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## Application for Financial Assistance

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County of Clinton Industrial Development Agency (CCIDA)  
190 Banker Road, Suite 500  
Plattsburgh, NY 12901  
[infoatIDAs@gmail.com](mailto:infoatIDAs@gmail.com)

*A nonrefundable administrative application fee of \$1500 must be submitted at the time of the application, of which, \$750 will be applied to the project's closing cost. Checks may be made payable to: **The County of Clinton IDA.***

*Please submit one (1) electronic copy and two (2) hard copies of the application (and any attachments) and SEQR (if applicable) to the address above. Include the check with the hard copies.*

***ALL APPLICATIONS MUST BE SUBMITTED TWO WEEKS PRIOR TO THE  
REGULAR SCHEDULED CCIDA MEETING***

*For a copy of the meeting schedule as well as the Uniform Tax Exempt Policy (UTEP) go to  
[www.clintoncountyida.com](http://www.clintoncountyida.com)*

Application Updated: 7/2016

**Note to Applicant:**

The information requested by this application is necessary to determine the eligibility of your project for Clinton County Industrial Development Agency (CCIDA) benefits. Please answer all questions, inserting “none” or “not applicable” where appropriate. If you are providing an estimate, please indicate by inserting “est.” after the figure. Attach additional sheets if more space is needed for a response than provided.

Please submit two (2) hard copies of the application (and any attachments) and SEQR (if applicable) to **CCIDA, 190 Banker Road, Suite 500, Plattsburgh, NY 12901 ATTN: Executive Director**. In addition, please send an electronic version of the entire application and SEQR (if applicable) as well as all attachments to [infoatIDAs@gmail.com](mailto:infoatIDAs@gmail.com). Include within the hardcopy, a check made payable to the County of Clinton Industrial Development Agency in the amount of \$1500. **Submissions must be made two (2) weeks prior to the regular scheduled meetings of the CCIDA (2<sup>nd</sup> Monday of each month unless otherwise noted).**

Upon submission of this application to the CCIDA, the application becomes a public document. Be advised that any action brought before the CCIDA is public information. All agendas are issued and posted on the CCIDA’s website seven (7) days prior to Board meetings. If there is information that the applicant feels is of a proprietary nature, please identify as such, and that information will be treated confidentially to the extent permitted by the law.

By signing and submitting this application, the Applicant acknowledges that it has received a copy of the CCIDA’s Uniform Tax Exempt Policy (UTEP) and all other policies mentioned. Policies can be obtained at [www.clintoncountyyida.com](http://www.clintoncountyyida.com).

A project financed through the CCIDA involves the preparation and execution of significant legal documents. These documents not only comply with New York State law but also conform to CCIDA policies in effect at time of closing (all policies are posted on the website). Please consult with an attorney before signing any documents in connection with the proposed project.

The applicant will receive an engagement letter from the CCIDA’s legal counsel. The applicant will then be asked to sign the engagement letter acknowledging it understands that the project is responsible for **all** CCIDA legal costs related to the project, including when the project is re-conveyed. In addition, should the project not close and legal services have been rendered by the CCIDA legal counsel, the applicant will still be responsible for those costs.

If the project requires a public hearing, a representative from the applicant’s organization is required to be present. A date will be coordinated by the CCIDA’s legal counsel and/or Executive Director. If you have any questions regarding the application or the process, feel free to contact the CCIDA’s Executive Director at (518) 324-2122 or [infoatIDAs@gamil.com](mailto:infoatIDAs@gamil.com).

## PART I: Project Information

PROJECT'S CCIDA APPLICATION # \_\_\_\_\_ (Official Use)

### Section A: Assistance

*Type of Financial Assistance Requested - [Check One]*

Straight Lease - ☒ Bond Financing - ☐ Both - ☐ Other - ☐

If "Other," Explain:

*Type of Benefits Project is Seeking – [Check All that Apply]*

Real Estate Exemption/ PILOT - <input checked="" type="checkbox"/>	Sales Tax Exemption - <input checked="" type="checkbox"/>	Mortgage Recording Tax Exemption- <input type="checkbox"/>	Tax-Exempt Bonds - <input type="checkbox"/>	Other - <input type="checkbox"/>
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*\*Note: If applicant is seeking bonds, a PILOT and/or exemption from sales and/or mortgage recording tax additional information will be required in Part II of this application.*

If Other, Explain:

### Section B: Background

1.)

Company Name: Schluter Systems, L.P.
Company Point of Contact: Robert Grinnell, CFO
Address: 194 Pleasant Ridge Road, Plattsburgh, NY 12901
Phone Number: ( 518 ) 324-3426
Point of Contact's e-mail: rgrinnell@schluter.com
Company Website: www.schluter.com
Company NAICS Code: 423990
Employer Identification Number (EIN): 14-1772376

**2.) Business Type [Check One]:**

☐ Private or Public Corporation

If Public, on what exchange is it listed? \_\_\_\_\_

☐ Subchapter S

☐ Sole Proprietorship

☐ General Partnership

☒ Limited Partnership

☐ Limited Liability Company/Partnership

☐ DISC

☐ Not-for-profit

☐ Other: \_\_\_\_\_

State of Incorporation (if applicable): New York

**3.) Describe the nature of your business and its principal products and/or services:**

We produce products associated with tile installation including waterproofing shower systems and in floor heating, profiles and related materials. Our principal products include Ditra (crack isolation and uncoupling), Kerdi and Kerdi Board for waterproof shower systems, and Ditra Heat in floor heating.

3a.) Will the project move its facility from another location in New York to Clinton County? Yes ☐ or No ☒

3b.) Will the project result in the abandonment of an existing facility in New York? Yes ☐ or No ☒

3c.) If "Yes" to 3a and/or 3b, is the reason for moving to another location in the state to remain competitive in your industry or the state? Yes ☐ or No ☐

If "Yes," please explain

\_\_\_\_\_

**4.) Applicant's Stockholders, Directors and Officers (or Partners):**

Stockholders/Directors/Officers	Name	Address	Business Affiliation/Percentage Ownership
Limited Partner	UMS Holding GmbH		64
General Partner	S. Systems Inc.		1
Limited Partner	UMS GmbH & Co. KG		35

4a.) Has anyone on this list been convicted of a Felony? Yes [ ] or No [x]

If "Yes," Explain:

4b.) Has anyone on this list filed Bankruptcy? Yes [ ] or No [x]

If "Yes," Explain:

