

**City of Utica  
Industrial Development Agency  
Application**

The information required by this form is necessary to determine the eligibility of your project for IDA benefits. Please answer all questions; insert "NONE", or "NOT APPLICABLE", where necessary. If an estimate is given, put "EST." after the figure. Attach additional sheets if more space is needed for a response than is provided. Return three copies of this application to the City of Utica Industrial Development Agency.

All information contained in this form will be treated confidentially, to the extent permitted by law.

A project financed through this Agency involves the preparation and execution of significant legal documents. Please consult with an attorney before signing any documents in connection with the proposed project.

PART I

Applicant

Applicant's legal Name: Sturges Manufacturing Company

Principal Address: 2030 Sunset Ave, Utica, NY 13502

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Project Address: 2012 Sunset Ave, Utica, NY 13502

\_\_\_\_\_

Telephone Number(s): (315) 732-6159

Federal Identification Number: 15-0461550

Company IRS Filing Office Location: Ogden, Utah

Company Officer completing this application:

Name: Tyler Griffith

Title: President

Phone: (315) 732-6159 cell \_\_\_\_\_ office \_\_\_\_\_

Email: [tgriffith@sturgesmfgco.com](mailto:tgriffith@sturgesmfgco.com)



C. Is the applicant or any of the persons listed in 2(A) above related, directly or indirectly, to any other entity by more than 50% common ownership? If also, indicate name of such entity and the relationship.

N/A

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D. Is the applicant affiliated with any other entity, directly or indirectly, other than as indicated in response to paragraph C above? If YES, please indicate name and relationship of such other entity and the address thereof:

N/A

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**3.**

**Applicant's accountant**

Name and Title:

Evans & Bennett LLP

Name of Firm: Evans & Bennett LLP

Address: 2112 Erie BLVD E #100 Syracuse, NY 13224

Telephone Number: (315) 474-3986 \_\_\_\_\_ Email: \_\_\_\_\_

**4.**

**Applicant's attorney**

Name and Title: FX Matt

Name of Firm: Matt Law Firm PLLC

Address: 1701 Genesee St, Utica, NY 13501

Telephone: (315) 624-7360 \_\_\_\_\_

Email: \_\_\_\_\_

5. **References** (Individuals and institutions in this section may be contacted)

A. Banking/Financial Institution:

<u>Name of Institution</u>	<u>Address and Phone Number</u>	<u>Account Officer/ Contact Person</u>
Key Bank	201 South Warren Street, S)	Kathleen A Slifka
	Office: 315-470-5109	

B. Business suppliers (list three largest accounts)

<u>Name of Supplier</u>	<u>Address and Phone Number</u>	<u>Account Officer/ Contact Person</u>
[REDACTED]		
[REDACTED]		
[REDACTED]		

C. Major customers (list three largest)

<u>Name of Customer</u>	<u>Address and Phone Number</u>	<u>Account Officer/ Contact Person</u>
Confidential due to agreements		

6. **Business Description**

A. Describe nature of business and principal products and/or services:

Sturges Manufacturing Company is a leading manufacturer of engineered webbing and strap solutions. With an in-house test lab, Sturges can continue to improve on its products and process. A fixture in the Mohawk Valley, Sturges was founded in 1909 and currently employs 66 full-time workers.

B. Describe the geographical market(s) served:

Sturges meets global demand for manufacturing of straps and webbing serving

customers all over the United States and the World.

7. **Present location(s) of business operations**

A. List present location(s):

2030 Sunset Ave, Utica, NY 13502

2. 2012 Sunset Ave, Utica, NY 13502

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B. For what purpose is each of these used?

1 Headquarters

2. Manufacturing/ Test lab/ Storage

1 .

C. For each of your present locations which are **RENTED**, provide the following information:

	<u>Named Landlord</u>	<u>Landlord's Address</u>	<u>Landlord's Telephone Number</u>
1. None			
2 .			
3 .			
	<u>Amount of Space</u>	<u>Annual Rental</u>	<u>Lease Termination Date</u>
1. None			
4 .			
5 .			

