



AGENDA

MEETING OF THE START-UP NY APPROVAL BOARD

TUESDAY, JULY 01, 2014, 11:00 A.M.

STATE CAPITOL, ROOM 131
ALBANY, NEW YORK

- I. Welcome and Introductions
- II. Ratification of Minutes from START-UP NY Approval Board Meeting 05/13/14
- III. Consideration of Clarkson University Plan
- IV. Consideration of Columbia University Plan
- V. Consideration of Keuka College Plan
- VI. Consideration of University of Rochester Plan
- VII. Other issues



DRAFT – SUBJECT TO REVIEW AND REVISION

START-UP NY Approval Board

Meeting Minutes

625 Broadway, Room 824, Albany

10:00 A.M., Tuesday, May 13, 2014

The following Board members were present: Andrew Kennedy (Chair), Governor’s Appointee, Governor’s Assistant Secretary for Economic Development; Abraham M. Lackman, Temporary President of the Senate’s Appointee, Senior Officer for Civic Affairs at the Simons Foundation; Edward M. Cupoli, Speaker of the Assembly’s Appointee, Professor Emeritus at the University at Albany and Trustee Emeritus at Cornell University.

The meeting was called by Chairman Kennedy at 10:15. Chairman Kennedy observed that this was the third meeting of the START-UP NY Approval Board, and that interest in the START-UP NY program had grown further since the last meeting of the Board. Chairman Kennedy informed the other members that the Board would be considering plans submitted by Albany Medical Center and Hartwick College.

Prior to beginning consideration of the plans, Chairman Kennedy asked if there was a motion to vote on the adoption of the minutes from the prior meeting of the Board. Mr. Lackman so moved, and Mr. Cupoli seconded the motion. The motion was put to a vote, and the motion carried unanimously 3-0.

At 10:17, the Board turned to consideration of Albany Medical Center’s plan to designate a Tax-Free NY Area. Prior to the Board beginning its consideration, Chairman Kennedy disclosed that his wife is a nurse at Albany Medical Center. Chairman Kennedy noted that his wife has no knowledge of or interest in the adoption of Albany Medical Center’s plan.

At 10:18, Ms. Patricia Hartle of Empire State Development provided a summary of Albany Medical Center’s plan. Ms. Hartle noted that Albany Medical Center’s plan:

- Proposes for designation 9,859 square feet of vacant space located in two buildings located on Albany Medical Center’s campus, including 2,000 square feet of lab space;
- Indicates that Albany Medical Center intends to attract businesses developing biomedical equipment and biomedical material products, as well as businesses conducting clinical testing.



Ms. Hartle further noted that Albany Medical Center had received several inquiries from businesses interested in locating in the spaces proposed for designation, including a business engaged in orthopedic regeneration. Ms. Hartle related that Albany Medical Center believes that the space proposed for designation will support about 200 jobs.

At 10:20, Mr. Lackman asked whether hooded lab space is included. Ms. Hartle confirmed that hooded lab space is proposed for designation as part of Albany Medical Center's plan.

At 10:21, Mr. Cupoli inquired as to whether it would be possible to collect data on research activities conducted by businesses participating in the START-UP NY program, as well as quantify New York State spending on research facilities, to help businesses identify potential academic partners. Chairman Kennedy noted that significant biotech resources exist in the Capital Region, and that Albany Medical Center is particularly impressive in the field.

At this point, hearing no further comments or questions, Chairman Kennedy asked if there was a motion to move to a vote on Albany Medical Center's plan. Mr. Cupoli so moved, and Mr. Lackman seconded the motion. By a vote of 3-0, the Board moved to consideration of Albany Medical Center's plan.

At the direction of Chairman Kennedy, the secretary to the Board, Mr. Phillip Harmonick, proceeded to collect votes from the Board members by roll call. By a vote of 3-0, the Board approved Albany Medical Center's plan.

At 10:24, Chairman Kennedy indicated that the Board would move to consideration of Hartwick College's plan to designate a Tax-Free NY Area. Ms. Judith Tholl of Empire State Development provided a summary of Hartwick College's plan, including that:

- Hartwick College proposes for designation 50,000 square feet of vacant land located on the Hartwick College campus;
- Hartwick College intends to attract businesses in the following industry sectors to participate in its START-UP NY program: Agriculture and food, particularly hops cultivation and processing; battery technology and storage research; bioengineering and genetics; biotechnology and biomedical research; environmental research; geotechnical research; health care research and technology development; renewable energy technology development; arts production and warehousing; and business marketing.

Ms. Tholl further observed that Hartwick College had already been in conversations with several businesses interested in participating in its START-UP NY program, including hops farmers and processors, as well as alumni of Hartwick College engaged in the craft beverage



industry and biotechnology. Ms. Tholl noted that Hartwick College anticipates that brewing and farming operations resulting from the approval of its plan would support about 29 jobs within three to five years.

Mr. Lackman observed, and approved of, the fact that the Hartwick College conflict of interest policy includes members of the Hartwick College Board of Trustees as covered individuals.

At 10:27, Chairman Kennedy, hearing no further questions or comments, asked if there was a motion to move to a vote on Hartwick College's plan. Mr. Cupoli so moved, the motion was seconded, and the motion was approved by a vote of 3-0. By roll call vote, taken by Mr. Harmonick, the Board approved Hartwick College's plan 3-0.

Mr. Lackman then asked whether space must be vacant to be designated. Mr. Kevin Younis of Empire State Development answered that, other than space designated as part of a 16-V incubator, space must be vacant in order to be designated as part of a Tax-Free NY Area. Mr. Lackman then inquired whether colleges can acquire land to designate as part of a Tax-Free NY Area. Mr. Younis answered that colleges could acquire land for designation as part of a Tax-Free NY Area. Mr. Harmonick observed that any such land acquired by private colleges or universities would not be eligible for real property tax benefits if acquired subsequent to June of 2013. Mr. Younis further observed that properties owned by public colleges and universities are always tax-privileged.

Mr. Cupoli then asked whether the June, 2013 date applied solely against real property tax benefits, or against personal income tax benefits as well. Mr. Younis clarified that the June, 2013 deadline for acquisition of property applies only for the purposes of calculating real property tax benefits.

At 10:31, hearing no further remarks, Chairman Kennedy requested a motion to adjourn the meeting. Mr. Lackman so moved, and, hearing a second, Chairman Kennedy put the motion to a vote. By a vote of 3-0, the motion was approved and the meeting was adjourned.

Respectfully submitted,

Phillip Harmonick



MEETING OF THE START-UP NY APPROVAL BOARD

TUESDAY, JULY 01, 2014, 11:00 A.M.

**STATE CAPITOL, ROOM 131
ALBANY, NEW YORK**

Resolution 005

WHEREAS, Clarkson University has submitted a Plan to designate vacant land and space as a Tax-Free NY Area pursuant to Econ. Dev. L. § 435 and the Commissioner of Economic Development, having determined that the Plan meets the statutory and regulatory requirements for approval, has forwarded the Plan to the Board.

WHEREAS, the Board has determined that Clarkson University's Plan, a copy of which is attached hereto, proposing to designate vacant space at its Downtown Campus in Potsdam, including 13,000 ft² of vacant space at the Payton Hall Incubator, 5,000 ft² of vacant space at the Old Main Building, and 10,000 ft² of vacant space at the Old Snell Building, complies with the eligibility criteria of 5 NYCRR § 220.5 and is eligible to be approved as a Tax-Free NY Area.

NOW, THEREFORE, BE IT RESOLVED, that the Board does hereby approve, pursuant to Econ. Dev. L. § 435(2), Clarkson University's Plan to sponsor a Tax-Free NY Area, encompassing the abovementioned vacant space, of 28,000 ft².

Resolution 006

WHEREAS, Columbia University has submitted a Plan to designate vacant land and space as a Tax-Free NY Area pursuant to Econ. Dev. L. § 435 and the Commissioner of Economic Development, having determined that the Plan meets the statutory and regulatory requirements for approval, has forwarded the Plan to the Board.

WHEREAS, the Board has determined that Columbia University's Plan, a copy of which is attached hereto, proposing to designate 5,132 ft² of vacant space at 69 Charlton St. in New York City, and 11,109 ft² of vacant space at the Mary Woodward Lasker Biomedical Research Building located at 3960 Broadway in New York City, complies with the eligibility criteria of 5 NYCRR § 220.5 and is eligible to be approved as a Tax-Free NY Area.



NOW, THEREFORE, BE IT RESOLVED, that the Board does hereby approve, pursuant to Econ. Dev. L. § 435(2), Columbia University's Plan to sponsor a Tax-Free NY Area, encompassing the abovementioned vacant space, of 16,241 ft².

Resolution 007

WHEREAS, Keuka College has submitted a Plan to designate vacant land and space as a Tax-Free NY Area pursuant to Econ. Dev. L. § 435 and the Commissioner of Economic Development, having determined that the Plan meets the statutory and regulatory requirements for approval, has forwarded the Plan to the Board.

WHEREAS, the Board has determined that Keuka College's Plan, a copy of which is attached hereto, proposing to designate 2,530 ft² of vacant space at the Skaneateles Building located at 1 Keuka Business Park in Penn Yan, complies with the eligibility criteria of 5 NYCRR § 220.5 and is eligible to be approved as a Tax-Free NY Area.

NOW, THEREFORE, BE IT RESOLVED, that the Board does hereby approve, pursuant to Econ. Dev. L. § 435(2), Keuka College's Plan to sponsor a Tax-Free NY Area, encompassing the abovementioned vacant space, of 2,530 ft².

Resolution 008

WHEREAS, The University of Rochester ("UR") has submitted a Plan to designate vacant land and space as a Tax-Free NY Area pursuant to Econ. Dev. L. § 435 and the Commissioner of Economic Development, having determined that the Plan meets the statutory and regulatory requirements for approval, has forwarded the Plan to the Board.

WHEREAS, the Board has determined that UR's Plan, a copy of which is attached hereto, proposing to designate 48,030 ft² of vacant space at the HTR Lennox Tech Enterprise Center located at 150 Lucius Gordon Dr. in West Henrietta, and 57,864 ft² of vacant space at Eastman Business Park located at 1669 Lake Ave. in Rochester, complies with the eligibility criteria of 5 NYCRR § 220.5 and is eligible to be approved as a Tax-Free NY Area.

NOW, THEREFORE, BE IT RESOLVED, that the Board does hereby approve, pursuant to Econ. Dev. L. § 435(2), UR's Plan to sponsor a Tax-Free NY Area, encompassing the abovementioned vacant space, of 105,894 ft².

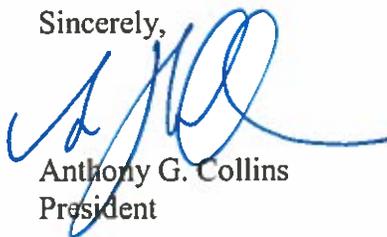
June 27, 2014

Start-Up NY Approval Board:

Thank you for your consideration of the Start-Up NY Plan submitted by Clarkson University. The plan calls for leveraging existing space on our downtown campus to extend the work currently underway in our Peyton Hall Incubator as part of the Innovation Hot Spot for the North Country. The proposed Start-Up NY space will serve as a magnet for new businesses while retaining existing startups.

The information contained in the application is accurate and complete.

Sincerely,

A handwritten signature in blue ink, appearing to read 'A. G. Collins', is written over the typed name and title.

Anthony G. Collins
President



Clarkson University Tax Free NY Area Plan June 27, 2014

1. Campus Name, Contact Person and Address

Clarkson University
Matthew E. Draper – Deputy Director, Shipley Center for Innovation at Clarkson University
8 Clarkson Ave
Box 5790
Potsdam, NY 13699

2. Identification of the space and/or land being designated:

- i. Digital Campus map with boundaries for requested areas provided in Appendix A
- ii. Digital Blueprints for buildings files highlighted with requested areas provided in Appendix B
- iii. Business Application Evaluation Matrix Template provided in Appendix C

3. Description of Plan

Clarkson University and its Shipley Center for Innovation, Reh Center for Entrepreneurship and Center for Advanced Materials Processing (CAMP) mobilize the creativity of industry, small business and young innovators and entrepreneurs in the region to drive economic development through innovation, entrepreneurship and commercialization of research discoveries and new technology. The Peyton Hall Incubator, managed by the Shipley Center, has provided acceleration space for startups since 2010, attracting businesses from outside of New York State and providing a place for locally derived startups to grow. In total, the Center has launched 67 startups since inception ranging from Blue Sphere Industries, focusing on close environment high-rise farming, Renoun Ski Company, creating the world's first "smart" ski that automatically adapts to the changing conditions of the mountain, and Healthy Breathing, a collaboration between faculty and a local medical doctor to monitor breathing patterns to reduce cardiac damage.

Clarkson University is also the hub for the region's Innovation Hot Spot and will leverage business access to the resources in our unique partnership model. See <http://www.youtube.com/watch?v=xuo7qvz2LNw&list=UUgvyZay66nfrmQEP70kG4ww&feature=c4-overview>

Clarkson views the Hot Spot as a regional resource that will serve as the front-end of a funnel for entrepreneurship and innovation in the North Country, identifying ideas and people who enter the innovation ecosystem where they are supported and ultimately graduated into the Startup NY program.