**5.) Applicant's Counsel, Accountant and Bank References:**

Applicant's Counsel
Name: CJ Madonna, Esq. Firm: Schluter Systems, LP Address: 194 Pleasant Rodge Road, Plattsburgh, NY 12901 Phone: 518-324-3455 E-mail: cmadonna@schluter.com
Applicant's Accountant
Name: Roedl & Partner Firm: Address 747 Third Ave., 4th Floor, New York, NY 10017 Phone: 212-380-9250 E-mail: www.roedl.com
Applicant's Bank Reference(s)
Bank Name: Community Bank, NA - Attn: Paul Connelly Address: Rte. 3, Plattsburgh, NY 12901 Phone: 518-561-0086 Website: paul.connelly@communitybankna.com

**6.) Project Type [Check All that Apply]:**

- |  |  |  |   |
|--|--|--|---|
| <input checked="" type="checkbox"/> Manufacturing    | <input checked="" type="checkbox"/> Warehousing  | <input type="checkbox"/> R & D                           | <input type="checkbox"/> Tax-Exempt                                 |
| <input type="checkbox"/> Wind Farm                   | <input type="checkbox"/> Commercial              | <input type="checkbox"/> Retail                          | <input type="checkbox"/> Medical                                    |
| <input type="checkbox"/> Residential                 | <input type="checkbox"/> Recreation              | <input type="checkbox"/> Adaptive Reuse                  | <input type="checkbox"/> Other                                      |
| <input type="checkbox"/> Small Alternative<br>Energy | <input type="checkbox"/> Distributive<br>Service | <input type="checkbox"/> Tourism<br>Destination Facility | <input type="checkbox"/> Industrial (includes<br>pollution control) |

*\*See CCIDA Eligible Project Policy for definitions [www.clintoncountynyida.com](http://www.clintoncountynyida.com)*

If “Other,” please explain:

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*For Retail and Tourism Projects **ONLY** – All others Skip to Question 7*

**6a.) Retail Projects:**

- Will the project’s facility be used in making retail sales of physical goods to customers who visit the proposed facility? Yes ☐ or No ☐
- Will the project’s facility be used in providing services to customers who physically visit the facility? Yes ☐ or No ☐
  - If “Yes” to either of the above, how much of the project’s facility will be devoted to said use?
- Is the project a critical part of a larger, planned development in the community? Yes ☐ or ☐ No
- Has the project been endorsed by the local municipal chief executive officer or the local municipal governing body? Yes ☐ or No ☐
- Is the project located in a former Empire Zone? Yes ☐ or No ☐
- Is the project located in a Distressed Census track (based on the latest decennial Census)? Yes ☐ or No ☐

(\*Census Track Data Available at [www.census.gov](http://www.census.gov) )

**6b.) Tourism Destination Facility Projects:**

- Will the project attract and/or service a significant number of Tourists that come from outside the economic development region (ED Region Includes: Clinton, Essex, Franklin, Hamilton, St. Lawrence, Jefferson and Lewis Counties)? Yes ☐ or No ☐
  - If Yes, attach market analysis that demonstrates said attraction
- Is the project linked to other Tourism Facility Destinations in Clinton County? Yes ☐ or No ☐
- Will the project agree to pay sales tax and occupancy taxes related to the operation of the facility? Yes ☐ or No ☐

- If not operated by a not-for-profit, will the project agree to pay real estate taxes and/or PILOT payments on said facility? Yes ☐ or No ☐

**7.) Scope of Project [Check All that Apply]:**

- ☐ Construction of a new building
- ☐ Acquisition of land
- ☐ Acquisition of existing building
- ☒ Renovations to existing building
- ☒ Construction of addition to existing building
- ☒ Acquisition of machinery and/or equipment
- ☒ Installation of machinery and/or equipment
- ☐ Other (specify) \_\_\_\_\_

7a.) Have you filled out any environmental assessment forms with other government entities? Yes ☒ or No ☐ (If “yes,” attach)

7b.) Has SEQR already been commenced by a lead government agency? Yes ☒ or No ☐ (If yes, please attach)

*\*Note: All projects involving construction, expansion or modification of an existing site **must** fill out **Part III - SEQR** of this application. If SEQR has already been determined and approved by the municipality please attached to Part III of this application.*

**8.) Explain your proposed project in detail. This description should include explanation of all of the activities/operations which will occur due to this project; the location (address) and tax map data of the site; the dimensions of new/modifications building(s) & type of construction. Also attach photo of the site, preliminary plans, sketches and/or floor plans of proposed project:**

The proposed project is a two story warehouse expansion with a footprint of approximately 105,400 sq. ft., providing a total of approximately 210,800 sq. ft. of storage space and loading docks.

This project will provide needed storage and manufacturing space for the company's products.

The subject land is comprised as part of Tax Parcel ID #232-3-10.1 Please see attached drawings.

**Additional Information:**

(8a) Estimated Start Date: September 2016

(8b) Estimated Completion Date: August 2017

(8c) Zoning Classification of the Project: Industrial

(8d) Legal owner of the site or building: UMS Property, LLC

(8e) Most Recent use of the site and/or building: Warehouse

(8f) Municipality Project is located in: Plattsburgh

(8g) School District Project is located in: Peru

8(h) Is there an existing or proposed lease for this project? Yes ☒ or No ☐

(If yes, attach a copy)

8(i) Is there a purchase option or other legal or common control in the project? Yes ☐ or No ☐

If yes, attach copy or describe participation:

8(j) List the major equipment to be acquired as part of the project. Please provide a detailed inventory of said equipment when one becomes available.

Major equipment will include but is not limited to: racking and related materials, forklifts and related equipment, production tooling and equipment, etc.

8(k) Is there now or does the applicant believe there will be significant opposition to the proposed project? Yes ☐ or No ☒

If "Yes," Explain:

#### 9.) On-site Utilities and Providers:

Type:	Provider:
Water	Town of Plattsburgh
Sewer	Private
Electric	NYSEG
Gas	NYSEG
Broadband	Primelink



### Section C : Project Costs

**10.) What is the estimated Total Project Cost? (Note: More in-depth information will be required in Part II of this application)**

Category	Costs
Land	\$ 648,160.00 (est.)
Building	\$ 12,666,005.00 (est.)
Equipment	\$ 1,510,800.00 (est.)
Other	\$ 421,769.00 (est.)
Total:	\$ 15,246,734.00 (est.)

If citing "Other," Explain: Furniture and professional expenses (described in Part II)

10(a) Both Clinton County and the CCIDA have policies that encourage the use of local labor. Is the applicant willing to consider the use of local labor? Yes [☒] or No [ ]

### **11.) Financing Sources:**

11(a) State the sources reasonably necessary for the financing of the Project site, the construction of the proposed buildings and the acquisition and installation of any machinery and equipment necessary or convenient in connection therewith, and including any utilities, access roads or appurtenant facilities, using the following categories:

<u>Description of Sources</u>	<u>Amount</u>
Private Sector Financing	\$ 15,246,734.00 _____
Public Sector	
Federal Programs	\$N/A
State Programs	\$N/A
Local Programs	\$N/A
Applicant Equity	\$N/A
Other (specify, e.g., tax credits)	\$N/A
_____	\$ _____
_____	\$ _____
_____	\$ _____
<b>TOTAL AMOUNT OF PROJECT FINANCING SOURCES</b>	<b>\$ 15,246,734.00</b>

Concrete - \$652,000
Structural Metal - \$1,982,000

11(d) Has a commitment for financing been received as of this application date, and if so, from whom? N/A

11(e) Provide name and telephone number of the person we may contact.