D. For each of your present locations which you OWN, provide the following information:

<u>Location</u>	<u>Annual Mortgage Payment</u>	<u>Termination Date</u>
1. 2030 Sunset Ave, Utica, NY	\$0	N/A
2. _____	_____	2012 Sunset Ave, Utica, NY
0. _____	_____	_____

E. List which of your present locations, if any, will be vacated if IDA approval for your project is given:

None. The project will expand upon the company's current location at 2012

Sunset Ave in Utica, NY.

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If any of these locations will be sublet or sold, provide information concerning your ability to do so:

N/A

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**PART II**

**Reasons for Project**

Please explain in detail why you want to undertake this project and define scope of project: To support additional manufacturing equipment and avoid relocating to another off-site or

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out-of-state location, Sturges is looking to increase capacity with an addition to its Utica location.

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The expansion will open 10,000 square feet of manufacturing space in the current building by

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creating space for storage for raw materials. Sturges has invested considerably into its facilities; the

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proposed addition will expand an abandoned building purchased in 1997. Sturges invested over

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\$1 million from 1997-98 to convert this structure into a manufacturing facility. In 2018, Sturges

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invested \$1 million for a second test lab to verify products and meet demand. This capacity

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expansion will retain local jobs and create 15-20 construction jobs. Sturges intends to break ground

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in April of 2022 and complete the expansion by September of 2022.

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Why are you requesting the involvement of the IDA in your project?

Without additional financial support, it is unlikely Sturges will be able to complete this important

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modification to its existing facility. IDA involvement in the project will ensure the company can

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continue to exist out of its current facilities in the City of Utica. Otherwise, it may be forced to seek

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an alternate location to expand.

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How will the applicant's plans be affected if IDA approval is not granted?

This would put into jeopardy potential jobs and revenue resulting from the increased manufacturing capacity anticipated. Likewise, if Sturges cannot expand its current facility, the company will need to consider other location options.

Please confirm by checking the box, below, if there is likelihood that the Project would not be undertaken but for the Financial Assistance provided by the Agency?

Yes or  No

If the Project could be undertaken without Financial Assistance provided by the Agency, then provide a statement in the space provided below indicating why the Project should be undertaken by the Agency:  
N/A

Identify the assistance being requested of the Agency (select all that apply):

- 1. Exemption from Sales Tax  \_\_\_\_\_ Yes or No
- 2. Exemption from Mortgage Tax \_\_\_\_\_ Yes or  No
- 3. Exemption from Real Property Tax \_\_\_\_\_ Yes or  No
- 4. Tax Exempt Financing \* \_\_\_\_\_ Yes or  No

\* (typically for not-for-profits & small qualified manufacturers)



A. **Type of Project**

Check category or categories best describing your project (O - Owner) and all end-users (T — Tenant(s)) and the square footage of each:

	Manufacturing		sf
	Industrial (Assembly or Service)		sf
	Research and Development		sf
O	Warehousing	10,000	sf
	Commercial		sf
	Pollution Control		sf
	Housing		sf
	Back Office		sf
	Facility for Aging		sf
	Multi-Tenant		sf
	Retail		sf
	Recreational		sf
	Other (specify)		sf
	Total	<b>10,000</b>	sf

B. **Description of Proposed Project**

Check all appropriate categories which apply to the proposed project:

- |  |        |       |
|--|--------|-------|
| 1. Acquisition of land                           | YES( ) | NO(x) |
| 2. Acquisition of existing building              | YES( ) | NO(x) |
| 3. Renovations to existing building              | YES(x) | NO( ) |
| 4. Construction of addition to existing building | YES(x) | NO( ) |
| 5. Demolition                                    | YES(x) | NO( ) |
| 6. Construction of a new building                | YES( ) | NO(x) |
| 7. Acquisition of machinery and/or equipment     | YES(x) | NO( ) |
| 8. Installation of machinery and/or equipment    | YES(x) | NO( ) |
| 9. Other (specify) _____                         | YES( ) | NO(x) |

C. What is the zoning classification of the proposed site?

Residential Mixed (RM)