Clarkson University will work with partner institutions, especially SUNY locations in the North Country (Plattsburgh, Canton, Potsdam, Clinton Community, Jefferson Community, and North Country Community) to identify the best fit for potential businesses in terms of academic mission and space requirements. Already, the universities in the region have participated in monthly conference calls to discuss processes, best demonstrated practices, and their individual plans in order to make the existing space and expertise transparent across the region. This effort has been led by Roseanne Murphy at Empire State Development and will continue at the request of the institutions for the foreseeable future. In addition, through the North Country Regional Economic Development Council's HEARD workgroup, the universities and colleges within the region are collecting a database of majors, skill sets, space, resources, and services that will serve as key indicators for where to best locate businesses under the Startup NY program. Clarkson will provide access to the Shipley Center for Innovation's infrastructure which includes rapid prototyping, branding, web development, web design, market planning, intellectual property attorneys, and investors under this cooperative group engagement and will make all requested space in this application available to our partners as well. Cooperation will be the key to success for the North Country and open communication within and across the universities and colleges combined with regular interaction will attract businesses to the area. Already, there have been several leads generated by institutions that have been sent to other institutions based on need or best fit through this engagement.

Clarkson alumni also play a key role in advising faculty and students about trends in the technology and innovation sectors, as well as provide mentorship to specific businesses that may need specialized attention. One in five Clarkson alumni is already a CEO, senior executive or owner of a company. Clarkson's long-standing industry partnerships and experience in attracting them to talent and opportunities also brings unique depth to the opportunities for businesses to co-locate near the University. Among national universities, Clarkson was named last year as the #1 internship school by US News and more than 170 employers hire new graduates each year.

With these assets in place, Clarkson will continue to support businesses in high-technology including but not limited to web development, nanoscience, materials, and sustainable technologies. Recognizing the unique assets of the geography surrounding the campus and the protected Adirondack Park landscape, Clarkson will also seek to leverage its environmental and energy expertise to support value-adding business models that take natural resources such as produce, farm products, and wood and move up the value chain with responsible, local production for export.

4. Academic Alignment and Types of Businesses

Clarkson University's academic units – the Wallace H. Coulter School of Engineering, the Institute for a Sustainable Environment, the School of Business, and the School of Arts & Sciences -- engage students in 50 rigorous programs of study in engineering, business, liberal arts, sciences and health professions with a strong focus on spanning boundaries across disciplines. The cross-disciplinary approach to education results in an acceleration of research and innovation and provides immediate access to assets for startups in terms of feasibility analyses, market research, design, rapid prototyping, and testing. Businesses attracted to the campus under the Startup NY program will provide real-world opportunities

to apply concepts for students including internships, projects, workshops, guest lectures, and employment. Businesses will be assessed on their contribution to the academic mission of the university with representation on the selection committee by faculty, students, and staff.

The academic mission of Clarkson University is to defy convention, focusing on interdisciplinary education that includes engineering, business, and the arts & sciences to solve 21st century problems. As outlined above, through the 3 schools and several centers across campus, Clarkson focuses on entrepreneurship and innovation in all fields. The proposed plan will seek to attract businesses that will provide internships and research projects for students, research agreements/partnerships with faculty, guest lecturing by company leaders, mentoring of student startups, expansion of existing innovation support infrastructure, and ultimately direct employment of students. By focusing on the underutilized downtown campus, companies within the program will bring life to vacant buildings thereby driving direct interaction with the Clarkson community and the overall Potsdam community.

With the recently announced partnership with The Trudeau Institute, the PA, PT, and OT programs, and the contract for services through the Shipley Center with Canton-Potsdam Hospital, Clarkson will seek to attract biomedical and bioengineering companies, providing opportunities to connect engineers and scientists with medical professionals and students to drive the commercialization of cutting-edge technologies.

Through CAMP, a NYSTAR funded CAT, Clarkson will seek to expand on the long history of partnership with industry to attract manufacturing and materials-focused companies. In addition, expansions and spinoffs of existing companies (including Fortune 500) will be targeted as a sweet spot for CAMP. Already, several leads have been identified through existing relationships/partnerships for the Startup NY program through CAMP.

Under the School of Business, specifically through the Reh Center for Entrepreneurship, regional small-businesses (defined as less than 10 employees) will be targeted to provide opportunities for Innovation & Entrepreneurship majors as well as accounting, finance, and supply chain students for real-world applications and internships. Additionally, through the Engineering & Management Program, 1 of 2 programs dual-accredited in both engineering and business, Clarkson will seek to expand on existing design projects that already connect regional industry with students to solve real problems.

Clarkson will continue to support businesses in high-technology including but not limited to web development, nanoscience, materials, and sustainable technologies. Recognizing the unique assets of the geography surrounding the campus and the protected Adirondack Park landscape, Clarkson will also seek to leverage its environmental and energy expertise to support value-adding business models that take natural resources such as produce, farm products, and wood and move up the value chain with responsible, local production for export.

5. Description of Proposed Startup NY Areas

Clarkson University is requesting a total of 28,000 square feet of space under the Startup NY program all located on our downtown campus which has been vacant but is in the process of coming back online. Clarkson has already received 11 inquiries through alumni, students, and existing companies for Startup NY space on our campus. The space is broken down across 3 buildings in all as follows:

Peyton Hall: Offices in the Peyton Hall Incubator on Clarkson University's downtown campus which was named as the North Country Innovation Hot Spot. The building provides 13,000 square feet of incubation space of which we are requesting all 13,000 square feet for Startup NY that includes 40 offices and 2 wet labs.

The companies using the space will have access to shared services within the building including 2 conference rooms, individual mailboxes, service elevator, and signage indicating location on 2 directories located on the first floor. In addition, the companies will receive full access to both the Shipley Center for Innovation and the Reh Center for Entrepreneurship.

Old Main: Offices in the newly renovated Old Main which houses the Beacon Institute for Rivers & Estuaries and the Green Data Center, a super-computer in the West Wing that will be dedicated to capturing and storing Green Data. The building has two wings off of the building center and we are requesting 5,000 square feet for Startup NY broken down as follows:

- Building Center
 - 4 offices
- East Wing
 - 1 wet lab

The companies using the space will access to shared services within the Peyton Hall Incubator. In addition, the companies will receive full access to both the Shipley Center for Innovation and the Reh Center for Entrepreneurship.

Old Snell: Offices on the second floor of the soon-to-be renovated Old Snell building on Clarkson's downtown campus which will house a Children's Museum and The North Country Arts Council on the first floor along with 200+ apartments on the 3rd and 4th floors and within an adjoining building. We are requesting 10,000 square feet for Startup NY broken down as follows:

- 2nd Floor
 - 38 offices

The target companies for this space will have an arts focus and will have access to the Arts Council located within the same space as well as a public art gallery on the first floor. The companies using the space will access to shared services within the Peyton Hall Incubator. In addition, the companies will receive full access to both the Shipley Center for Innovation and the Reh Center for Entrepreneurship.

6. Community and Economic Benefits

Participating businesses will provide community and economic benefit to the North Country through both direct and indirect effects. The direct effects will include job growth, purchase of local products and services, internships/coops for students, expanded research opportunities for faculty, and formal partnership with local institutions such as SUNY Potsdam, SUNY Canton, St. Lawrence University, and the St. Lawrence County IDA to leverage existing local capital to attract and support the startups. Identifying pockets of greatness will eliminate the duplication of efforts and resources while allowing a robust innovation ecosystem to sprout off of the existing backbone at Clarkson specifically through the Shipley Center for Innovation.

Indirect benefits will include employee purchases of homes, groceries, and services that will infuse capital into existing local businesses. By bringing a cluster of businesses together, they will prove demand for services that will develop thereby creating a virtuous cycle of growth. Focusing on the space to spark a community of startups, all resources invested in entrepreneurs will be recycled as the common ebb and flow of new businesses generates new entrepreneurs trained in businesses started by the initial influx of companies. This will fill a serious gap in the current North Country innovation ecosystem, experienced management. By attracting initial seeds, these businesses will generate this scarce resource in a grassroots fashion.

7. Process

Clarkson University will apply its current Peyton Hall Incubator selection process to all Startup NY applicant businesses. This process is rigorous and focuses on the community of entrepreneurs/innovators rather than on quantity of businesses involved. The process is outlined below:

1. Identification of interest
2. Meeting with staff from the Shipley or Reh Centers to discuss vision for the business and key resources, services, and support desired
3. Tour of available space to identify fit based on need
4. A sample lease agreement is provided to the business for review and questions
5. The business must provide a business plan for review to the Shipley and/or Reh Center
6. The Shipley and/or Reh Center vets the business based on:
 - a. Potential market size
 - b. Potential revenue
 - c. Potential job growth
 - d. Unique skills brought to the community
 - e. Milestones
 - f. Stage of development
 - g. Obstacles to success
7. If approved, a formal lease is presented to the business for execution
8. Milestones are co-developed on a monthly, quarterly, and annual basis by the Center(s) and the business

- a. Milestones include progress towards agreed upon goals
 - b. Regular meetings provide informal updates with formal progress reports required based on agreed-upon terms
9. Once the lease has been signed, move-in is scheduled within 2 weeks
 10. Eligibility based on milestones is reviewed and discussed on an on-going basis

Clarkson will focus on a range of business types including startups to expansions under this application. Through the Shipley and Reh Center's, Clarkson has a pipeline of startup companies that will be graduating from incubation and will be seeking to locate in the region. A specific example is LC Drives, a student-founded company focused on super-efficient electric motors. The student is completing their Ph.D. at Clarkson and will be locating their startup in Potsdam under the Startup NY program.

In addition, many leads have been generated through engagement with alumni. An example is DeltaTM, a bioengineering startup led by a Clarkson University alumni and Harvard Ph.D. that has developed a general protein base building block for use in multiple research areas. The company is currently located outside of Boston, MA and is seeking to locate at Clarkson under the Startup NY program as well as to leverage the recently announced partnership between Clarkson University and the Trudeau Institute.

Finally, many leads have been generated through research initiatives at the University. An example is Goldsol, a company currently located in Arizona that will be relocating to Potsdam to work manufacture gold-based inks for medical applications. The company is working with a Clarkson faculty member to identify more efficient manufacturing processes and will move all operations to Clarkson's downtown campus in June.

8. Selection Committee

The proposed selection committee for businesses for the requested space will include Clarkson students, staff, and faculty representation as well as local economic development agencies such as the St. Lawrence County IDA and the Village/Town of Potsdam. Consistent with the cooperative approach outlined above, we also plan to engage partner institutions to serve on the committee as advisors in order to maintain transparency and engagement across the region.

Per the process above, if a business passes the initial screening of the Shipley and/or Reh Centers, the application will be sent to the selection committee for review. Screening criteria will include:

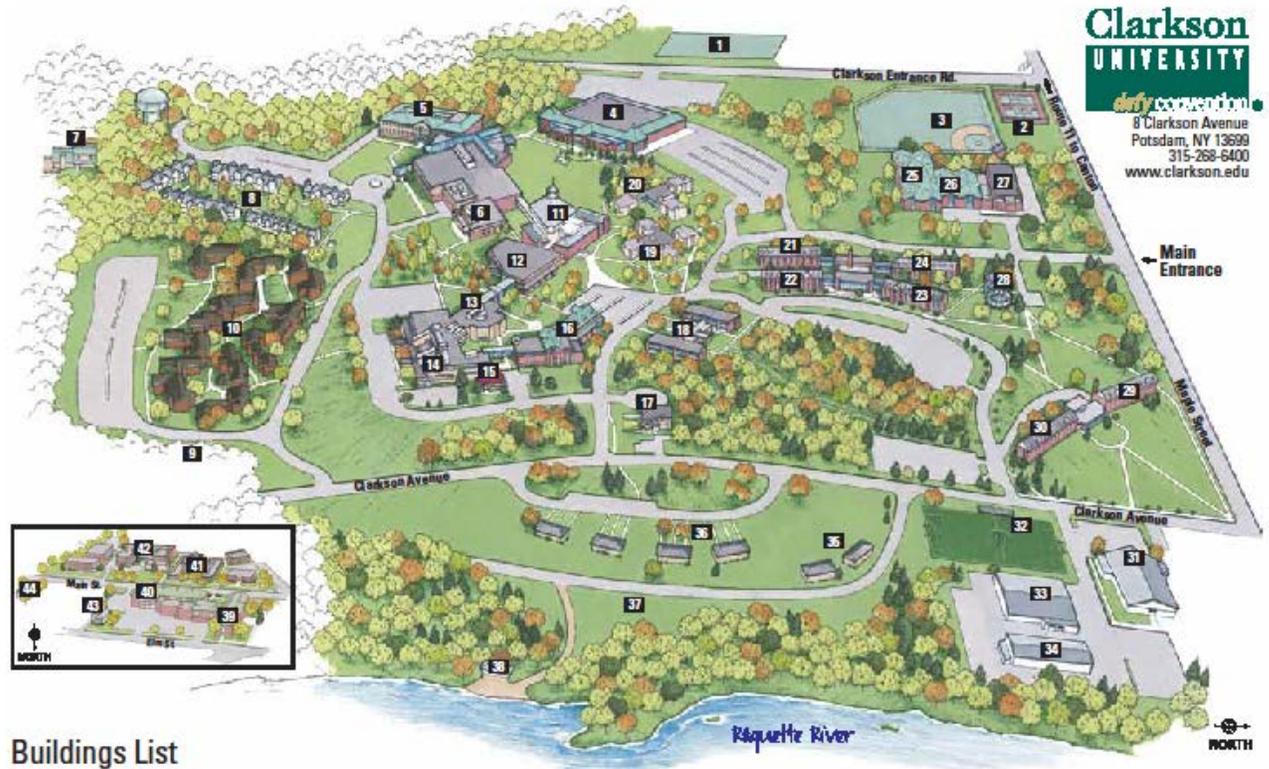
- Fit with academic mission
- Level of engagement with campus
- Community benefit
- Research initiatives/expansions
- Return on space utilized (total benefit/total space required)

The evaluation process will employ a weighted matrix that scores each application on the 5 main areas highlighted above along with specific feedback that will be shared with the businesses. Each represented area (student, staff, faculty, and economic developer) will provide their respective scores and will be summed to create the total score for each business application. A minimum score of 70 must be reached for acceptance into the program after which Clarkson will approve the application and move forward with the co-application with the business. A copy of the Business Evaluation Matrix Template is provided in Appendix C.