11(f) The percentage of Project costs to be financed from public sector sources is estimated to equal the following: 0 %

*\*Note: Attach an outline of the financing package that is expected to be utilized for this project including dollar amounts and funding sources*

## 12.) Employment Impact

- 10 -

Warehouse Only

<b>TYPE OF EMPLOYMENT Employees of Applicant</b>					
	Professional or Managerial	Skilled	Semi-Skilled	Un-Skilled	Totals
Present Full Time	3	0	0	185	188
Present Part Time	0	0	0	3	3
Present Seasonal	0	0	0	0	0
First Year Full Time	5	0	0	205	210
First Year Part Time	0	0	0	3	3
First Year Seasonal	0	0	0	0	0
Second Year Full Time	5	0	0	205	210
Second Year Part Time	0	0	0	3	3
Second Year Seasonal	0	0	0	0	0

<b>TYPE OF EMPLOYMENT Independent Contractors</b>					
	Professional or Managerial	Skilled	Semi-Skilled	Un-Skilled	Totals
Present Full Time	0	0	0	0	0
Present Part Time	0	0	0	0	0
Present Seasonal	0	0	0	0	0

First Year Full Time	0	0	0	0	0
First Year Part Time	0	0	0	0	0
First Year Seasonal	0	0	0	0	0
Second Year Full Time	0	0	0	0	0
Second Year Part Time	0	0	0	0	0
Second Year Seasonal	0	0	0	0	0

<b>TYPE OF EMPLOYMENT</b> <b>Employees of Independent Contractors (N/A)</b>					
	Professional or Managerial	Skilled	Semi-Skilled	Un-Skilled	Totals
Present Full Time					
Present Part Time					
Present Seasonal					
First Year Full Time					
First Year Part Time					
First Year Seasonal					
Second Year Full Time					
Second Year Part Time					
Second Year Seasonal					

- B. Indicate below (1) the estimated salary and fringe benefit averages or ranges and (2) the estimated number of employees residing in the North Country Economic Development Region for all the jobs at the Project site, both retained and created, listed in the tables described in subsection A above for each of the categories of positions listed in the chart below.

<b>RELATED EMPLOYMENT INFORMATION</b>				
	Professional or Managerial	Skilled	Semi-Skilled	Un-Skilled
Estimated Salary and Fringe Benefit Averages or Ranges	\$50,000 - \$110,000 (est.)	N/A	N/A	\$30,000 - \$50,000 (est.)
Estimated Number of Employees Residing in the North Country Economic Development Region <sup>1</sup>	2	0	0	20

- C. Please describe the projected timeframe for the creation of any new jobs with respect to the undertaking of the Project:

Construction shall take place in summer and fall 2017. Hiring of new employees shall commence shortly thereafter and is expected to be completed by summer 2018.

\* FTE: Any combination of (2) two or more part-time jobs that when combined together, constitute the equivalent of a job of at least 35 hours per week.

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<sup>1</sup> The North Country Economic Development Region consists of the following counties: Clinton, Essex, Franklin, Hamilton, Jefferson, Lewis, and St. Lawrence.

### **Section E: Representations and Certification by Applicant**

Robert Grinnell (name of authorized representative of the Applicant submitting application) deposes and says that he/she is CFO (Title) of Schluter Systems L.P. (hereinafter referred to as the "Applicant"), the corporation/partnership/limited liability company named in this Application; that he/she has read the foregoing Application and knows the content thereof, that the same is true to his/her knowledge.

Deponent further says that the reason this verification is made by the deponent and not by the Applicant is because the said Applicant is a legal entity - corporation/partnership/limited liability company - as opposed to an actual person. The grounds of the deponent's belief relative to all matters in said Application which are not upon his/her own personal knowledge are investigations which deponent has caused to be made concerning the subject matter of the Application as well as acquired by the deponent in the course of his/her duties, as an officer and from the books and papers of the Applicant.

On behalf of said Applicant, deponent acknowledges and agrees that the Applicant shall be and is responsible for all costs incurred by the County of Clinton Industrial Development Agency (hereinafter referred to as the "Agency") acting on behalf of the attached application whether or not the application, the project it describes, the attendant negotiations and financial assistance is carried to successful conclusion. If, for any reason whatsoever, the Applicant fails to conclude or consummate necessary negotiations or fails to act within a reasonable or specified period of time to take reasonable, proper, or requested action or withdraws, abandons, cancels, or neglects that application (or if in cases of bonds the Agency or the Applicant are unable to find buyers willing to purchase the total bond issue requested), then, and in that event, upon presentation of invoice, the Applicant shall pay to the Agency, its agents or assigns all actual costs involved in conduct of the application, up to that date and time, including fees of Agency counsel. A non-refundable filing fee of \$1,500 is required with this application, of which, \$750 will be applied to the project closing costs (Make check payable to: County of Clinton IDA). Upon successful closing of the transaction and/or sale of the required bond issue, the Applicant shall pay to the Agency an administrative fee set by the Agency not to exceed an amount equal to .75% of the total benefited transaction. The cost incurred by the Agency and paid by the Applicant, including the Agency's counsel and the administrative fee, may be considered as a cost of the project and included as part of the resultant transaction. The Applicant should also be aware that the Applicant is responsible for all fees and legal costs incurred by the Agency for re-conveyance of titles at the end of the project. The Agency reserves the right to visit the project site on an annual basis during the benefit period.

Agency Financial Assistance Required for Project. The Project would not be undertaken but for the Financial Assistance provided by the Agency or, if the Project could be undertaken without the Financial Assistance provided by the Agency, then the Project should be undertaken by the Agency for the following reasons:

Relocation or Abandonment. The provisions of subdivision one of Section 862 of the General Municipal Law will not be violated if Financial Assistance is provided for the Project.

Compliance with Article 18-A of the New York General Municipal Law. The applicant confirms and hereby acknowledges that as of the date of this application, the applicant is in substantial compliance with all provisions of

Article 18-A of the New York General Municipal Law, including, but not not limited to, the provision of Section 859-a and Section 862(1) thereof.

