§ 959(a)(iii) of the General Municipal Law] is not required if the applicant is moving from an incubator facility, which provides business support services to newly established firms, operated by a municipality or by a public or private not-for-profit entity; or, the applicant is moving from a non-zone location in either New York City or the City of Rochester to another zone location within each respective city.
33. Preventing a loss of jobs in the zone can include retention of all, or some of the existing jobs. For example, a business may need to make some operational changes that will increase productivity and efficiency to stay competitive. These changes may enable the company to prevent the loss of all jobs even though some workers will have to be laid off.
34. Provide the expected percentage of new jobs indicated in question 27 that will be targeted workers. A targeted worker includes dislocated workers, those receiving public assistance, and honorably discharge veterans (see definition § 957(a)(iii) of the General Municipal Law, Article 18). If the percentage is unknown, enter 0.
35. Provide an estimate of the applicant’s projected average typical year New York State franchise (for corporations) or income tax liability for this zone location over the next five year period beginning with the current year. This should be an average of the applicant’s typical year tax liability that it is likely to incur before tax credits are taken against such liability. Typical years are those in which no unusual financial events occur (e.g. merger; acquisition of property, etc.)

*If the applicant is an entity that is structured as a Limited Liability Company, Partnership, or S. Corporation, please estimate the amount of the tax liabilities of the individual partners, members, or shareholders or of the parent corporation associated with this business’ activity and combine for the total.*

36. Indicate yes if the applicant owns the property(ies) within the Empire Zone location for which it is applying for certification, or, if the applicant leases such property(ies) with a lease agreement that specifies that the applicant will pay the property taxes to the local taxing jurisdiction(s).
37. If the answer to question 36 is yes, provide an estimate of the average year real property taxes that the applicant will pay on the property(ies). Include in the estimate all relevant taxes, i.e. local government and school district taxes. If the applicant has, or expects to have, a PILOT (payment in lieu of taxes) agreement, enter the actual or expected annual amount of the PILOT payment.
38. If the applicant is acquiring or making investments in real property(ies) situated in the Empire Zone for which certification is being sought, indicate the cost or other basis of any real property(ies) owned by the applicant as it would appear for federal income tax purposes.

There are three different circumstances that impact the cost or basis of real property:

Example 1: **Existing real property** that is situated in the Empire Zone for which certification is being sought **where no new investments in such property are projected to be made by the applicant during the next five years.**

In this example, the original cost, (i.e. acquisition cost), should be used, increased by subsequent investments/improvements, (if any), less accumulated depreciation. Or, any other basis, as determined for the most recent tax return should be used.

Example 2: **Existing real property** that is situated in the Empire Zone for which certification is being sought **where new investments in such property are projected to be made by the applicant during the next five years as indicated on the certification application.**

In this example, the original cost, (i.e. acquisition cost), should be used, increased by subsequent investments/improvements, (if any), less accumulated depreciation PLUS the additional projected investment in real property acquisition, and/or construction, expansion or rehabilitation of the property expected to be made during the next five years as indicated on the application for certification. Or, any other basis, as determined for the most recent tax return should be used, adjusted to account for the additional projected investments as indicated on the application for certification.

Example 3: **New real property** that is situated in the Empire Zone for which certification is being sought.

In this example, the value of investments in real property acquisition, and/or construction, expansion, or rehabilitation of such real property to be made during the next five years as indicated on the application for certification, such be used.

39. Provide the purchase price (i.e. acquisition cost) for the real property(ies) indicated in question 38.
- For existing property(ies) (no new projected investment) – this should be the original cost (acquisition cost) of the existing property(ies) at the zone location, i.e. what did the applicant pay for the property(ies)?
  - For existing property(ies) (new projected investment over the next five years) – this should be the original cost (acquisition cost) of the existing property(ies) at the zone location, PLUS the acquisition cost of any new property(ies) at such location as indicated on the application for certification?

- For new property(ies) – this should be the actual or estimated acquisition cost of the new property(ies) that will be purchased over the next five years at the zone location as indicated on the application for certification.
40. Provide the percentage of the building (s) indicated in question 38 that will be occupied by the applicant. Percentage of occupation is determined by a square footage calculation.
  41. Provide the percentage of the cost or other basis of any real property(ies) indicated in question 38 that can be attributed to new construction, expansion, or rehabilitation of the building (s).
  42. Provide the projected annual amount of purchases that will be made by the applicant that would be subject to state and local sales taxes for this zone location only (include purchases of supplies and services, such as gas, electric or telecommunication services).