Location	UniqueID	Owner	PropertyType	StreetAddress	City	ZipCode	ParcelID	Building	SpaceType	SqFt	Acres	Description	onCampus	Within1mileOfCampus	Latitude	Longitude	Note
Village of Potsdam	Peyton Hall	Clarkson University	1	65 Main St	Potsdam	13676		Peyton Hall	A	13,000		Incubator space including offices and wetlabs	Yes		44.6686490	-74.9794260	
Village of Potsdam	Old Main	Clarkson University	1	65 Main St	Potsdam	13676		Old Main	B	5,000		Renovated office spaces	Yes		44.6686490	-74.9794260	
Village of Potsdam	Old Snell	Clarkson University	1	65 Main St	Potsdam	13676		Old Snell	B	10,000		Renovated office and open space	Yes		44.6686490	-74.9794260	

* 1= on campus	** A=entire building
2= 1 mile off campus	B=floor within building
3= State Asset	C=Room within building
	D=land on campus
	E= land off campus
	F=entire building off campus
	G=partial building off campus
	H=state asset

9. Appendix A



Buildings List

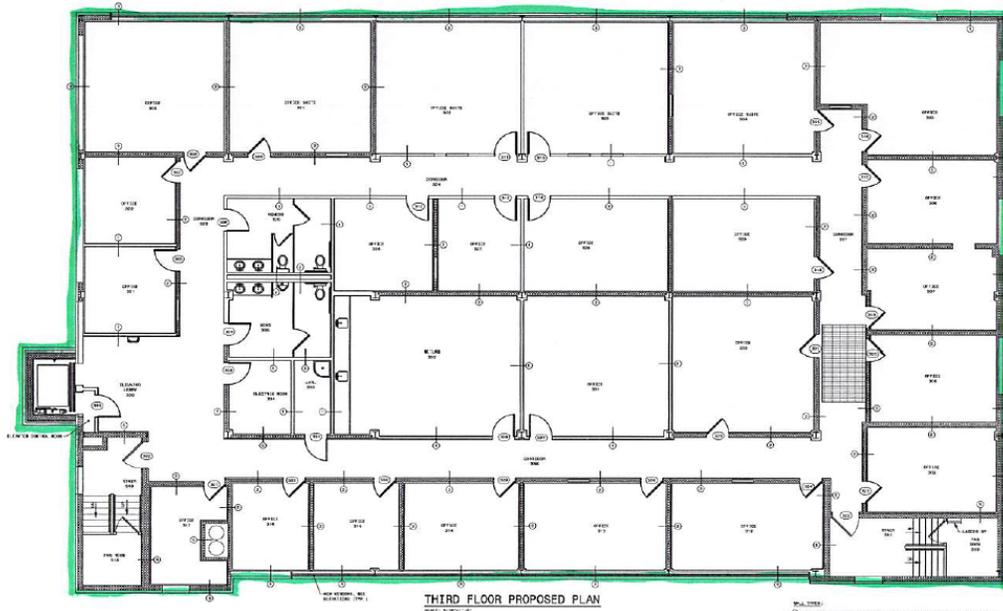
1. Clarkson Field	8. Townhouse Apartments	14. Cora & Bayard Clarkson Science Center	21. Brooks House	29. Hamlin House	39. Downtown Snell Hall
2. Tennis Courts	9. Woodstock Field	15. Woodstock Lodge	22. Reynolds House	30. Powers House	40. Congdon Hall
3. Snell Field	10. Woodstock Village	16. Bertrand H. Snell Hall	23. Cubley House	31. Walker Center	41. Old Main
4. Cheel Campus Center	11. Student Center	17. Foster House	24. Ross House	32. Hamt Field	42. Clarkson Hall (Center for Health Sciences)
5. Center for Advanced Materials Processing (CAMP)	12. Andrew S. Schuler Educational Resources Center (ERC)	18. Moore House	25. Andrew M. Schuler Recreation Building (IRC) Center	33. Facilities and Services	43. Army ROTC
6. William J. Rowley Science and Engineering Laboratories	13. Technology Advancement Center	19. Graham Hall (Donahue, Olson, Van Note, Wilson)	26. Deneke Family Fitness Center	34. Carpenter Shop	44. Air Force ROTC
7. Denny Brown Adirondack Lodge		20. Price Hall (Farmisee, Newell, Ormsby, Thomas)	27. Alumni Gymnasium	35. Crescent Apartments	
			28. Holcroft House (Admissions)	36. Riverside Apartments	
				37. A. George Davis Park	
				38. Canoe House	

Identified buildings are listed in lower left-hand corner, specifically numbers 39 (Downtown Snell) and 41 (Old Main), Peyton Hall is adjacent to number 42. All are located on Clarkson's downtown campus with specific buildings highlighted in GREEN below:



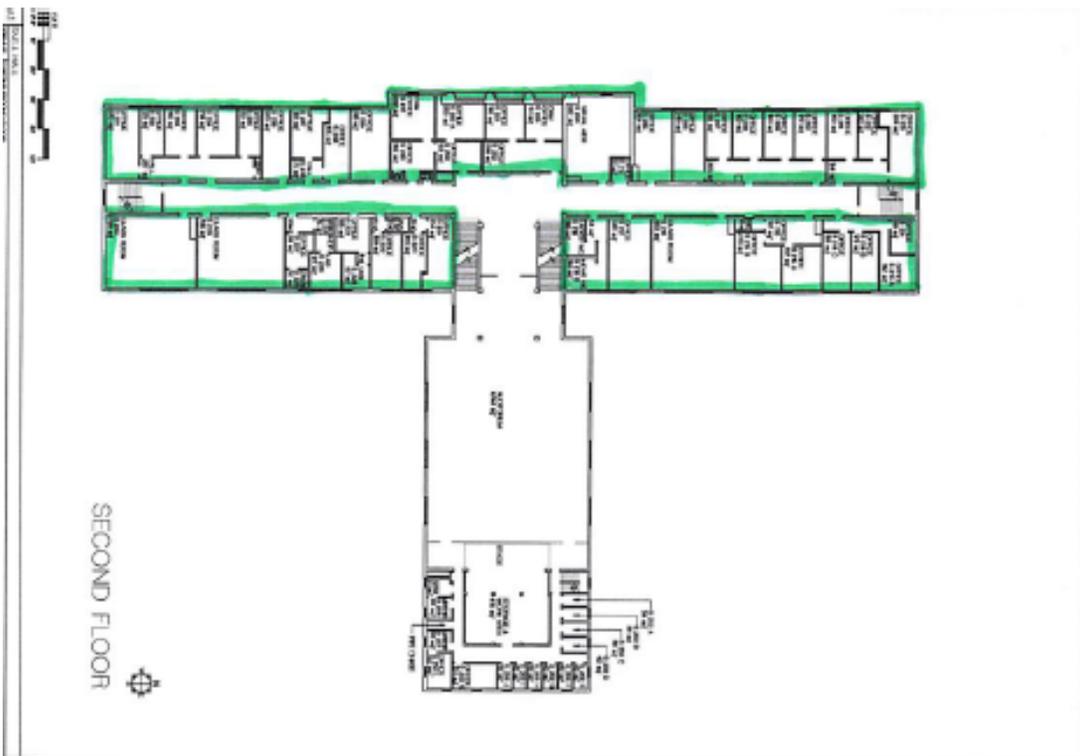
An aerial view of the downtown campus that includes all of the buildings included in this application is attached below:



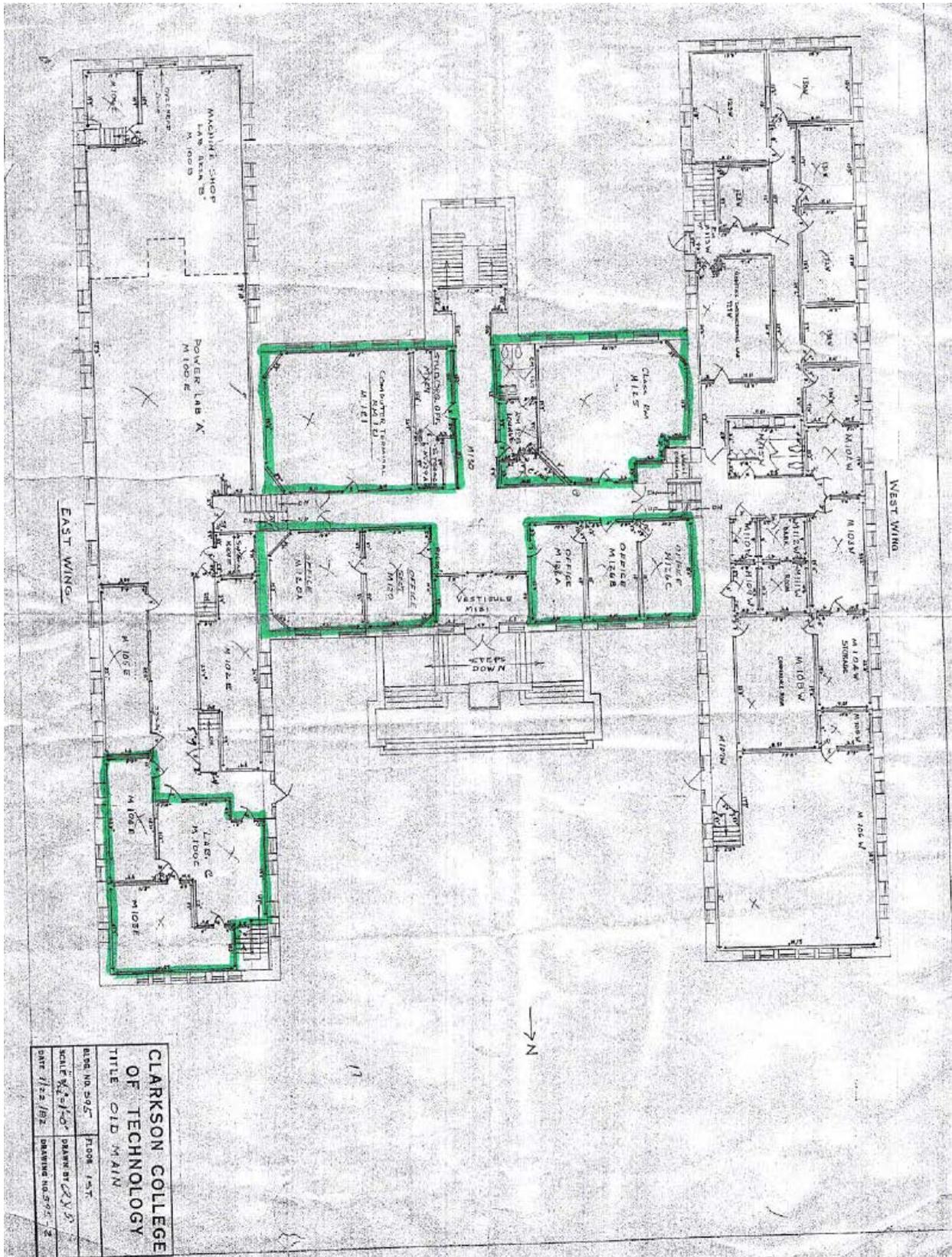


- 1. ALL ROOMS SHALL BE FINISHED WITH 1/2" X 1/2" TILED FLOOR WITH 1/4" GROUT.
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- 8. ALL ROOMS SHALL BE FINISHED WITH 1/2" X 1/2" TILED FLOOR WITH 1/4" GROUT.
- 9. ALL ROOMS SHALL BE FINISHED WITH 1/2" X 1/2" TILED FLOOR WITH 1/4" GROUT.
- 10. ALL ROOMS SHALL BE FINISHED WITH 1/2" X 1/2" TILED FLOOR WITH 1/4" GROUT.