Compliance with Federal, State, and Local Laws. The applicant is in substantial compliance with applicable local, state, and federal tax, worker protection, and environmental laws, rules, and regulations.

False or Misleading Information. The applicant understands that the submission of any knowingly false or knowingly misleading information may lead to the immediate termination of any Financial Assistance and the reimbursement of an amount equal to all or part of any tax exemptions claimed by reason of Agency involvement in the Project.

Absence of Conflicts of Interest. The applicant acknowledges that the members, officers and employees of the Agency are listed on the Agency's website. No member, officer or employee of the Agency has an interest, whether direct or indirect, in any transaction contemplated by this Application, except as hereinafter described:

Additional Information. Additional information regarding the requirements noted in this Application and other requirements of the Agency is included the Agency's Policy Manual which can be accessed at <http://www.clintoncountyida.com/>.

I affirm under penalty of perjury that all statements made on this application are true, accurate and complete to the best of my knowledge.

  
(CFO of Company)

**NOTARY**

Sworn to before me this 1<sup>st</sup> day of May, 2017

Carl J. Madern (seal)

My Comm. exp. 12/31/2018

Clinton County, NY

### **Note to Applicant:**

The 2013 New York State Budget, enacted on March 28, 2013, established new recordkeeping, reporting, and recapture requirements for industrial development agency projects that receive New York State ("NYS") sales tax exemptions, including projects granted assistance by County of Clinton Industrial Development Agency ("CCIDA").

These new NYS sales tax recording and reporting requirements for industrial development agency projects include the following requirements:

1. CCIDA must keep records of the amount of sales tax benefits provided to each project and make those records available to NYS upon request.
2. CCIDA must report to NYS, within 30 days after providing financial assistance to a particular project, the amount of sales tax benefits expected to be provided to such project.
3. CCIDA must post on the internet and make available without charge copies of its resolutions and project agreements.

The legislation now requires that CCIDA to recapture NYS sales tax benefits where:

1. The project is not entitled to receive those benefits;
2. The exemptions exceed the amount authorized by CCIDA, or are claimed for unauthorized property or services; or
3. The project operator failed to use property or services in the manner required by its agreements with CCIDA.

What this means for CCIDA Projects:

1. Companies requesting a sales tax exemption from CCIDA must include in their application the value of the savings they anticipate receiving. Note that the new regulations require that CCIDA must recapture any benefit that exceeds the amount listed in a company's application. Accordingly, please ensure that you provide a realistic estimate of the sales tax exemptions which you are requesting.
2. Projects subject to recapture must remit payment within 20 days of a request from CCIDA.
3. All project agreements and resolutions will now be publicly available on CCIDA's website.
4. CCIDA's policy has always been to allow project operators to request certain information be redacted if the project can demonstrate that its release would result in substantial harm to the project's competitive position.

*\*Note: Per the CCIDA UTEP, all Project receiving sales tax benefits are required to submit their ST-340s or risk losing said benefit.*



## PART II: COST BENEFIT ANALYSIS

*Please answer all questions either by filling in blanks or by attachment*

### SECTION F - FINANCING STRUCTURE:

1. Tax-Exempt Financing Requested [Check all that Apply]

☒

Straight Lease Transaction

☐

Tax-Exempt Bonds

☒

Sales Tax Exemption Until completion date

☐

Mortgage Tax Abatement

☒

Real Property Tax Abatement/PILOT

☐

Other – Explain:

2. Based on the CCIDA's UTEP PILOT Scoring Criteria (see attachment C); indicate the methodology used by the applicant to determine the Type of real property tax abatement the project is eligible for (if applicable):

Type I [ ] Type II [X] Type III [ ] Deviation [ ] (check one)

Describe:

Please see attached letter.

### SECTION G - PROJECT QUESTIONNAIRE:

1. Name of Project Beneficiary ("Company"):	Schluter Systems, LP
2. Municipality Project is Located	Plattsburgh
3. School District Project is Located	Peru
4. Estimated Amount of Project Benefits Sought:	\$586,922.97

A. Amount of Bonds Sought:	\$ 0.00
B. Value of Sales Tax Exemption Sought	\$ 470,860.08* (*No exemption requested for previously purchased goods)
C. Value of Real Property Tax Exemption Sought	\$ 116,062.89* (*Calculated using values from Town of Plattsburgh Assessor)
D. Value of Mortgage Recording Tax Exemption Sought (Clinton County MRT = 1%; as of 9/1/13)	\$ 0.00

**SECTION H - PROJECTED PROJECT INVESTMENT:**

A. Land-Related Costs	
1. Land acquisition	\$ 0.00
2. Site preparation	\$ 648,160.00
3. Landscaping	\$ 0.00
4. Utilities and infrastructure development	\$ 0.00
5. Access roads and parking development	\$ 0.00
6. Other land-related costs (describe)	unknown

B.	Building-Related Costs	
1.	Acquisition of existing structures	\$ 0.00
2.	Renovation of existing structures	\$ 2,500,000
3.	New construction costs	\$ 8,958,176.00
4.	Electrical systems	\$ 576,000.00
5.	Heating, ventilation and air conditioning	\$ 533,947.00
6.	Plumbing	\$ 97,882.00
7.	Other building-related costs (describe)	\$ unknown
C.	Machinery and Equipment Costs	
1.	Production and process equipment	\$554,800.00
2.	Packaging equipment	\$ 0
3.	Warehousing equipment	\$906,000.00
4.	Installation costs for various equipment	\$40,000.00
5.	Other equipment-related costs (describe) (QA lab equipment)	\$10,000.00
D.	Furniture and Fixture Costs	
1.	Office furniture	\$33,900.00
2.	Office equipment	\$
3.	Computers/workstations/printers	\$44,819.00
4.	Other furniture-related costs (describe) (breakroom refrigerator, microwave, tables, chairs and lockers)	\$113,050.00

E.	Working Capital Costs	
1.	Operation costs	\$ 50,000.00
2.	Production costs	\$ 10,000.00
3.	Raw materials	\$ 0
4.	Debt service	\$ 0
5.	Relocation costs	\$ 50,000.00
6.	Skills training	\$ 15,000.00
7.	Other working capital-related costs (describe)	\$
F.	Professional Service Costs	
1.	Architecture and engineering	\$ 100,000.00
2.	Accounting/legal	\$ 0
3.	Other service-related costs (describe) Design/ Planning Proj. Mgmt./flow of operation	\$ 20,000.00
G.	Other Costs	
1.	Mortgage Amount not included in above costs	\$ 0.00
2.		\$