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H. List the principal items or categories of equipment to be acquired as part of the project.  
Pallet racking, pallet jack, yarn tensile tester, weaving looms, computers,  
\_\_\_\_\_

and delivery truck.  
\_\_\_\_\_

I. If any of this equipment has already been purchased or ordered, please attach all invoices and purchase orders and list amounts paid and dates of expected delivery as well as a brief description:

N/A

J. If the construction or operation of the proposed project will require any local ordinance or variance to be obtained or requires a permit or prior approval of any state or federal agency or body (other than normal occupancy/construction permits), please specify:

City of Utica Zoning Board of Appeals and Utica Planning board, both approved

City of Utica Building Permit — end of February  
\_\_\_\_\_

K. Will the project have a significant effect on the environment, YES ( ) NO (x). If YES, please describe the effect. **Important: please attach Environmental Assessment Form to this Application**  
\_\_\_\_\_

L. Will a related real estate holding company, partnership or other entity be involved in the ownership structure of the Transaction? YES ( ) NO (x) If YES, please explain:  
\_\_\_\_\_

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

M. 1. With regard to the present owner of the project site, please give:

Name: Sturges Manufacturing Company

Address: 2030 Sunset Ave

Utica, NY 13502

Telephone Number: (315) 732-6517

2. If the applicant already owns the project site, indicate:

a. date of purchase: 1997 \_\_\_\_\_

b. purchase price: \$300,000

3. If the project site is mortgaged, please indicate:

a . b a l a n c e o f m o r t g a g e : \$ 0

b . holder of mortgage: None

N. Is there a relationship, legally, by virtue of common control, or through related persons, directly or indirectly, between the applicant and the present owner of the project site? YES ( ) NO (x) If YES, please explain:

**N/A**

O. Is the company currently a tenant in the building to be occupied?

YES ( ) NO (x)

P. Are you planning to use/develop the entire proposed facility?

YES (x) NO ( )

If NO, give the following information with respect to present tenants:

1. Present Tenant Information

a.	Name of Tenant's Business	Floors Occupied	Square Feet Occupied	Nature of Business
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None \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. Which of the above tenants will be vacating upon your initial use of the facility? How many jobs will be affected?

<u>Name of Firm</u>	<u>Jobs</u>	<u>Square Footage Now Occupied</u>
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None \_\_\_\_\_  
\_\_\_\_\_

c. For those tenants who will remain after your initial occupancy of the site, provide the following transaction:

<u>Name of Tenant</u>	<u>Term of Lease</u>	<u>Renewal Options</u>	<u>Square Footage Now Occupied</u>
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None \_\_\_\_\_  
\_\_\_\_\_

Are any of the above tenants related to the owner of the facility? YES ( ) NO ( )

d. If the applicant will be occupying the premises of any of the tenants listed in (c) when their lease expires, please list.

None \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

e. Please provide copies of all present lease(s) at the proposed project

f. Do you propose to lease part of the project facility to firms not presently tenants?

YES ( ) NO (x) If YES, provide details of your proposals:

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g. Will financing by the Agency for the Project result in the removal or abandonment of a plant or other facility of the applicant or any related entity presently located in another area in the State of New York? YES ( ) NO (x)

If the answer is YES, please explain briefly the reasons for the move.

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Is the proposed project reasonably necessary to discourage the project occupant from removing such other plant or facility to a location outside the State of New York?

YES (x) NO ( )

Is the proposed project reasonably necessary to preserve the competitive position of the project occupant in its respective industry? YES (x) NO ( )

h. If any of the parties who will be tenants in this project are related to or affiliated with the applicant, please identify them:

None

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1. Please attach any written agreements (e.g., options, purchase contracts, invoices, etc.) concerning the acquisition of the real property or equipment for this proposed facility.

2. Employment \*

- a. List your present employment in the City of Utica, if any, and an estimate of the employment at the proposed facility at the end of two years. NOTE: New York State considers Full Time employment as 35 hours or more. Full-time jobs, plus the combination of two or more part-time jobs that, when combined together, constitute the equivalent hours of a full-time position (35 or more hours).