Old Snell



Old Main



CLARKSON COLLEGE
OF TECHNOLOGY
TITLE OLD MAIN

BLDG NO. 505	FLOOR 1ST
SCALE 1/8" = 1'-0"	DRAWN BY C.V.S.
SHT 125/125	DRAWING NO. 5-9-C-2

11. Appendix C

Evaluation Criteria		Weight	Raw Score	Weighted Score	
Fit with Academic Mission		5		0	
Community Benefit		4		0	
Level of Engagement with Campus		3		0	
Research Initiatives/Expansions		3		0	
Return on Space Utilized		5		0	
Total Score				0	
Scorer: Student					
					Rating Scale of 1-5
					1
					Not at all
					2
					Very Little
					3
					Somewhat
					4
					Very Much
					5
					Without a Doubt
Evaluation Criteria		Weight	Raw Score	Weighted Score	
Fit with Academic Mission		5		0	
Community Benefit		4		0	
Level of Engagement with Campus		3		0	
Research Initiatives/Expansions		3		0	
Return on Space Utilized		5		0	
Total Score				0	
Scorer: Faculty					
Evaluation Criteria		Weight	Raw Score	Weighted Score	
Fit with Academic Mission		5		0	
Community Benefit		4		0	
Level of Engagement with Campus		3		0	
Research Initiatives/Expansions		3		0	
Return on Space Utilized		5		0	
Total Score				0	
Scorer: Staff					
Evaluation Criteria		Weight	Raw Score	Weighted Score	
Fit with Academic Mission		5		0	
Community Benefit		4		0	
Level of Engagement with Campus		3		0	
Research Initiatives/Expansions		3		0	
Return on Space Utilized		5		0	
Total Score				0	
Scorer: Economic Developer					
PROJECT AVERAGE					0

**STARTUP NY
NY AREA PLAN
COLUMBIA UNIVERSITY**

1. Campus Name, Contact Person and Address:

Columbia University
Attn: David Lerner
Director of Entrepreneurship
Columbia University
Office of the President
609 Kent Hall, MC: 3947
1140 Amsterdam Avenue
New York, NY 10027

Email: david.lerner@columbia.edu
Phone: 212-851-4148

2. Identification of the space and/or land being designated :

The Trustees of Columbia University in the City of New York ("Columbia University" or the "University") seeks approval to designate space at two locations as Tax Free Areas (TFAs) as part of the Startup-NY program: (i) 5,132 square feet on the ground floor and mezzanine of 69 Charlton Street in Soho currently leased by the University and (ii) 11,109 square feet located in the Mary Woodward Lasker Biomedical Research Building at 3960 Broadway in Washington Heights on the campus of the Columbia University Medical Center ("CUMC"), at least 10,000 square feet of which is intended to be developed and used as a bio-research incubator in accordance with an agreement between the University and the New York City Economic Development Corporation (NYCEDC). With at least 100 desks between the two locations, these TFAs will support startup technology ventures uniquely positioned to make a dramatic impact on New York's high-technology ecosystem.

69 Charlton Street is represented by Assembly Member Deborah Glick of the 66th Assembly District and Senator Brad Hoylman of the 27th Senate District. 3960 Broadway is represented by Assembly Member Gabriela Rosa of the 72nd Assembly District and Adriano Espaillat of the 31st Senate District.

i. Digital files containing Polygon shapefile that delineates campus area;

See Attached

ii. Digital files containing Point shapefile that provides locations of vacant space targeted. (Point shapefile must include a unique identifier for each feature); (template provided in electronic form)

See Attached

iii. A chart (electronic excel spreadsheet) that includes name of city, town or village as well as street address and zip code where vacant property is located; a unique identifier; name of property owner; type of property; parcel ID# (if applicable and available); vacant Building name/number; type of vacant space; total square footage of vacant space or acreage of land, any geographic information system (GIS) maps of showing existing streets, natural boundaries and other physical features of the property, and description of vacant space (template provided in electronic form).

See Attached

3. A description of the type of business or businesses that the campus is intending to be located on the area to be designated. Include a description of the academic mission of the Sponsor and how the anticipated businesses will align with or further the academic mission of the campus or college. In assessing how a tax-free business aligns with the mission of a campus or college in knowledge creation, knowledge diffusion, and formation of values, the college or campus may consider these factors or a combination thereof in its consideration to sponsor the tax-free business:

- Comprehensive undergraduate, graduate education and professional education
- Research
- Leadership
- Diversity
- Culture
- Regional economic development
- Internship and training opportunities
- Direct job opportunities for campus graduates
- Internationalization
- Specific area specialization of the campus (health care, IT, ceramics, business

education, professional and vocational postsecondary programs etc.)

• Any other factors which the college or campus deems to be appropriate in determining the alignment of mission to the business.

Mission Statement: Columbia University is one of the world's most important centers of research and at the same time a distinctive and distinguished learning environment for undergraduates and graduate students in many scholarly and professional fields. The University recognizes the importance of its location in New York City and seeks to link its research and teaching to the vast resources of a great metropolis. It seeks to attract a diverse and international faculty and student body, to support research and teaching on global issues, and to create academic relationships with many countries and regions. It expects all areas of the University to advance knowledge and learning at the highest level and to convey the products of its efforts to the world.

With the technology industry in New York City emerging as a significant vehicle for economic growth, Columbia University seeks to sponsor high technology startups to set up residence at the TFAs. Crucial to our mission is the link between research, teaching and the abundant resources of New York City. Columbia believes that entrepreneurship and technology are vital avenues in this bond between school and city.

The co-working space at 69 Charlton Street is an initiative of Columbia Entrepreneurship, a University-wide effort created to work closely with undergraduate and graduate programs to harness the talents of students, alumni, faculty and, along with StartupNY, the community of New York City at large. In partnership with these constituents, we have begun to develop multi-disciplinary programs in which prospective resident businesses will receive office space, coaching and mentorship designed to help accelerate their progress. Participants will include current students and recent alumni from both Columbia College and graduate programs such as Columbia Business School, the Fu Foundation School of Engineering and Applied Sciences and the School of International and Public Affairs. The types of businesses supported by these programs will be high-growth technology startups addressing some of the most pressing issues of our time. Examples of Columbia-founded technology startups include ZocDoc, Codecademy and GroupMe.

The space in the Lasker Building constitutes a mix of office and lab facilities, and is intended to be developed in accordance with an agreement with the NYCEDC to create an incubator to provide work space and support to entrepreneurs in the field of bio-research.

Columbia is confident in its ability to further its academic mission through participation in Start-Up NY, which will result in the following:

- a host of internship opportunities for students interested in science, technology, engineering and math;
- an immense boost to the entrepreneurial culture of the Columbia University;
- opportunities to create hundreds of jobs here in New York annually as these ventures scale with our assistance and mentorship;
- a boost to the local neighborhood economies of Washington Heights and Soho;
- the cultivation of a new generation of technology focused leaders; and
- a great landing-ground for graduating students seeking employment.

4. A description of how participation by the types of businesses sought to occupy space in the campus tax-free zone would generate positive community and economic benefits. The criteria which a college or campus may use in establishing how a business would have a positive community and economic benefits may include the following:

- i. Increased employment opportunities;**
- ii. Opportunities for internship, vocational training and learning experiences for undergraduate and graduate study;**
- iii. Diversification of local economy;**
- iv. Environmental sustainability;**
- v. Entrepreneurship;**
- vi. Positive linkages to existing business not in competition with START-UP businesses, especially small scale businesses;**
- vii. Boost to local economy; and**
- viii. Magnet for economic and social growth.**

Columbia University's sponsorship of high-technology businesses in the proposed TFAs will generate immense economic and community benefits. As a proven engine of job growth in New York City, the technology sector has grown 33% faster than any other industry since the economic crisis of 2009 amounting to almost 26,000 jobs in the past four years. If, as expected, this trend continues, businesses operating in the proposed TFAs should consequently create increased employment opportunities in and around the TFAs.

Internships, training and learning experiences for undergraduate and graduate study would be an important benefit of the union between Columbia and its sponsored businesses at the TFAs. A limiting factor in the continued growth of New York's technology sector is the need for more science, technology, engineering and math (STEM) educated graduates. Columbia has these graduates and startups housed within the TFAs will help to nurture and encourage their already in-demand skills.

Encouragement of the high technology sector will help to diversify New York City's economy, one that is particularly reliant on the financial services industry. Furthermore, within the organizational structure of technology companies, there are opportunities for employees with differing levels of education and experience. Consequently, sponsored businesses will provide employment diversity not only at an industry level but also at an educational level.

The variety of positions available within these ventures will be supported by lectures, workshops and speaker series held at the TFAs, thereby creating a new generation of better prepared and informed future entrepreneurs. The concentration of high tech and entrepreneurial startups at the proposed TFAs will boost the local economy by spawning a new customer base for small businesses in the local communities. Other positive linkages include parallel growth in local advertising, design, entertainment, publishing and media companies-- both from a demand for services and the reciprocal innovation benefits that technology creates for other industries. In partnership with Startup-NY, Columbia University's sponsored businesses are poised to develop TFAs that will be magnets for economic and social growth.

5. A description of the process the campus or college will follow to select businesses to participate in the Tax-Free NY Program.

The CSL working group is a collection of staff involved in entrepreneurship across Columbia's Schools. Selection of participating businesses at both 69 Charlton and 3960 Broadway is the responsibility of the CSL working group. The group is composed of:

- Director for Entrepreneurship, Columbia Entrepreneurship
- Associate Dean of Faculty Affairs, Human Resources, and Administration, Fu Fund School of Engineering and Applied Sciences
- Senior Executive Director, Columbia College Alumni Relations and Communications
- Senior Associate Dean, School of International and Public Affairs
- Assistant Dean, School of Law
- Director, The Lang Center for Entrepreneurship at Columbia Business School

The bio-research space to be located at 3960 Broadway will be dedicated to providing work

space to early stage (or pre-Series B) New York City based entrepreneurs in the field of bio-research. The University will make best efforts to select tenants on the basis of financial viability and long-term growth potential and in accordance with guidelines agreed with the NYCEDC. Please see attachment 6i of this application for more detailed selection criteria for both spaces

6. Include the following as attachments to the campus plan:

i. templates for leases or other agreements that will be signed by campus or college with eligible businesses;

ii. conflict of interest guidelines adopted pursuant to section four hundred thirty-nine of Article 21 of the Economic Development Law;

See Attached

iii. certification of compliance with the Commissioner's rules and guidelines on anticompetitive behavior made pursuant to section four hundred forty-two of this Article 21 of the Economic Development Law, including certifications by the Sponsor and/or business of efforts to check for local competitors (see regulations, Section 220.10(d)(iv)(H));

See Attached

iv. Attestation that that the proposed Tax-Free NY Area has not been financed with any tax-exempt bonds, or where the proposed Tax-Free NY Area has been financed with any tax-exempt bonds, a formal opinion of counsel with expertise and experience in bond tax matters, or other documentation deemed acceptable by the Commissioner, that designation of the Tax-Free NY Area will not jeopardize or conflict with any tax-exempt bonds used to finance any property of the Sponsor.

See Attached

v. certification that the Sponsor has not relocated or eliminated any academic programs, any administrative programs, offices, housing facilities, dining

facilities, athletic facilities, or any other facility, space or program that actively serves students, faculty or staff in order to created vacant land or space to be designation as a Tax-Free NY Area .

See Attached

vi. A statement signed by the President of the campus or college certifying that at least 30 days prior to submitting final plan, the campus/college provided required submissions as outline below:

Private colleges or universities: At least thirty (30) days prior to submitting the Plan to the Commissioner, the campus/college must consult with the chief executive officer of the municipality or municipalities and notify a local economic development entity representing the area, when the proposed Tax-Free NY Area is located outside of the campus boundaries.

Not Applicable. Our understanding is that the proposed TFAs will not be considered to be located outside of the campus boundaries.

vii. A statement signed by the President of the campus or college seeking the designation or by their designee that the information contained in such application to the maximum extent possible is accurate and complete.

See Attached

Columbia Startup Lab
Columbia University/StartupNY Tax-Free Area
Admissions & Administrative Recommendations
Code of Conduct
Interview Criteria & Questions

Admissions Requirements

Candidate businesses who meet the following criteria will be considered for admission:

1. All team members must commit to:
 - a. Working on their venture at CSL 75% of their working week.
 - b. Staying at CSL for at least 4 months after admission, first four months' rent is due at a rate of \$150 per team member per month prior to entry into the program.
 - c. Paying four months rent 30 days prior to the first day of the new trimester.
 - d. Abiding by the code of conduct.
2. All applying teams must demonstrate empirical evidence of market acceptance for their value proposition and have a well-articulated business model.
3. All teams must have executed founders agreements with vesting provisions.