H. Summary of Expenditures	
1. Total Land Related Costs	\$____ 648,160.00 (est.)____
2. Total Building Related Costs	\$____ 12,666,005.00 (est.)____
3. Total Machinery and Equipment Costs	\$____ 1,510,800.00 (est.)____
4. Total Furniture and Fixture Costs	\$____ 191,769.00 (est.)____
5. Total Working Capital Costs	\$____ 110,000.00 (est.)____
6. Total Professional Service Costs	\$____ 120,000.00 (est.)____
7. Total Other Costs	\$____ unknown____
<b>TOTAL PROJECT COSTS</b>	<b>\$____ 15,246,734.00 (est.)____</b>

**SECTION I - PROJECTED CONSTRUCTION EMPLOYMENT IMPACT:**

1. Please provide estimates of total construction jobs at the Project:

Year	Construction Jobs (Annual wages and benefits \$40,000 and under)	Construction Jobs (Annual wages and benefits over \$40,000)
Current Year	0	42
Year 1	0	0
Year 2	0	0
Year 3	0	0
Year 4	0	0
Year 5	0	0

2. Please provide estimates of total annual wages and benefits of total construction jobs at the Project:

Year	Total Annual Wages and Benefits	Estimated Additional NYS Income Tax
Current Year	\$__1,680,000.00__	\$__72,198.00__
Year 1	\$__N/A__	\$__N/A__
Year 2	\$__N/A__	\$__N/A__
Year 3	\$__N/A__	\$__N/A__
Year 4	\$__N/A__	\$__N/A__
Year 5	\$__N/A__	\$__N/A__

**SECTION J - PROJECTED PERMANENT EMPLOYMENT IMPACT:**

1. Please provide estimates of total existing permanent jobs (FTE) to be preserved or retained as a result of the Project: FTE: Any combination of (2) two or more part-time jobs that when combined together, constitute the equivalent of a job of at least 35 hours per week.

Year	Existing Jobs (Annual wages and benefits \$40,000 and under)	Existing Jobs (Annual wages and benefits over \$40,000)
Current Year	185	3
Year 1		
Year 2		
Year 3		
Year 4		
Year 5		

2. Please provide estimates of total new permanent jobs (FTE) to be created at the Project:

Year	New Jobs (Annual wages and benefits \$40,000 and under)	New Jobs (Annual wages and benefits over \$40,000)
Current Year	20	2
Year 1		
Year 2		
Year 3		
Year 4		
Year 5		

3. Please provide estimates of total annual wages and benefits of total permanent construction jobs at the Project: N/A

Year	Total Annual Wages and Benefits	Estimated Additional NYS Income Tax
Current Year	\$ 0	\$ 0
Year 1	\$	\$
Year 2	\$	\$
Year 3	\$	\$
Year 4	\$	\$
Year 5	\$	\$

4. Provide estimates for the Creation of New Job Skills relating to permanent jobs. List the projected new job skills for the new permanent jobs to be created as a result of the undertaking of the project by the applicant

New Job Skills	Number of Positions Created	Wage Rate
Supervisor	1	\$30.00/hour (plus benefits)
Engineering - Manufacturing	1	\$35.00/hour (plus benefits)
Production Worker	10	\$12.50/hour (plus benefits)
Warehouse Worker	10	\$12.50/hour (plus benefits)

*\*Should you need additional space, please attach a separate sheet.*

### **SECTION K - PROJECTED OPERATING IMPACT:**

1. Please provide estimates for the impact of Project operating purchases and sales:

Additional Purchases (1 <sup>st</sup> year following project completion)	\$__unknown_____
Additional Sales Tax Paid on Additional Purchases	\$__unknown_____
Estimated Additional Sales (1 <sup>st</sup> full year following project completion)	\$__unknown_____
Estimated Additional Sales Tax to be collected on additional sales (1 <sup>st</sup> full year following project completion)	\$__unknown_____



2. Please provide estimates for impacts of other economic benefits expected to be produced as a result of the Project not mentioned in this application:

Please see attached letter.

#### CBA QUESTIONNAIRE CERTIFICATION

I certify that I have prepared the responses provided in this Questionnaire.

I affirm under penalty of perjury that all statements made in this Questionnaire are true, accurate and complete to the best of my knowledge.

I understand that the foregoing information and attached documentation will be relied upon, and constitute inducement for, the Agency in providing financial assistance to the Project. I certify that I am familiar with the Project and am authorized by the Company to provide the foregoing information, and such information is true and complete to the best of my knowledge. I further agree that I will advise the Agency of any changes in such information, and will answer any further questions regarding the Project prior to the closing.

**Date Signed:** May 1, 2017.

**Name of Person Completing Project Questionnaire on behalf of the Company.**

Name: Robert Grinnell

Title: CFO

Phone Number: 518-324-3436

Signature: 

## APPLICATION ATTACHMENT A:

### Acknowledgements and Yearly Filings

As a condition to issuing financial assistance to the applicant the County of Clinton Industrial Development Agency is required by the New York State Comptroller's office to obtain the following supplementary information yearly for the duration of the transaction:

1. Outstanding balance at beginning and end of year and principal payments made during year.
2. The current interest rate for bonds (for adjustable rate bonds the rate at the end of the year is needed).
3. Current year tax exemptions for county, local (towns) and school taxes.
4. PILOT (*Payment in lieu of taxes*) payments made each year to county, local and school taxing authorities.
5. Documentation and affidavits regarding the use of local construction workers in the construction phase of the Project. See Use of Local Labor Policy and Attachment D of this application.
6. Once project is authorized, report the number of full-time, part-time and seasonal workers employed in terms of FTE (as defined in this application).
7. Submit NY-45 Form (with employee identification blacked-out) showing 4Q monthly data regarding salary and employment levels. Also include an average salary.

In addition to the above, in reporting the first year the CCIDA need:

1. An amortization schedule showing the planned principal reduction each year for the life of the issue.
2. The amount exempted for:
  - (a) sales tax
  - (b) mortgage recording tax
3. Each year of construction – Sale tax and documents (ST-60, ST-340, ST-123, etc.).

**This information is required by January 31st of each succeeding year and shall be submitted in writing to the County of Clinton Industrial Development Agency, 190 Banker Road, Suite 500, Plattsburgh, NY 12901. (Fax: 518-562-2232)**

We have reviewed, understand and will comply with the above, as required by the New York State Comptroller's Office.