Employment	Current # of applicant's jobs at/or to be located at proposed project location	Number of FTE jobs to be RETAINED	Number of FTE jobs to be CREATED two years after project completion	Estimate number of residents in Labor Market Area that will fill projected jobs two years after project completion
Full-Time (FTE)	66	66	0	N/A

The Labor Market Area consists of the following counties: Oneida, Lewis, Herkimer, Otsego, Madison and Oswego

- b. Characterize the labor force to be associated with this project location according to the following categories:

Category	Current/ Anticipated	Avg Salary or Salary Range	Avg Fringe Benefits or Range
Officers	4	██████████	██████████
Sales/Supervisory	2	██████████	██████████
Clerical	12	██████████	██████████
Plant/Production	48	██████████	██████████
Other (specify)			

Notes: Average Fringe benefits include medical, HSA/HRA, dental, 401k match ██████████

- c. Estimate the Annual Payroll for the employees associated with the project location.

Currently	End of Year One	End of Year Two
██████████	██████████	██████████

**\* Company/Applicant will be required to submit Annual Project Monitoring Reports (attached) along with a copy of the NYS 45 (four quarters) for a minimum of five (5) years for any commercial project and ten (10) years for any industrial/manufacturing project, or for the length of UIDA involvement in the project. Annual Project Monitoring Reports will be compared to employment counts as stated above and companies whose reported counts fall below those levels above will be subject to the Agency's Recapture Provisions Policy.**

**Sources of Funds for Project Costs:**

**% of Total  
project costs**

Bank Financing:	\$ _____	_____
Equity (excluding equity attributed to grants/tax credits)	\$ 1,550,600	80%
Tax Exempt Bond Issuance (if applicable)	\$ _____	_____
Taxable Bond Issuance (if applicable)	\$ _____	_____
Public Sources (Include sum total of all state and federal grants and tax credits)	\$ <u>387,650</u>	20%
Identify each state and federal grant/credit:	\$ _____	
REDC-ESD	\$ <u>387,650</u>	
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
_____	\$ _____	
Total Sources of Funds for Project Costs:	\$ <u>1 913 250</u>	100%

Have any of the above costs been paid or incurred as of the date of this Application?  Yes  No. If Yes, describe particulars:

\_\_\_\_\_

**Mortgage Recording Tax Exemption Benefit:** Amount of mortgage that would be subject to mortgage recording tax:

Mortgage Amount (include sum total of construction/permanent/bridge financing): \$ \_\_\_\_\_ N/A

Estimated Mortgage Recording Tax Exemption Benefit (product of mortgage indicated above multiplied by 0.75%): \$ N/A Amount as \_\_\_\_\_

Please Note: The New York State General Municipal Law was recently amended to reflect that industrial development agencies are not exempt from the additional mortgage recording tax of .25% that is assessed to properties that are located within a regional transportation district. Oneida County is located within the Central New York Regional Transportation District; as such, all UIDA projects will be exempt from .75% of mortgage recording tax, but must pay .25% of mortgage recording tax, which will be directed to the Transportation District.





**4. Real Estate Taxes**

List separately the proposed project's Real Estate Taxes and/or Assessed Value as it applies to land and building:

Project's	Real Estate Taxes	Assessed Value
Land(s)	\$	\$
Building(s)	\$	\$
Total	\$	\$

Calculate the value of the PILOT exemption anticipated for the project described: \$  
 N/A \_\_\_\_\_

**6. Project Schedule**

Indicate the estimated dates for the following:

a. Construction commencement: April 2022

b. Construction completion: September 2022

c. Project financing: List the dates and in what amounts the estimated funds will be required:

Construction- April 2022 through September 2022

Equipment- Order April/May 2022 and installation September 2022

d. Indicate the name of the incorporated municipality in which the facility will be located and the applicant's (or any related entity's) estimated capital expenditures in such municipality during the past three years:

Utica, NY - 2019 = \$916,938; 2020 = \$94,503; 2021 = \$316,002

e. What do you expect the applicant's (or any related entities) capital expenditures to be in the above municipality during the next three years (including this project):

Estimated at \$3 Million

f. If the applicant or any related entity has previously secured the benefit of tax exempt financing in the City of Utica, whether through IDA, the New York Job Development Authority or any other entity, please explain (indicate date, location of financed facility, and outstanding balance):

N/A

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g. Has the applicant or any related entity received the benefit of tax exempt financing anywhere within the United States within the past 90 days or is the applicant or any related entity contemplating the receipt of such financing assistance within the next 90 days? YES ( ) NO ( ) if YES, please explain.