Term of Occupancy

1. Admission to CSL valid for up to one year.
2. All teams will be evaluated every four months for their adherence to the values and spirit of the community and their adherence to the code of conduct. Founders and or employee disputes may effect this evaluation.
3. Teams who are deemed to not be a good fit in the space by CSL Working Group (see code of conduct) or who no longer wish to remain in CSL may be asked to leave or vacate at the end of the 4 month period. Evaluation dates for the CSL cohort are August 1st, December 1st, and May 1st.
4. Four weeks' notice are required for teams electing to leave. The first 30 days of prepaid rent will not be refunded, the balance will be refunded.

Application Process and Timing

1. At any given time CSL may not enjoy full occupancy, as teams leave seats will open up. Three entry points will be established throughout the year
 - a. June 1 – primary entry point
 - b. September 1st – second entry point
 - c. January 6th – third entry point
2. Only one application per team is required even if team is comprised of alumni from multiple. Team lead, as determined by venture, will serve as the applicant.
3. Selection committee to review applications from March 17th to March 28th with the inaugural cohort announced on March 31st

Code of Conduct

1. In addition to the admission criteria, CSL teams must also commit to:
 - a. Contribute to the greater CSL community for example through participation in events, informal mentorship of fellow CSL teams, serving on the tenant committee.
 - b. Submit payment on a timely basis, first four months are due May 1st, on-going payments due 30 days prior to the new trimester. Make checks payable to "Columbia University".

- c. Fees cover your desk and chair; printer, paper and ink cartridges; Wi-Fi access; filtered water, coffee and tea. You are responsible for supplying your own computer, notebooks, pens, etc.
 - d. Teams may not sublet seats.
 - e. The first 30 days of prepaid rent will not be refunded for voluntary or involuntary removal from the Columbia Startup Lab.
 - f. \$20 cash security deposit to cover keys and key cards for all team members – returned once keys and key cards are returned at move-out.
2. All teams will be responsible for documenting progress on their business while utilizing CSL. Progress reports are due four months with one-page summaries showing:
 - a. key insights gained during the previous four-month period
 - b. progress made against milestones committed to during the prior period
 - c. milestones for the upcoming four-month period
3. These progress reports will be used for the four month evaluations. They need only show the results of hard work and focused effort, not necessarily commercial success.
4. The CSL Working Group understands that goals and objectives may change from those initially set, and teams will be evaluated on their overall contributions to the Lab, in addition to their general dedication to advancing their business.
5. If it becomes apparent that your team is negatively impacting the working environment in CSL prior to the evaluation periods, you may be asked to leave at any time.
6. Your seat in CSL is available for business use and CSL-related activities/events only. The top priority for each team in CSL is to work to advance their business.
7. You will be assigned seat(s) in the space that will remain your seat(s) throughout your time in CSL. You are welcome to leave your work items in your space, but please note that Columbia University is not responsible for any lost or stolen items.
8. CSL is a shared office space, please be respectful and help create a positive, constructive working environment. It is imperative that all teams do their part to keep the space clean. Keep your work station neat; dispose of all food and garbage in a timely fashion, etc. There will be visitors in the space from time to time, including potential donors or current students interested in joining CSL in the future.
9. While you are welcome to show outside visitors the CSL, visitors may not work from the space unless pre-approved.
10. Conference rooms and phone booths are available for your private meetings and phone calls.
11. During your time in CSL, you are welcome to use the CSL address as your company's mailing address. Mail is delivered directly to the suite, and there are UPS and FedEx drop boxes in the back of the building.
12. CSL and or Columbia University accepts no responsibility for nor will they get involved in founders or employee disputes.

**Conflict of Interest Policy
Columbia University START-UP NY Program**

Policy Statement

START-UP NY is a New York State initiative enacted June 2013 that provides incentives for businesses to relocate, start up or significantly expand in New York State. Eligible businesses will have the opportunity to operate state and local tax-free for a period of time in designated space on or near academic campuses. As a participant in New York State's START-UP NY program, Columbia University is able to sponsor eligible businesses operating in certain designated spaces. The University's participation in START-UP NY requires adoption of a conflict of interest policy specific to the program. This policy is in addition to, and shall not limit or replace any other Columbia University policies, including without limitation the Statement of University Policy on Conflicts of Interest.

Reason for the Policy

The policy provides guidance specific to the University's participation in START-UP NY.

Primary Guidance to Which This Policy Responds

- New York Economic Development Law Article 21 (Start-Up NY Program) and associated regulations.

Responsible University Offices & Officers

Columbia University Entrepreneurship

Office of the General Counsel

Who is Governed by this Policy

Columbia University employees at the level of dean and above as well as any other person with decision-making authority over the University's START-UP NY Program.

Who Should Know this Policy

All members of the Columbia University who are governed by this policy or are otherwise involved with the University's participation in START-UP NY.

Exclusions & Special Situations

None

Policy Text

As relating to the START-UP NY program:

- (a) As a general principal, service as an Official shall not be used as a means for private benefit or inurement for any Official, a Relative thereof, or any entity in which the Official or Relative thereof has a Business Interest.
- (b) No Official who is an owner or employee of an entity that is the subject of any matter pertaining to the University's START-UP NY Program, or who has a Business Interest in any entity that is the subject of any matter pertaining to the University's START-UP NY Program, or whose Relative has such a

Business Interest, shall vote on or otherwise participate in the administration by the University of any START-UP NY matter involving such entity.

(c) Upon becoming aware of an actual or potential conflict of interest related to the University's START-UP NY program, an Official shall advise the President of the University or his or her designee of the Official's or Relative's relevant Business Interests. The University shall maintain a written record of all such disclosures of actual or potential conflicts of interest made pursuant to this policy, and shall report such disclosures on a calendar year basis, by January 31st of each year, to the University auditor or to the President's designee, in which case the University auditor shall be copied on the correspondence to such designee. The University auditor or the President's designee shall then forward such reports to the Commissioner of Economic Development for the State of New York, who shall make public such reports.

Definitions

For purposes of this Policy:

- **Business Interest** means that an Official (i) owns or controls 10% or more of the stock of an entity (or 1% in the case of an entity the stock of which is regularly traded on an established securities exchange); or (ii) serves as an officer, director or partner of an entity.
- **Official** means an employee or other person involved in the administration of the University at the level of dean and above as well as any other person with decision-making authority over the University's START-UP NY Program.
- **Relative** means any person living in the same household as another individual and any person who is a direct descendant of that individual's grandparents or the spouse of such descendant.

Contacts

Columbia University Entrepreneurship: (212) 851-7398

General Counsel: (212) 854-0286

Cross References to Related Policies

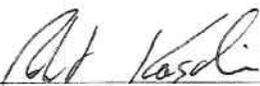
- Statement of University Policy on Conflicts of Interest

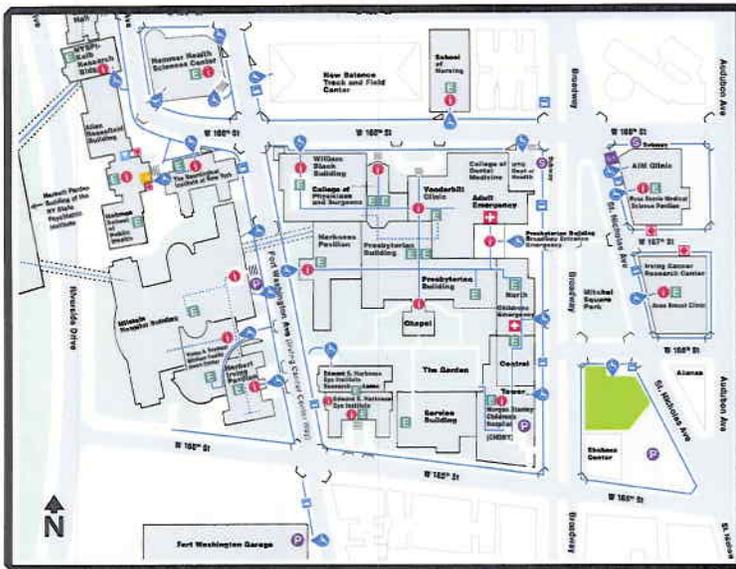
**CERTIFICATE
COLUMBIA UNIVERSITY
APPLICATION FOR DESIGNATION OF START-UP NY
TAX-FREE NY AREA**

The undersigned, a duly authorized officer of The Trustees of Columbia University in the City of New York ("Columbia"), does hereby certify that:

1. Columbia will comply with the Commissioner's rules and guidelines on anticompetitive behavior made pursuant to section 442 of Article 21 of the Economic Development Law with respect to all businesses operating in the Tax-Free NY Area proposed to be sponsored by Columbia, including certifications of efforts to check for local competitors.
2. The Tax-Free NY Area proposed to be sponsored by Columbia has not been financed with any tax-exempt bonds.
3. Columbia has not relocated or eliminated any academic programs, any administrative programs, offices, housing facilities, dining facilities, athletic facilities, or any other facility, space or program that actively serves students, faculty or staff in order to create vacant space to be designated as a Tax-Free NY Area.
4. The information contained in Columbia's application for designation of a Tax-Free NY Area to the maximum extent possible is accurate and complete.

IN WITNESS WHEREOF, I have hereunto set my hand this 28 day of May, 2014.

By: 
Name: Robert Kasdin
Title: Senior Executive Vice President



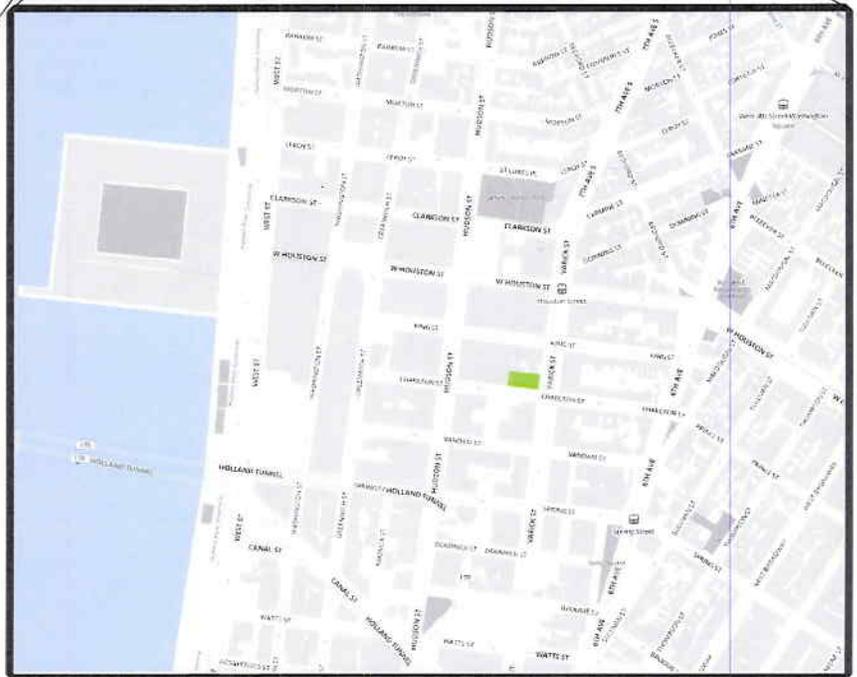
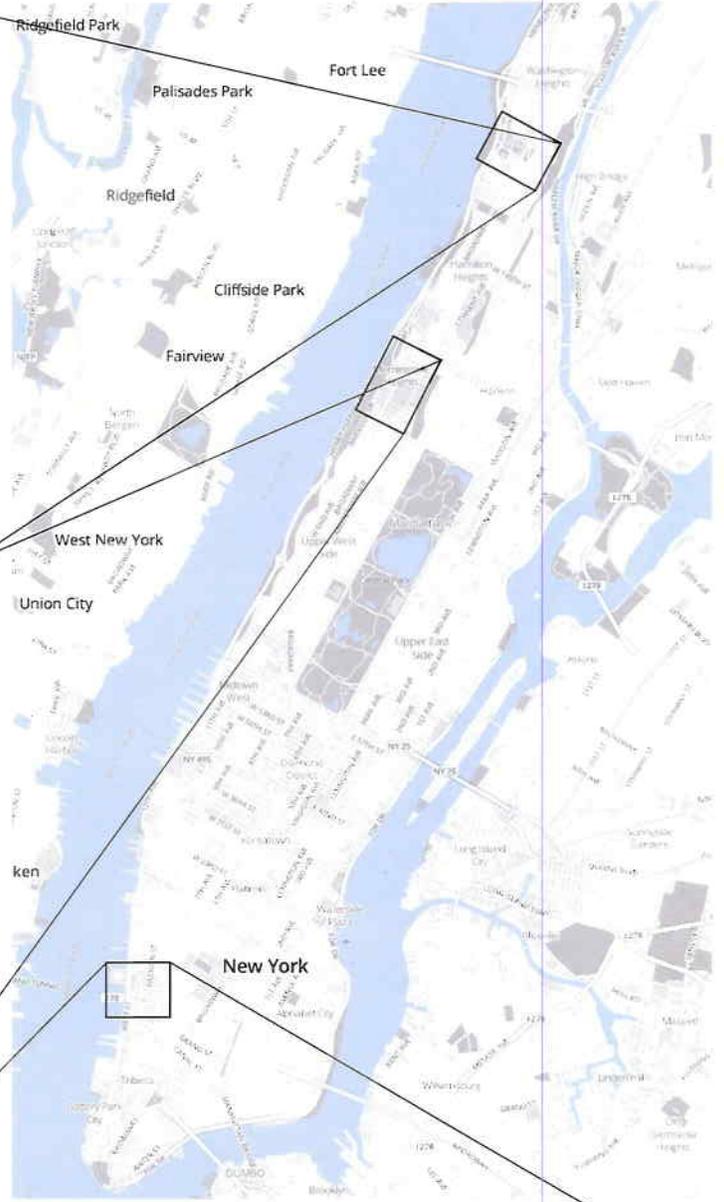
Columbia University Medical Center Campus