Name: Robert Grinnell  Title: CFO

Date: May 1, 2017

## APPLICATION ATTACHMENT B

### County of Clinton IDA Fee Schedule:

Adopted: 5/13/13

Type	Cost	Description
<i>Application Fee</i>	<b>\$1500</b>	The Agency will charge a nonrefundable administrative application fee for finance transactions equal to \$1500 upon submission of an application by a project. \$750 is a non-refundable administrative fee. The remaining \$750 will be applied to the project's closing costs.
<i>Fee Issuances for Bonds or Straight Lease Transactions</i>	<b>.75 of 1%</b>	The Agency will charge said fee on the total benefited project costs. Such fee shall be payable upon the successful conclusion of the sale of obligations (bonds) or upon the execution and delivery of the documents providing financial assistance (straight lease not involving bonds). Fees are non-refundable.
<i>Issuance Fee for Refinancing</i>	<b>½ of the Current Bond Fees</b>	The Agency will charge ½ of the current bond fees for the refinancing of a project. Fees shall be applied towards administrative costs to the Agency and are non-refundable.
<i>Modification/Amendment Transactions Fees</i>	<b>\$500</b>	The Agency will charge a nonrefundable modification/amendment transaction fee per instance (post-closing) equal to \$500 upon the submission of a letter to the Agency explaining in detail the requested action to modify or amend existing documents previously executed by the Agency. Fees shall be applied towards administrative costs.
<i>Reconveyance of a Straight Lease Fees Not Involving New Financial Assistance</i>	<b>\$500</b>	The Agency will charge a nonrefundable reconveyance administrative fee for straight lease transactions. The project is responsible for paying all legal costs and/or other third party costs incurred by the Agency on behalf of the project. Fees shall be applied towards administrative costs to the Agency and are non-refundable.
<i>Special Meeting Fee</i>	<b>\$500</b>	The Agency will charge a nonrefundable administrative fee for a special meeting of the IDA held at the project's request.
<i>IDA Legal Fees</i>	<b>Varies</b>	The project is responsible for paying all legal costs and/or other third party costs incurred by the Agency on behalf of the project. Fees shall be applied towards administrative costs to the Agency and are non-refundable.

\*The Agency Board reserves the right to determine and impose other administrative fees on Agency projects in consideration for financial assistance being granted by the Agency and/or the costs incurred by the Agency. The Agency may provide for a different application fee and/or a different administrative fee for a particular project by resolution duly adopted by the Agency Board.

## APPLICATION ATTACHMENT C

### CCIDA UTEP PILOT Scoring Criteria

Variable/ Threshold	Permanent Payroll Level in Terms of # of Jobs Created	% of Average County Wage	# of Potential Spin-off Jobs	Local Business Impact and/or Community Investment  Reviewing appropriate level yearly	Educational Benefits  Reviewing appropriate levels/year	Value of Real Property	Totals:
Level 1 (1 point)	Less than 100 jobs within 5 years	At least 75% for <u>new</u> jobs	Less than 100 verifiable Spin off jobs	Need for local industry/services is low e.g. insurance, banking, trucking Belong to Chamber	Low level such as school visits/ school-to-work	\$500k-\$1.5x10 <sup>6</sup>	
Level 2 (2 pts)	100 - 300 jobs	At least 100% for <u>new</u> jobs	100-300 verifiable Spin off jobs	Use local industrial suppliers & services/raw materials/parts Or Reuse abandoned facility	Limited Support/ Learn to Earn Internships underwrite facilities or programs	\$1.5 - 5.0 x 10 <sup>6</sup>	
Level 3 (3 pts)	300+ jobs within 5 years	At least 150% for <u>new</u> jobs	300+ verifiable Spin off jobs	Demonstrate synergy with local services, suppliers and manufacturers Or Reclaim brownfield/adaptive re-use of facilities.	Major support to schools and colleges Scholarships (NMSQT); internships; sponsorships underwrite faculty \$10,000	\$5.0 x 10 <sup>6</sup> +	
Totals:							

### Scoring

6 points or less - Category 1 benefits

7-11 points - Category 2 benefits

12 points or more - Category 3 benefits



## APPLICATION ATTACHMENT D

### CONSTRUCTION EMPLOYMENT AGREEMENT

Recognizing the mission of County of Clinton Industrial Development Agency (the "Agency") to promote construction employment opportunities for residents of Clinton County, New York and in consideration of the extension of financial assistance by the Agency for the project which is the subject of this application (the "Project"), Schluter Systems LP (the "Company") understands that it is the Agency's policy that benefiting private entities should employ New York State residents and agrees to provide the information requested below as a way to provide local construction opportunities. The Company also agrees to provide an estimate of the number, type and duration of construction jobs to be created through Agency assistance, whether employment is gained directly through the Company, its general contractor, or individual vendors.

Upon completion of the Project, the Company shall, if requested by the Agency, submit to the Agency a Construction Completion Report in which is identified names and business addresses of the prime contractor, sub-contractors and vendors engaged in the construction of the Project.

#### Relevant Company Information:

Company: Schluter Systems LP

Company representative for Contract Bids and Awards:  
Robert Grinnell, CFO

Mailing Address: 194 Pleasant Ridge Road  
Plattsburgh, New York 12901

Phone: 518-324-3426 Fax: \_\_\_\_\_

Email: rgrinnell@schluter.com

#### General Contractor, if determined:

Contractor: Luck Builders Inc.

Representative: Ron Nolland

Mailing Address: 73 Trade Road  
Plattsburgh, New York 12901

Phone: 518-561-4321 Fax: \_\_\_\_\_

Email: ron@luckbros.com

Construction start date is estimated to be September 2016 with occupancy to be taken on August 2017 (estimated)?

Construction Phase or Process	Duration of Construction Phase	# to be employed
See attached		42

Construction Phase or Process	Duration of Construction Phase	# to be employed

May 1, 2017  
Dated \_\_\_\_\_

Schluter Systems L.P.  
Name of Applicant

  
Signed \_\_\_\_\_

Robert Grinnell, CFO  
Printed Name and Position



PROFILE OF INNOVATION

Clinton County Industrial Development Agency  
Attn: Melissa McManus  
190 Banker Road, Suite 500  
Plattsburgh, New York 12901

April 27, 2017

RE: Supplemental Information for CCIDA Application for Financial Assistance  
Schluter Systems L.P. Warehouse Expansion

Dear Ms. McManus

The purpose of this letter is to provide supplemental information for Schluter Systems L.P.'s CCIDA Application for Financial Assistance, which was provided to CCIDA on April 28, 2017.

The following information applies to the preliminary determination that the Schluter Systems L.P. Warehouse Expansion project qualifies for category 2 benefits for scoring 10 points according to the CCIDA UTEP PILOT Scoring Criteria.

Permanent Payroll Level in Terms of Number of Jobs Created

The Schluter Systems L.P. warehouse expansion will create 22 new full time jobs within one year of project completion.

Points: 1

Percentage of Average County Wage

All new jobs created by this project shall pay at least 75% of the average county wage (\$37,493.00).

Points: 1

Number of Potential Spinoff Jobs

This project will create less than 100 verifiable spinoff jobs.