No.

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6. Project Financing Efforts

IT IS THE APPLICANT'S RESPONSIBILITY TO SECURE A PURCHASER FOR IDA BONDS ISSUED IN CONJUNCTION WITH THIS PROJECT. Below are a series of questions relating to your efforts to secure financing for your project if IDA approval is granted.

A. Has the applicant contacted any bank, financial/lending institution or private investor in regard to the financing for this project? YES ( ) NO (x) If YES, please give details:

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B. Have you obtained a financial commitment for this project? YES ( ) NO (x )

1. If YES, please briefly describe this commitment and attach related correspondence:

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2. If NO, please explain how you will be able to finance this project:

Sturges will utilize cash to cover project costs.

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C. Are there any other governmental agencies that you have contacted concerning financial assistance in regard to your proposed project? YES (x) NO ( ) If YES, please explain:

Application submission for Regional Council Capital Fund Program (ESD Grant — REDC)

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D. 1. Will the applicant's obligations be guaranteed, and if so, by whom?

N/A

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2. Is the guarantor related to or affiliated with the applicant?

N/A

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- E. Financial Information (Attach the Following).
1. Financial Statements for the last three fiscal years.
  2. Pro forma Balance Sheet as at start of operations at project site.
  3. Projected Profit and Loss Statements for first two years of operation at project site.
  4. Projected "Cash Flow" Statement, by quarters, for first year of operation at project site.

### **REPRESENTATIONS AND CERTIFICATION BY APPLICANT**

The undersigned requests that this Application be submitted for review to the City of Utica Industrial Development Agency (the "Agency") and its Board of Directors.

Approval of the Application can be granted solely by this Agency's Board of Directors. The undersigned acknowledges that Applicant shall be responsible for all costs incurred by the Agency and its counsel in connection with the attendant negotiations whether or not the transaction is carried to a successful conclusion.

The Applicant further understands and agrees with the Agency as follows:

- 1. Annual Sales Tax Filings.** In accordance with Section 858-b(2) of the New York General Municipal Law, the Applicant understands and agrees that, if the Project receives any sales tax exemptions as part of the Financial Assistance from the Agency, in accordance with Section 874(8) of the General Municipal Law, the Applicant agrees to file, or cause to be filed, with the New York State Department of Taxation and Finance, the annual form prescribed by the Department of Taxation and Finance, describing the value of all sales tax exemptions claimed by the Applicant and all consultants or subcontractors retained by the Applicant.
- 2. Annual Employment Reports.** The Applicant understands and agrees that, if the Project receives any Financial Assistance from the Agency, the Applicant agrees to file, or cause to be filed, with the Agency, on an annual basis, reports regarding the number of people employed at the project site as well as tax benefits received with the action of the Agency. Failure to provide such reports as provided in the transaction documents will be an Event of Default under the Lease (or Leaseback) Agreement between the Agency and Applicant. In addition, a Notice of Failure to provide the Agency with an Employment Report may be reported to Agency board members, said report being an agenda item subject to the Open Meetings Law.
- 3. Absence of Conflict of Interest.** The Applicant has consulted the Agency website of the list of the Agency members, officers and employees of the Agency. No member, officer, or employee of the Agency has an interest, whether direct or indirect, in any transaction contemplated by this Application, except as herein after described (if none, state "none"):
- 4. Hold Harmless.** Applicant hereby releases the Agency and its members, officers, servants, agents and employees from, agrees that the Agency shall not be liable for and agrees to indemnify, defend and hold the Agency harmless from and against any and all liability arising from or expense incurred by (A) the Agency's examination and processing of, and action pursuant to or upon, the attached Application, regardless of whether or not the Application or the Project described therein or the tax