Columbia University Morningside Campus

Columbia University Campus Maps

Proposed StartupNY Tax Free Area Highlighted:

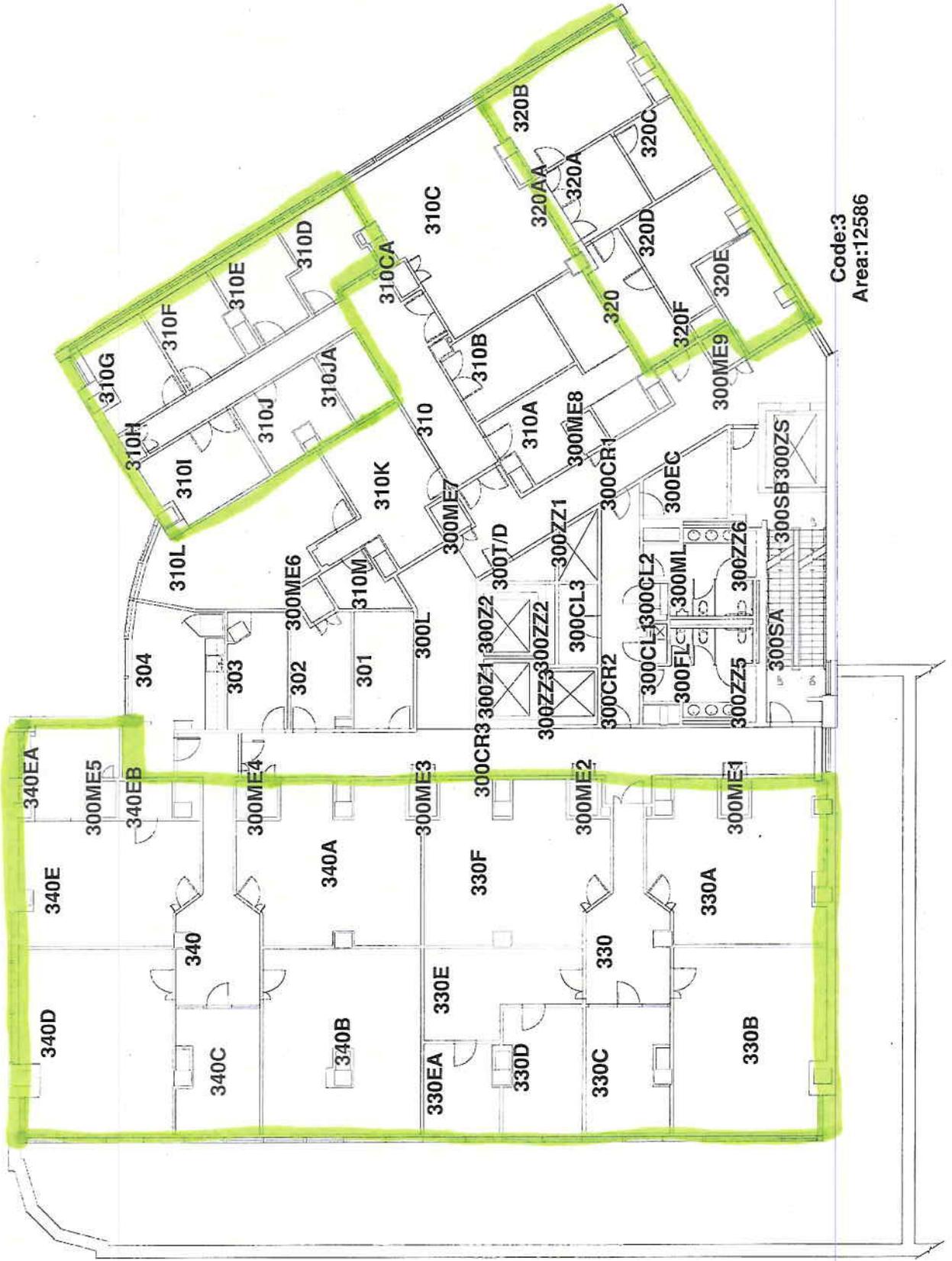


Columbia Startup Lab (69 Charlton Street)

5706 SF



MARY WOODARD LASKER
3RD FLOOR
Flr Gross:13285 SF



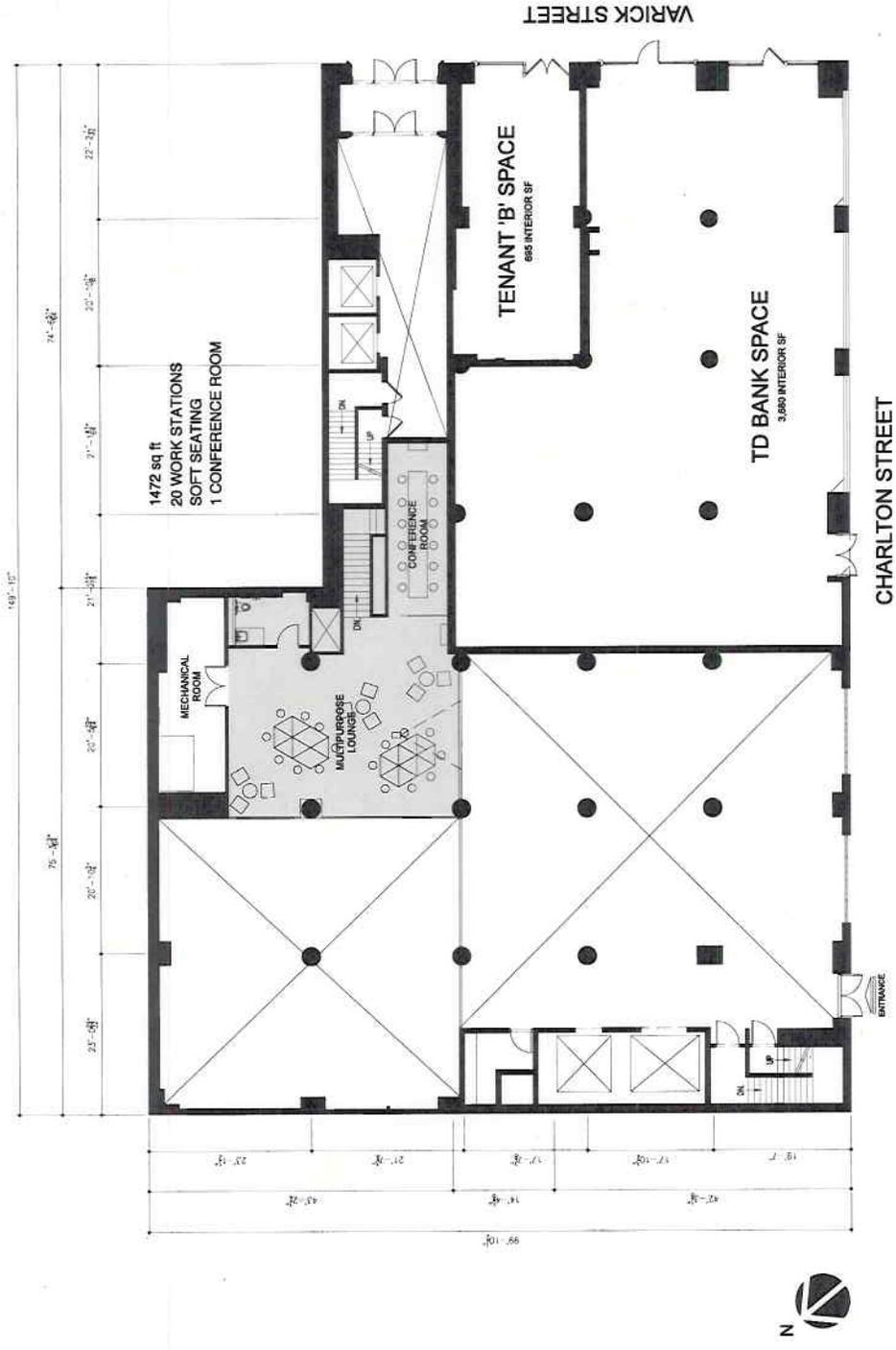
Code:3
Area:12586



1669 SF

MARY WOODARD LASKER
5TH FLOOR
Floor Gross SqFt: 13291 SF





WeWork
 222 Broadway NY, NY 10038

175 VARICK
 NY, NY

DRAWING TITLE:
MEZZANINE

DATE:
 1-29-2014

SCALE:
 1" = 16'

DRAWN BY:
 JJ

DRAWING No.
 02

PropertyType	StreetAddress	City	ZipCode	ParcelID	Building	SpaceType	Sqft	Acres	Description	onCampus	Within1mileOfCampus	Latitude	Longitude	Note
1	69 Charlton St.	New York City	10014		WeWork Soho B		5,132		1st Floor and Mezzanine	Yes				
1	3960 Broadway	New York City	10032		Mary Wood La B		11,109		3rd, 5th, and 6th floors	Yes				



START-UP NY - Application for Designation of Tax-Free NY Areas

1. Campus Name, Contact Person and Address

Keuka College
141 Central Avenue
Keuka Park, NY 14478-9764

Primary Contact: Professor Jorge Díaz-Herrera, Ph.D.
President, Keuka College
141 Central Avenue
Keuka Park, NY 14478-9764
315.279.5201
jdiazh@keuka.edu

Additional Contact: Amy Storey
Vice President for Advancement and External Affairs
141 Central Avenue
Keuka Park, NY 14478-9764
315.279.5235
astorey@keuka.edu

2. Identification of the space and/or land being designated

- i. Digital files containing data, such as a Polygon shapefile or other format approved by the Commissioner, which delineates the area proposed for designation:
- ii. Digital files containing data, such as a Point shapefile or other format, approved by the Commissioner, which provides locations of the area proposed for designation:

For 1 Keuka Business Park, see associated files:

- Skaneateles_Building-04042014.pdf

- iii. Excel chart including name of city, town or village, street address, zip code:

See associated file Keuka_Start_Up_NY_Excel_Designation_Submission.xls reproduced on Page 4.

i., ii., Digital file providing area and location for site of proposed location

Keuka Business Park (Latitude 42.6566080, Longitude -77.0711710)

1 Keuka Business Park, Penn Yan NY 14527

- **Skaneateles Building** (blue outline), **2,530 sf designated space**



2a. Future Space

Keuka Business Park (Latitude 42.6566080, Longitude -77.0711710)

1 Keuka Business Park, Penn Yan NY 14527

- **Keuka Building**
2nd Floor = 13,472 sf, less stairwells (1,152 sf), bathrooms (240 sf), hallways/common areas (1,435 sf) = **10,645 sf designated space**
3rd Floor = 8,064 sf, less stairwell (576 sf) = **7,488 sf designated space**
- **Skaneateles Building** (blue outline above), **845 sf designated space** (entire building)