For Zone Use Only  
ID # \_\_\_\_\_

**State of New York  
Empire Zones Program  
APPLICATION FOR JOINT CERTIFICATION OF AN EMPIRE ZONE BUSINESS ENTERPRISE**

Please refer to instructions and answer all questions carefully and completely. It is strongly recommended that you consult with the local zone administrator when completing this application. **Original** signatures are required on the SIGNATURE PAGE. Submission of an incomplete application or one with incorrect or fraudulent information will result in a delay of approval for, or a denial of, certification. Submit application directly to the local zone to obtain the necessary approval. Failure to follow this procedure will result in the delay of approving your application. If additional space is required to complete this application, please use the EZ-1 Supplemental Form.

**MUST BE COMPLETED IN INK!**

**SECTION A: DESCRIPTION OF APPLICANT BUSINESS AND CONTACT INFORMATION**

1. Name and of Organization (use legal name): \_\_\_\_\_  
Zone Address: \_\_\_\_\_
2. Nature of Business (check one):     Retail     Commercial/ Service     Manufacturing     Other \_\_\_\_\_  
Type of good or service to be produced \_\_\_\_\_  
NAICS: \_\_\_\_\_
3. Form of Organization (check one):     Corporation     Partnership     S. Corporation     LLC     Non-Profit     Proprietorship
4. Date of Formation or Incorporation (mm/dd/yyyy):    \_\_/\_\_/\_\_\_\_
5. Is this business (check all that apply)     Women-Owned     Minority-Owned     Existing Business     New Business (**see instructions for definition**)
6. Period of which business taxable year is based     Calendar year     Fiscal year    If Fiscal Year, indicate period \_\_\_\_\_
7. Primary Contact and Address\* For Organization (**provide address where official correspondence regarding participation in the zones program should be directed - after certification**)  
Name of Contact: \_\_\_\_\_  
Street/P.O. Box: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone: (\_\_\_\_) \_\_\_\_-\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_-\_\_\_\_ E-mail: \_\_\_\_\_
8. Designated contact for applicant business\* \* (**see below**): \_\_\_\_\_  
Name of Company: \_\_\_\_\_  
Street: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone: (\_\_\_\_) \_\_\_\_-\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_-\_\_\_\_ E-mail: \_\_\_\_\_

\* A certified business must submit a Business Annual Report in order to maintain its certification. This report (and other official correspondence) should be directed to the address of the representative that will be responsible for ensuring compliance with program administrative requirements.

\*\* The designated contact is the person with whom the local zone coordinator, and officials from the Departments of Economic Development and Labor, will communicate regarding all questions and matters relating to the application for certification. If the designated contact of the applicant is a consultant, accountant, or other third party representative of the applicant, then the responsible officer of the applicant must provide a letter authorizing the representative to release information necessary for completion of the application to ESD and NYSDOL. A completed power of attorney form may be attached in lieu of a letter. **A completed power of attorney must be submitted if the third party representative is signing the application on behalf of the applicant.**

**SECTION B: BUSINESS IDENTIFICATION NUMBERS**

9. Federal Employer Identification Number (FEIN)//Taxpayer Identification Number: \_\_\_\_\_
10. NYS Unemployment Insurance (UI) Registration Number: \_\_\_\_\_
11. Workers' Compensation Policy Number: \_\_\_\_\_  
 If no policy number, is the applicant self-insured?  Yes  No Insured by NYSIF:  Yes  No  
 Name of Carrier: \_\_\_\_\_
12. Disability Insurance Policy Number: \_\_\_\_\_  
 If no policy number, is the applicant self-insured?  Yes  No Insured by NYSIF:  Yes  No  
 Name of Carrier: \_\_\_\_\_
13. Is the applicant using an identification number of a professional employment organization (PEO) or common paymaster for unemployment?  Yes  No If Yes, complete and attach EZ-3.
14. Will any of the retained jobs or new jobs created be for leased employees?  Yes  No If Yes, complete and attach EZ-3.
15. Is there a predecessor company? (**see instructions**)  Yes  No If Yes, please provide,  
 Name of Company: \_\_\_\_\_ FEIN: \_\_\_\_\_

**SECTION C: CERTIFICATION HISTORY**

16. Has this business previously applied for certification in any zone and been denied on any grounds?  Yes  No
17. Has this business previously received certification in any zone and been decertified?  Yes  No

If answered yes to either question 16 or 17, briefly summarize the reasons for the denial or decertification:

\_\_\_\_\_

\_\_\_\_\_

Explain how the situations for denial or decertification have been resolved: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**SECTION D: NYS EMPLOYMENT AND ASSET INFORMATION**

18. Average number of FTE employees in all NYS locations for each of the four years PRECEDING the year of certification, the year of certification and the current year: (Use the table provided in the Instructions to calculate average employment.)