Points: 1

Local Business Impact and/or Community Investment

Schluter Systems L.P. holds monthly educational workshops which attract up to 70 installers from the northeastern United States to visit Clinton County for a 2 night/3 day workshop at our facilities in Plattsburgh. Over the course of these workshops, the Company places these individuals at local hotels, provides local transportation to and from our facility, and provides all meals for workshop participants. We utilize several local catering companies, such as My Cup of Tea, the Hungry Bear, the Homestead Restaurant, and the Orchard House to provide breakfast, lunch, and snacks for participants throughout the day. Additionally, we treat our workshop guests to dinner at establishments such as Anthony's Restaurant and the Orchard House both nights of the workshop. The total amount expended by the Company on these educational initiatives is significant, totaling in the hundreds of thousands of dollars paid out to local vendors and establishments.

In addition to these educational workshops, Schluter Systems hosts similar events for commercial architects and top tier customers. In such events, our architectural guests and customers receive similar accommodations and experiences as those provided during the Company's educational workshops.

Additionally, the Company hosts student programs at our facilities with local high schools, vocational schools, and employment placement agencies (described further below). These programs provide exposure to a cutting edge manufacturing environment to students interested in pursuing a future in a skilled trade.

Further, it is important to note that Schluter Systems supports a "buy local" philosophy whenever possible. In our construction projects and in ongoing maintenance work on Company premises, Schluter Systems utilizes local general contractors and subcontractors. All of our supplies and packaging materials are purchased locally from Lakeside Container. The Company consistently uses local office suppliers, including W.B. Mason, for furniture and other sundry items.

Based on these factors, we consider the local business impact and/or community investment as a level 3 according to the CCIDA UTEP PILOT Scoring Criteria.

Points: 3

#### Educational Benefits

The most significant aspect of educational benefits created by Schluter Systems is through our business model, which stresses the fundamental importance of providing education and training to individuals within the trade (i.e. tile installers and setters) on our products and how to properly utilize them. In order to implement this model, the Company hosts regularly hosts educational workshops (described above) on our premises..

Schluter Systems also regularly hosts student groups from vocational schools, employment placement agencies aimed at youths considered a high risk of dropping out of school, and students looking to enter the manufacturing field as an alternative to attending college. The Company hosts approximately 6 of these events annually, reaching at least 80-90 youths.

Additionally, Schluter Systems offers internship and co-op opportunities to students at Plattsburgh State University and Clarkson University to improve students' practical experience and knowledge with a manufacturing firm with global connections and outreach.

Lastly, the vast majority of our employee base at Schluter Systems and our affiliated entities are from Clinton County and the tri-county area. We hire employees at all levels within the organization: line, middle and upper management levels at our office, manufacturing, and warehouse positions. When hiring, Schluter Systems prioritizes local talent. All of our personnel receive skills and training that are transferrable to other organizations in the area.

Given the above-described resources provided by Schluter Systems, we feel our educational benefits should at least qualify as a level 2 according to the CCIDA UTEP PILOT Scoring Criteria.

Points: 2

#### Value of Real Property

Based on an assessed value of \$7.00 per square foot for warehousing space and \$8.00 per square foot for production space, the proposed 210,800 sq.ft. expansion has an estimated assessed value of \$1,581,000.00. Such assessment qualifies as level 2 according to the CCIDA UTEP PILOT Scoring Criteria.

Points: 2

**Total Points: 10**

We respectfully request that the Industrial Development Agency give every consideration to the information presented above in reviewing our eligibility for Category 2 benefits for the UTEP PILOT. Please do not hesitate to contact me directly at 518-324-3455 or [cmadonna@schluter.com](mailto:cmadonna@schluter.com) for additional information on any of the information contained herein.

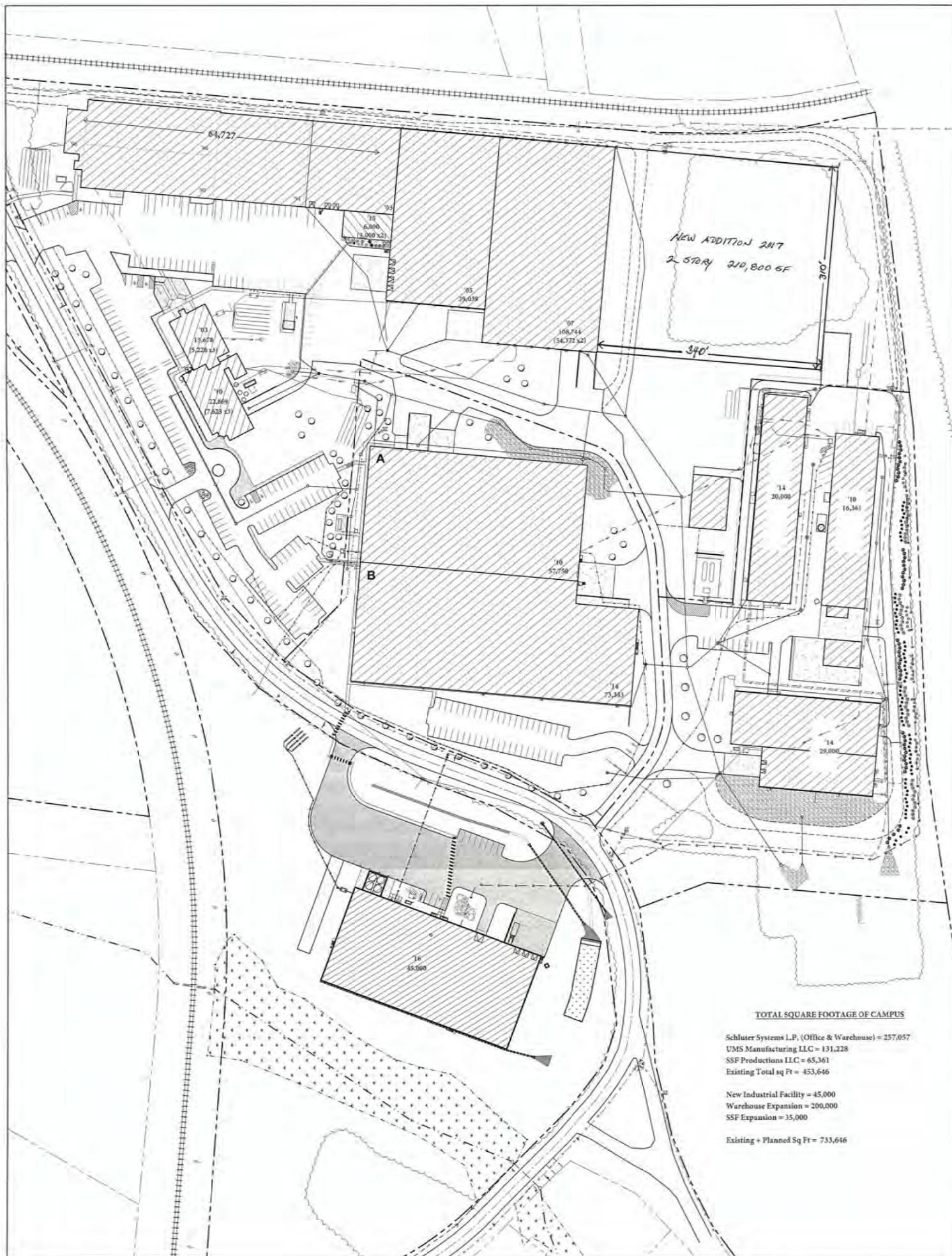
Sincerely,

A handwritten signature in black ink, appearing to read "CJ Madonna". The signature is fluid and cursive, with a large initial "C" and "J" that are connected.