Keuka Commons Building

509 Assembly Ave., Keuka Park, NY 14478

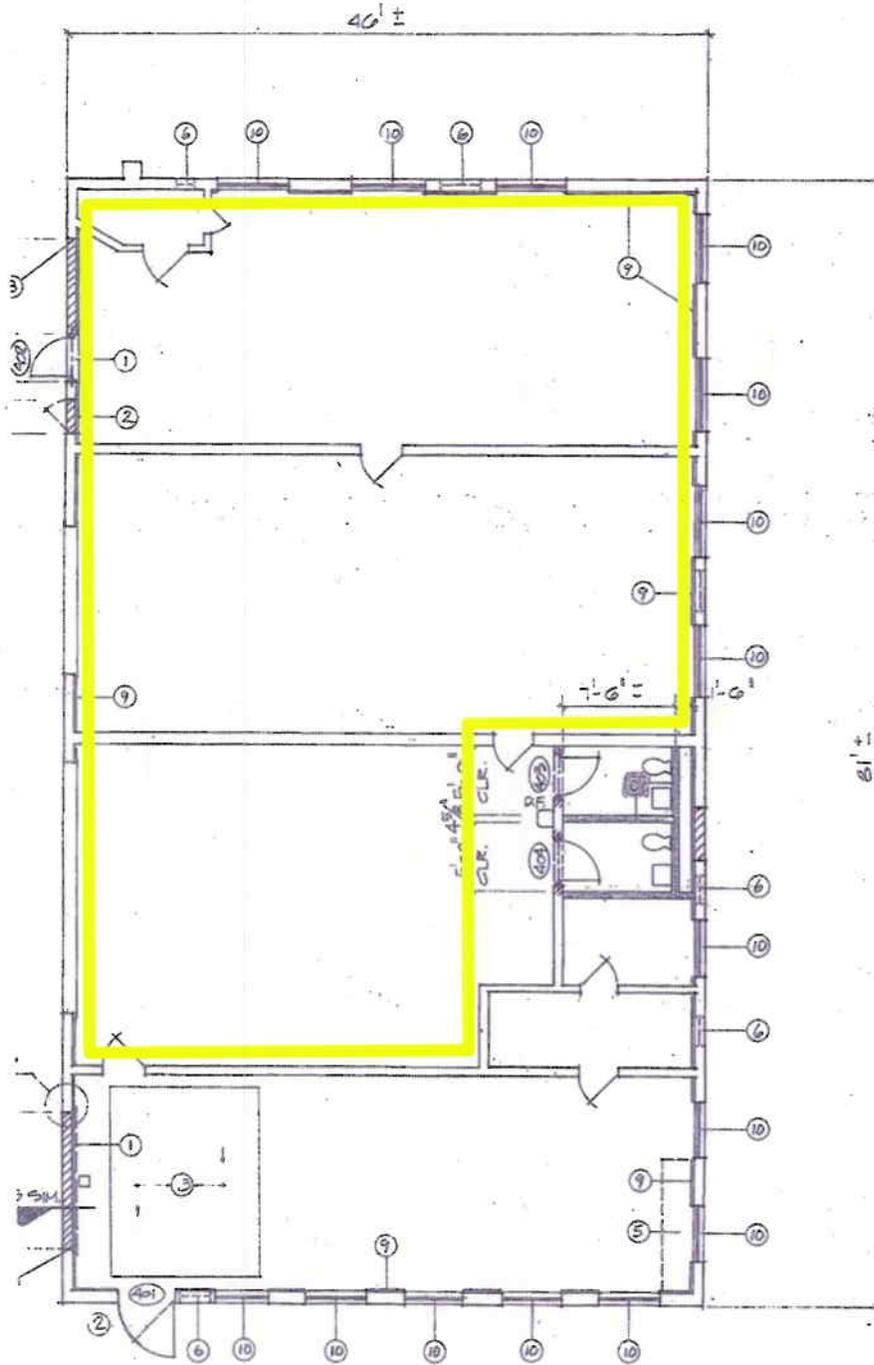
42°36'55.42" N, 77°05'32.45" W

Please note that the design and configuration of the Keuka Commons Building is in the preliminary development phase. The eventual exact shape and configuration of the building is

yet to be determined. It will be developed on property owned by Keuka College as indicated by the red outline.

Approx. 30,000 sq. ft. building; 4,000 sq ft dedicated to Tax-Free NY Area.

Floor Plan
Skaneateles Building
Current Available Space: 2,530 square feet (outlined in yellow)



iii. Excel chart including name of city, town or village, street address, zip code

Location	Unique ID	Owner	Property Type	Street Address	City	Zip Code	Parcel D	Building	Space Type	SqFt	Acres	Description	On Campus	Within 1 mile of Campus	Latitude	Longitude
Keuka Business Park	KBP0003	Finger Lakes Economic Development Center	2	1 Keuka Business Park	Penn Yan	14527	49.80-1-2	Skaneateles Building	G	2,530		Vacant portion of building	No	No	42.6570820	77.0710320

** A=entire building
 B=floor within building
 C=Room within building
 D=land on campus
 E= land off campus
 F=entire building off campus
 G=partial building off campus
 H=state asset

* 1= on campus
 2= 1 mile off campus
 3= State Asset

Narrative description of space and land being designated

This application is for 2,530 square-feet of space in the Skaneateles Building (total square footage of building is 3,375) at 1 Keuka Business Park, Penn Yan, N.Y. The Skaneateles Building is owned by the Finger Lakes Economic Development Center (FLEDC) and it is therefore considered an off-campus facility. The space has been vacant for four months; the vacancy rate in the area is approximately 3 percent.

3. Description of the type of business or businesses the campus is intending to be located on the designated area

Overview of Keuka College

Keuka College, located in Yates County, was founded in 1890 and is located on the shore of Keuka Lake in New York state's Finger Lakes region. Keuka College is a private, undergraduate and graduate, residential college that also offers bachelor's degree completion and master's degree programs through its Accelerated Studies for Adults Program (ASAP) and international programs in China and Vietnam. No other four-year private college, SUNY school, or state-owned strategic asset exists in Yates County to compete with Keuka College.

Enrollment at the advent of the 2013-14 academic year totaled 931 on the home campus in Keuka Park and 938 in ASAP. Keuka is also a major educational player in the Pacific Rim, with 2,674 Chinese students pursuing Keuka degrees at four partner universities, one of the largest enrollments of any U.S. college operating in the country. Another 619 Vietnamese students are doing likewise at two universities in Vietnam.

Regardless of degree or location, Keuka graduates boast significant, real-world experience that impresses employers and graduate schools.

And that's because experiential learning has long been the cornerstone of the Keuka College experience. A number of highly respected, national sources have praised Keuka College, including the print media (*U.S. News & World Report*, *The New York Times*, *Washington Monthly*), educational foundations (Carnegie Foundation for the Advancement of Teaching), and even the White House (President's Higher Education Community Service Honor Roll).

At the heart of Keuka College's commitment to experiential learning is Field Period™, a required internship program for our home-campus undergraduate students. Each year, students garner 140 hours of hands-on experience, putting into practice what they learned in the classroom. Students may elect to pursue international Field Periods™ with the College's partner universities or on their own.

Keuka College offers 32 bachelor's degree programs on its home campus, many with specialized concentrations; 27 minors; and self-designed majors. The College also offers seven master's degree programs and pre-professional programs in dentistry, law, medicine, veterinary medicine, optometry, pharmacy, and physical therapy.

Through ASAP, the College offers bachelor's degree completion programs in organizational management, criminal justice systems, social work, and nursing, as well as master's degrees in management, criminal justice administration, and nursing at locations around New York state.

Keuka College Mission and Vision

The Keuka College mission:

To create exemplary citizens and leaders to serve the nation and the world of the 21st century. We provide a transformational liberal-arts based education, strengthened by experiential learning, which challenges students to develop their intellectual curiosity and to realize, with purpose and integrity, their full personal and professional potential.

The Keuka College vision:

To be renowned as a global leader in comprehensively integrating liberal arts, digital technologies, experiential learning, and professional practice.

Project Overview/Types of Businesses

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With the College combining its Field Period™ program, DL@&K, and strong international presence with the FLEDC's business start-up assistance, the following types of firms—among others—will be recruited for the Keuka Business Park Tax-Free NY Area:

- software development,
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FLEDC and ASAP

Headquartered at 1 Keuka Business Park, the FLEDC is dedicated to bringing economic success to the region. The staff at FLEDC is ready and trained to help any new business in Yates County. Located in the same building, the College's ASAP office assists adult learners across New York State train for new or expanded careers in management, criminal justice, social work, and nursing. Businesses in the Keuka Business Park Tax-Free NY Area have the opportunity to tap the talents of these adult learners even before they receive their bachelor's or master's degrees. ASAP students continually extol the ability to take a concept they learned in class and apply it a work the next day. Employers in the Tax-Free NY Area will certainly take advantage—as so many others in the area have—to garner training for their employees.

4. Description of how participation by the types of businesses sought would generate positive community and economic benefits

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- 150 jobs will be directly created at Keuka Business Park, and
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In addition, a focus on attracting international businesses will enhance the cultural diversity lacking in Yates County.

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- lowering the carbon footprint by increasing the supply of jobs and goods available locally, thus reducing travel time;
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- serving as a prototype for other communities to encourage locally based businesses with environmentally conscience agendas; and
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By combining the tools of the FLEDC entrepreneur program with Keuka College's DL@K initiative and international presence, the Keuka Business Park Tax-Free NY Area will be a perfect launching spot for the recruited businesses.

START-UP NY - Application for Designation of Tax-Free NY Areas

1. Campus Name, Contact Person and Address

Keuka College
141 Central Avenue
Keuka Park, NY 14478-9764

Primary Contact: Professor Jorge Díaz-Herrera, Ph.D.
President, Keuka College
141 Central Avenue
Keuka Park, NY 14478-9764
315.279.5201
jdiazh@keuka.edu

Additional Contact: Amy Storey
Vice President for Advancement and External Affairs
141 Central Avenue
Keuka Park, NY 14478-9764
315.279.5235
astorey@keuka.edu

2. Identification of the space and/or land being designated

- i. Digital files containing data, such as a Polygon shapefile or other format approved by the Commissioner, which delineates the area proposed for designation:
- ii. Digital files containing data, such as a Point shapefile or other format, approved by the Commissioner, which provides locations of the area proposed for designation:

For 1 Keuka Business Park, see associated files:

- Skaneateles_Building-04042014.pdf

- iii. Excel chart including name of city, town or village, street address, zip code:

See associated file Keuka_Start_Up_NY_Excel_Designation_Submission.xls reproduced on Page 4.

i., ii., Digital file providing area and location for site of proposed location

Keuka Business Park (Latitude 42.6566080, Longitude -77.0711710)

1 Keuka Business Park, Penn Yan NY 14527

➤ **Skaneateles Building** (blue outline), **2,530 sf designated space**



2a. Future Space

Keuka Business Park (Latitude 42.6566080, Longitude -77.0711710)

1 Keuka Business Park, Penn Yan NY 14527

➤ **Keuka Building**

2nd Floor = 13,472 sf, less stairwells (1,152 sf), bathrooms (240 sf), hallways/common areas (1,435 sf) = **10,645 sf designated space**

3rd Floor = 8,064 sf, less stairwell (576 sf) = **7,488 sf designated space**

➤ **Skaneateles Building** (blue outline above), **845 sf designated space** (entire building)

Keuka Commons Building

509 Assembly Ave., Keuka Park, NY 14478

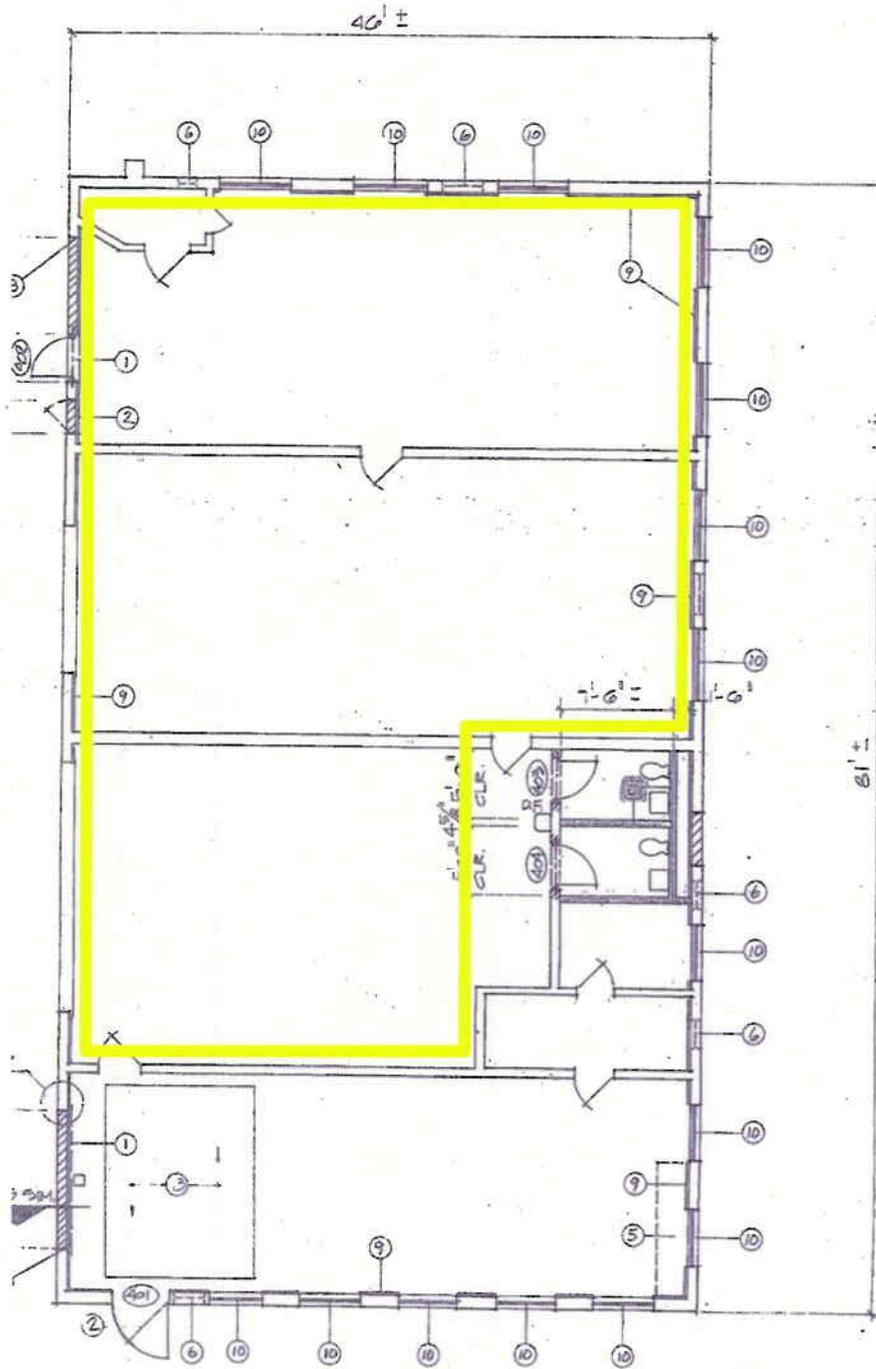
42°36'55.42" N, 77°05'32.45" W

Please note that the design and configuration of the Keuka Commons Building is in the preliminary development phase. The eventual exact shape and configuration of the building is

yet to be determined. It will be developed on property owned by Keuka College as indicated by the red outline.