Year	Average Number of Jobs
Year 4 Prior	
Year 3 Prior	
Year 2 Prior	
Year 1 Prior	
Year of Certification	
Current Year	

19. Value of real and tangible personal property in all NYS locations for applicant's projected average typical year: \_\_\_\_\_
20. Annual wages and benefits in all NYS locations for applicant's projected average typical year: \_\_\_\_\_

**SECTION E: EMPIRE ZONE LOCATION INFORMATION**

21. Percentage of average annual total sales for this zone facility that are within:

\_\_\_\_\_ % Municipality    \_\_\_\_\_ % County    \_\_\_\_\_ % NYS    \_\_\_\_\_ % Outside NYS

22. Average number of FTE employees in all Empire Zone locations for each of the four years PRECEDING the year of certification, the year of certification and the current year:

Year	Average Number of Jobs
Year 4 Prior	
Year 3 Prior	
Year 2 Prior	
Year 1 Prior	
Year of Certification	
Current Year	

23. Total number of FTE employees IN THIS ZONE ONLY as of the date the applicant signs the application: \_\_\_\_\_

24. Projected value of real and tangible personal property in all Empire Zone locations for applicant's projected average typical year: \_\_\_\_\_

25. Annual wages and benefits in all Empire Zone locations for applicant's projected average typical year: \_\_\_\_\_

**SECTION F: PROJECTED INVESTMENTS OVER THE NEXT FIVE YEARS IN THIS ZONE ONLY**

26. Investments in real and tangible personal property in this Empire Zone over the next five years starting with the current year:

Type of Investment	Current Year	Year 2	Year 3	Year 4	Year 5	TOTAL
Land						
Building Acquisition						
Building Renovation						
New Construction						
Production Machinery & Equipment						
Furniture, Fixture, Equipment						
Other (please explain below)						
<b>Total all investments:</b>						

Explanation for Other type of investment:

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**SECTION G: PROJECTED CUMULATIVE EMPLOYMENT AND ASSET INFORMATION IN THIS ZONE ONLY**

Questions 27 through 30 pertain to new FTE employment at this Zone only

Year	27. Total No. of new FTE employees	28. No. of new FTE employees indicated in question 27 – annual wages and benefits are \$40,000 or less	29. Total annual wages and benefits for new FTE employees indicated in question 28 (i.e. \$40,000/yr or less)	30. Total annual wages & benefits for all ( <b>existing and new</b> ) FTE employees in this zone per year
Current Year				
Year 2				
Year 3				
Year 4				
Year 5				

31. Date to begin hiring new jobs created after the applicant signs this application: \_\_\_/\_\_\_/\_\_\_

32. Will the applicant be moving operations and/or employees from another location in NYS that is not currently within the boundaries of an Empire Zone?

If yes, a shift resolution must be attached. See instructions.  Yes  No

33. If the applicant does not intend to create new positions, does the applicant intend to prevent a loss of jobs in the zone?

Yes  No  N/A

34. Projected percentage of targeted workers to be hired: \_\_\_\_\_%

35. The applicant's projected average typical year NYS tax liability before tax credits for this zone location over the next five year period:

\$ \_\_\_\_\_

36. Does the applicant own the property(ies)?  Yes  No

OR

Does the applicant have a lease specifying that the applicant will pay the property taxes to the taxing jurisdiction(s) for this zone location?

Yes  No

37. If answered yes to question 36, provide approximate average year real property taxes that the applicant will pay on the property(ies) for this zone location: \$ \_\_\_\_\_

38. Cost or other basis of any real property(ies) owned by the applicant on the property(ies) for this zone location: \$ \_\_\_\_\_

39. Purchase price, (i.e. acquisition cost), of the real property(ies) indicated in question 38: \$ \_\_\_\_\_

40. Percentage of the applicant's occupancy of the property(ies) indicated in question 38: \_\_\_\_\_%

41. Percentage of the cost or other basis of any real property(ies) indicated in question 38 that can be attributed to new construction, expansion, or rehabilitation: \_\_\_\_\_%

42. Projected annual purchases that are subject to State and local sales tax for this zone location (include services such as utilities):

\$ \_\_\_\_\_