CJ Madonna  
General Counsel

CJM/tlt





#### TOTAL SQUARE FOOTAGE OF CAMPUS

Schluter Systems L.P. (Office & Warehouse) = 257,057  
 UMS Manufacturing LLC = 131,228  
 SSF Productions LLC = 65,361  
 Existing Total sq Ft = 453,646

New Industrial Facility = 45,000  
 Warehouse Expansion = 200,000  
 SSF Expansion = 35,000

Existing + Planned Sq Ft = 733,646





Enlarged portion of Town of Plattsburgh Tax Map Section No. 232.000 showing location of the Project

### ***PART III: ENVIRONMENTAL ASSESSMENT FORM (EAF)/SEQR***

#### **Project Information**

**Application No** \_\_\_\_\_

#### **NOTICE TO APPLICANT:**

*Please complete this entire project data sheet. Answers to these questions will be considered a part of your application for funding or approval and may be subject to further verification and public review. Provide any additional information you believe will be needed by the reviewing agency in order for it to make a determination on the environmental impact of the project.*

*It is expected that completion of this EAF will be dependent on information currently available and will not involve new studies, research, or investigation. If information requiring such additional work is unavailable, indicate and specify each instance.*

Name of Project: Schluter/UMS Properties Warehouse Addition 2016  
Name of Applicant: Schluter Systems, L.P.  
Street Address of Applicant: 194 Pleasant Ridge Road  
City, State and Zip Code: Plattsburgh, NY 12901

Name of Owner (if different): \_\_\_\_\_  
Street Address of Owner: \_\_\_\_\_  
City, State and Zip Code: \_\_\_\_\_  
Business phone: \_\_\_\_\_

#### **Description of Project:** *(Briefly describe type of project or action):*

Construct a 213,300 sq. ft. two story warehouse facility with related site improvements.

The total floor area will be 213,000 sq. ft.

\_\_\_\_\_  
\_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Have you previously complied with SEQRA in connection with any other needed approval for this project: Yes X No

If your answer is "Yes", it may not be necessary for you to complete this EAF. Please contact the current reviewing agency and provide it with all the SEQRA compliance documents which have already been prepared.

If you answered "No", please continue with this application.

### **A. SITE DESCRIPTION**

*(Physical setting of overall project, both developed and underdeveloped areas)*

1. General character of the Land: Generally uniform slope \_\_\_\_\_  
Generally uneven and rolling or irregular \_\_\_\_\_.

2. Present land use:

Urban		Industrial	
Commercial		Suburban	
Rural		Forest	
Agriculture		Other	

3. Total acreage of project area: \_\_\_\_\_ acres.

	<u>Present # of Acres</u>	<u>#Acres After Completion</u>
Meadow or brush land		
Forested		
Agricultural		
Wetland*		
Water Surface Area		
Unvegetated (rock, earth or fill)		
Roads, buildings and other paved surfaces		
Other (indicate type)		

- Freshwater or Tidal as per Articles 24, 25, of E.C.L.

4. Population: Population of city, town or village in which project is located (use census figures and most recent official estimate if population is estimated to have changed materially since census \_\_\_\_\_)

5. What is predominant soil type(s) on project side \_\_\_\_\_



**TOWN OF PLATTSBURGH  
PLANNING BOARD MEETING  
AUGUST 16, 2016**

August 10, 2016

Schluter Systems /UMS Properties Warehouse Addition Site Plan 2016  
SEQRA Determination  
Project is located at 194 Pleasant Ridge Rd.  
Plans dated July 2016  
Plans received by Planning Department on July 26, 2016

The Applicant, Schluter Systems L.P, is requesting a SEQRA Review and determination for the construction of a 213,000 square foot (2-story) addition to the existing industrial facility and alterations to the stormwater management facilities. This Planning Board action is for the SEQRA component only. The Project will still be required to submit Detailed Preliminary Site Plans for site plan review and approval by the Town Planning Board. The Planning Board has requested and received sign-off from the Town ZBA to act as lead agency for this review.

**SEQRA REVIEW**

The scope of this review is focused on the potential environmental impacts associated with this expansion. Project components requiring additional review and consideration are:

- The Project proposes to increase impervious cover of the site and has therefore developed a stormwater management plan and report in compliance with Town and NYSDEC regulations and best practices. The stormwater report was reviewed for compliance by the Town's Engineering Consultant. The Stormwater Management meets the Town's requirements however, will require minor modifications as identified in the Laberge review letter dated August 10, 2016. Any detailed preliminary plan approval will be subject to compliance with all Town and state stormwater regulations. No portions of the property are within the 100 year flood plain.
- The Project will be regulated by the NYSDEC must comply with all provisions of a NYSDEC SPDES permit. This permit will be provided for the Planning Board during the detailed preliminary plan review process.
- The project as proposed will result in a minimal increase in traffic however, the site has sufficient parking and truck maneuvering areas to handle the minor increase.



- The project is subject to variance requirement of the Zoning Board of Appeals. The Zoning Board will consider the Applicant's requests, and the merits of the height and setback variances requested.
- All other typical site plan considerations (landscaping, lighting, buffering, etc.) will be in conformance with the Town Zoning Ordinance and reviewed for compliance after submittal of the revised detailed preliminary plan.

### RECOMMENDATION

The project has submitted a complete Part 1 Long EAF as attached. The Planning Department has completed the SEQRA Part II EAF for this Project. The Planning Department has considered all aspects of the action, reviewed the EAF, and thoroughly analyzed the identified relevant areas of environmental concern to determine if the action may have a significant adverse impact on the environment. In consideration of all materials reviewed and provision of all additional materials noted above, it is the recommendation of the Planning Department that the Planning Board consider, based on the information and analysis of Part 2 of the EAF that the proposed action **WILL NOT** result in any significant adverse environmental impacts and does further recommend that the Planning Board find a **NEGATIVE DETERMINATION** of significance for this project.