exemptions and other assistance requested therein are favorably acted upon by the Agency, (B) the Agency's acquisition, construction and/or installation of the Project described therein and (C) any further action taken by the Agency with respect to the Project; including without limiting the generality of the foregoing, all causes of action and attorneys' fees and any other expenses incurred in defending any suits or actions which may arise as a result of any of the foregoing. If, for any reason, the Applicant fails to conclude or consummate necessary negotiations, or fails, within a reasonable or specified period of time, to take reasonable, proper or requested action, or withdraws, abandons, cancels or neglects the Application, or if the Agency or the Applicant are unable to reach final agreement with respect to the Project, then, and in the event, upon presentation of an invoice itemizing the same, the Applicant shall pay to the Agency, its agents or assigns, all costs incurred by the Agency in the processing of the Application, including attorneys' fees, if any.

5. The Applicant acknowledges that the Agency has disclosed that the actions and activities of the Agency are subject to the Public Authorities Accountability Act signed into law January 13, 2006 as Chapter 766 of the 2005 Laws of the State of New York.
6. The Applicant acknowledges that the Agency is subject to New York State's Freedom of Information Law (FOIL). **Applicant understands that all Project information and records related to this application are potentially subject to disclosure under FOIL subject to limited statutory exclusions.**
7. The Applicant acknowledges that it has been provided with a copy of the Agency's recapture policy (the "Recapture Policy"). The Applicant covenants and agrees that it fully understands that the Recapture Policy is applicable to the Project that is the subject of this Application, and that the Agency will implement the Recapture Policy if and when it is so required to do so. The Applicant further covenants and agrees that its Project is potentially subject to termination of Agency financial assistance and/or recapture of Agency financial assistance so provided and/or previously granted.
8. The Applicant understands and agrees that the provisions of Section 862(1) of the New York General Municipal Law, as provided below, will not be violated if Financial Assistance is provided for the proposed Project:

§ 862. Restrictions on funds of the agency. (1) No funds of the agency shall be used in respect of any project if the completion thereof would result in the removal of an industrial or manufacturing plant of the project occupant from one area of the state to another area of the state or in the abandonment of one or more plants or facilities of the project occupant located within the state, provided, however, that neither restriction shall apply if the agency shall determine on the basis of the application before it that the project is reasonably necessary to discourage the project occupant from removing such other plant or facility to a location outside the state or is reasonably necessary to preserve the competitive position of the project occupant in its respective industry.

9. The Applicant confirms and acknowledges that the owner, occupant, or operator receiving Financial Assistance for the proposed Project is in substantial compliance with applicable local, state and federal tax, worker protection and environmental laws, rules and regulations.
10. The Applicant confirms and acknowledges 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 exemption claimed by reason of the Agency's involvement the Project.

11. 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 limited to, the provision of Section 859-a and Section 862(1) of the New York General Municipal Law.

12. The Applicant and the individual executing this Application on behalf of the Applicant acknowledge that the Agency will rely on the representations made herein when acting on this Application and hereby represent that the statements made herein do not contain any untrue statement of a material fact and do not omit to state a material fact necessary to make the statements contained herein not misleading.

STATE OF NEW YORK )  
COUNTY OF ONEIDA ) ss.

Tyler Griffith, being first duly sworn, deposes and says:

1. That I am the President Sturges (Corporate Office) of Manufacturing Co., Inc. (Applicant) and that I am duly authorized on behalf of the Applicant to bind the Applicant.

2. That I have read the attached Application, I know the contents thereof, and that to the best of my knowledge and belief, this Application and the contents of this Application are true, accurate and complete.

 

Kelly Subscribed and affirmed to me under penalties of perjury this 6<sup>th</sup> day of IAA cola I-, (Notary Public)

KELLY L. LALLIER  
Notary Public in the State of New York  
Qualified in Oneida County  
Reg. #01 LA6199434  
My Commission Expires January 20, 20a5

If the application has been completed by or in part by other than the person signing this application for the applicant please indicate who and in what capacity: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

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

**Return the original application and six copies with a check in the amount of \$250.00 made payable to: Utica Industrial Development Agency, 1 Kennedy Plaza, Utica, New York, Attn.: Jack N. Spaeth, Executive Director.**