Approx. 30,000 sq. ft. building; 4,000 sq ft dedicated to Tax-Free NY Area.

Floor Plan
Skaneateles Building
Current Available Space: 2,530 square feet (outlined in yellow)



iii. Excel chart including name of city, town or village, street address, zip code

Location	Unique ID	Owner	Property Type	Street Address	City	Zip Code	Parcel D	Building	Space Type	SqFt	Acres	Description	On Campus	Within 1 mile of Campus	Latitude	Longitude
Keuka Business Park	KBP0003	Finger Lakes Economic Development Center	2	1 Keuka Business Park	Penn Yan	14527	49,80-1-2	Skaneateles Building	G	2,530		Vacant portion of building	No	No	42.6570820	77.0710320

** A=entire building
 B=floor within building
 C=Room within building
 D=land on campus
 E= land off campus
 F=entire building off campus
 G=partial building off campus
 H=state asset

* 1= on campus
 2= 1 mile off campus
 3= State Asset

Narrative description of space and land being designated

This application is for 2,530 square-feet of space in the Skaneateles Building (total square footage of building is 3,375) at 1 Keuka Business Park, Penn Yan, N.Y. The Skaneateles Building is owned by the Finger Lakes Economic Development Center (FLEDC) and it is therefore considered an off-campus facility. The space has been vacant for four months; the vacancy rate in the area is approximately 3 percent.

3. Description of the type of business or businesses the campus is intending to be located on the designated area

Overview of Keuka College

Keuka College, located in Yates County, was founded in 1890 and is located on the shore of Keuka Lake in New York state's Finger Lakes region. Keuka College is a private, undergraduate and graduate, residential college that also offers bachelor's degree completion and master's degree programs through its Accelerated Studies for Adults Program (ASAP) and international programs in China and Vietnam. No other four-year private college, SUNY school, or state-owned strategic asset exists in Yates County to compete with Keuka College.

Enrollment at the advent of the 2013-14 academic year totaled 931 on the home campus in Keuka Park and 938 in ASAP. Keuka is also a major educational player in the Pacific Rim, with 2,674 Chinese students pursuing Keuka degrees at four partner universities, one of the largest enrollments of any U.S. college operating in the country. Another 619 Vietnamese students are doing likewise at two universities in Vietnam.

Regardless of degree or location, Keuka graduates boast significant, real-world experience that impresses employers and graduate schools.

And that's because experiential learning has long been the cornerstone of the Keuka College experience. A number of highly respected, national sources have praised Keuka College, including the print media (*U.S. News & World Report*, *The New York Times*, *Washington Monthly*), educational foundations (Carnegie Foundation for the Advancement of Teaching), and even the White House (President's Higher Education Community Service Honor Roll).

At the heart of Keuka College's commitment to experiential learning is Field Period™, a required internship program for our home-campus undergraduate students. Each year, students garner 140 hours of hands-on experience, putting into practice what they learned in the classroom. Students may elect to pursue international Field Periods™ with the College's partner universities or on their own.

Keuka College offers 32 bachelor's degree programs on its home campus, many with specialized concentrations; 27 minors; and self-designed majors. The College also offers seven master's degree programs and pre-professional programs in dentistry, law, medicine, veterinary medicine, optometry, pharmacy, and physical therapy.

Through ASAP, the College offers bachelor's degree completion programs in organizational management, criminal justice systems, social work, and nursing, as well as master's degrees in management, criminal justice administration, and nursing at locations around New York state.

Keuka College Mission and Vision

The Keuka College mission:

To create exemplary citizens and leaders to serve the nation and the world of the 21st century. We provide a transformational liberal-arts based education, strengthened by experiential learning, which challenges students to develop their intellectual curiosity and to realize, with purpose and integrity, their full personal and professional potential.

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Positive linkages to existing businesses

Businesses that bring or develop value-added technologies, processes and services that may be utilized or adapted for use by the existing manufacturing and ever-growing agricultural industries of Yates County will be given preference. Additionally, any increased employment will create a ripple effect in the local economy as retail stores, restaurants, health care, and other areas begin to receive the dollars which these new business owners and their employees will spend in Yates County.

Boost to local economy

Yates County labors under a poverty rate well above that of New York State and the U.S. In Yates County, some 15.4 percent of residents live below the poverty line, while 14.5 percent of all New Yorkers and 14.3 percent of U.S. citizens fall below the line. At \$23,928 the per capita income of Yates County residents is also well below the average New Yorker who earns \$31,796. A largely rural county, only 545 private, non-farm establishments with employees are reported operating in Yates County (2010 U.S. Census). The Keuka Business Park Tax-Free NY Area will provide a vital boost to the local economy by creating employment opportunities with higher salaries.

The successful growth of the businesses attracted to the Tax-Free NY Area will bring new housing, food, retail, medical, and education dollars to the local economy. This in turn will fuel local economic growth for years to come.

Magnet for economic and social growth

According to the 2010 U.S. Census, Yates County is overwhelming white at 97.4 percent. While not necessarily a negative, such homogeneity in a population can lead to insular attitudes and a lack of tolerance. The ability of the Keuka Business Park Tax-Free NY Area to potentially attract international businesses, and thus international businesspeople, provides a unique opportunity for Keuka College to positively influence the social growth of the County through the introduction of people and customs not native to the region. Exposure to the language, customs, foods, and art of people from around the world could make Yates County a new center of culture in the Finger Lakes.

As participants in the Keuka Business Park Tax-Free NY Area develop their companies, it is likely that others—support and supply businesses, retailers, and the like— will also choose to locate in Yates County to be near the core businesses. Their status as tax-paying businesses will buttress the local economy.

5. Description of the process the College will follow to select businesses to participate

Goal

The goal of the Keuka Business Park Tax-Free NY Area is to start, foster, grow and retain firms in Yates County that will promote the economic growth of the County and New York state while contributing to the education of Keuka College students.

START-UP NY Campus Advisory Committee

Working closely with the leadership of FLEDC, the College intends to form a START-UP NY Advisory Committee charged with locating, screening, recruiting, and selecting businesses to join the Keuka Business Park Tax-Free NY Area. Members of the Selection Committee will be drawn from FLEDC, Keuka College Board of Trustees, Keuka College faculty, administration, and student body, and representatives of the College's current healthcare, business, and technology partners. The Committee will be chaired by an appropriate member of the president's cabinet, and the president will appoint College officials who can ensure that business proposals align with the College's mission. The president will seek volunteers from the College Board of Trustees, faculty, and student body. All members of the committee will be vetted to ensure there are no conflicts of interest. The Advisory Committee will seek guidance from government agencies and the College's business support partners in legal, finance, marketing, and accounting. The Committee will also solicit input and participation of the College's international partner universities in China and Vietnam.

Selection Criteria and Evaluation

A regional, national, and international search will be conducted for existing companies and entrepreneurs with concepts and ideas compatible with the mission of the Keuka Business Park Tax-Free NY Area. Interested firms and individuals will be asked to present solid and concise business plans to the Advisory Committee and/or a review board.

Start-up businesses will be analyzed based on ideas, concepts, financial and support needs, skills, progress, and ability of the entrepreneurs to start and grow a new business. Existing companies will be evaluated based on their financials and business plan, support needs, and commitment to stay in Yates County. The first criterion shall be compliance with the prohibition on anti-competitive behavior: *Does the business compete with other businesses in the community but outside the Tax-Free NY Area? Such competition would constitute ineligibility for acceptance in the Keuka Business Park Tax-Free NY Area under §440. Prohibition of Anti-competitive Behavior.*

Specific criteria will be set by the Advisory Committee and may include, but not limited to, the following:

Academic and Research Alignment

- Is the business in an industry aligned with the current and/or developing College research, scholarly, and creative activity?
- Does the business provide experiential learning and workforce opportunities (e.g., internships, fellowships, full-time jobs) for students and graduates?
- Does the business provide areas for partnership and advancement for faculty and students?
- Will the business provide access to research instrumentation, tools, and/or equipment necessary to advance the academic and research mission of the College?
- Does the business provide access to technology aligned with the mission of the DL@K initiative to foster computational thinking among students and faculty?
- Will the business fund scholarships, campus facilities, or other academic services or amenities?

6. Attachments

Attachment Contents:

- i. Conflict of interest guidelines pursuant to Section 439 of Article 21 of Economic Development Law
- ii. Attestation proposed Tax-Free NY Area has not been financed with any tax-exempt bonds
- iii. Certification that the sponsor has not relocated or eliminated any academic programs, etc., to create vacant space
- vi. Statement signed by president of College certifying that at least 30 days prior to submitting final plan, the College consulted with the chief executive officer of the municipalities and notified local economic development entity representing the area
- vii. Statement signed by the president of the College that the information contained in the application is accurate and complete.

i. Conflict of interest guidelines pursuant to Section 439 of Article 21 of Economic Development Law

§ 439. Conflict of interest guidelines

1. Each campus, university or college participating in the START-UP NY program shall adopt a conflict of interest policy. Such conflict of interest policy shall provide, as it relates to the START-UP NY program: (a) as a general principle, that service as an official of the campus, university or college shall not be used as a means for private benefit or inurement for the official, a relative thereof, or any entity in which the official, or relative thereof, has a business interest; (b) no official who is a vendor or employee of a vendor of goods or services to the campus, university or college, or who has a business interest in such vendor, or whose relative has a business interest in such vendor, shall vote on, or participate in the administration by the campus, university or college, as the case may be, of any transaction with such vendor; and (c) upon becoming aware of an actual or potential conflict of interest, an official shall advise the president or chief executive officer of the campus, university or college, as the case may be, of his or her or a relative's business interest in any such existing or proposed vendor with the campus, university or college. Each campus, university or college shall maintain a written record of all disclosures of actual or potential conflicts of interest made pursuant to paragraph (c) of this subdivision, and shall report such disclosures, on a calendar year basis, by January thirty-first of each year, to the auditor for such campus, university or college. The auditor shall forward such reports to the commissioner, who shall make public such reports.

2. For purposes of such conflict of interest policies: (a) an official of a campus, university or college has a "business interest" in an entity if the individual: (i) owns or controls ten percent or more of the stock of the entity (or one percent in the case of an entity the stock of which is regularly traded on an established securities exchange); or (ii) serves as an officer, director or partner of the entity; (b) a "relative" of an official of a campus, university or college shall mean any person living in the same household as the individual and any person who is a direct descendant of that individual's grandparents or the spouse of such descendant; and (c) an "official" of a campus, university or college shall mean an employee at the level of dean and above as well as any other employee with decision-making authority over the START-UP NY program.

Please see the following excerpt from the Keuka College Employee Handbook and Supervisor's Procedures Manual, Revised April 2012

CODE OF ETHICS/CONFLICT OF INTEREST

Officially Adopted Sept. 30, 2006

Revised May 17, 2008

Society entrusts institutions of higher learning with the critical charge of education, and with this charge comes a great responsibility for the institution to create an appropriate environment for learning. Board members, faculty, administration, and staff have a responsibility to achieve and maintain a high standard of ethical practice both for maintaining the integrity and public confidence of the institution and for the mentoring of tomorrow's leaders. Our behavior reflects both on the institution and on the higher education profession as a whole. As a matter of fundamental principle, Keuka College and its representatives should adhere to the highest ethical standards simply because it is the right thing to do. All employees, subcontractors and volunteers shall acquire the knowledge necessary to maintain compliance with all laws, rules and regulations applicable to the conduct of business at Keuka College. Certain employees have a fiduciary responsibility, as the college is the steward of student, grant, loan, and donor funds, and these employees shall fulfill their fiduciary responsibility with a duty of care and in accordance with regulations and student and donor expectations and direction. Ethics, however, involves more than merely complying with the law or policy manuals; it is about doing what is right.

ARTICLE 1 – VALUES AND PRINCIPLES

Values

- **Integrity.** At Keuka College, behaving ethically and with integrity means being honest, keeping promises, and respecting the property and interests of others. Our personal and professional integrity guides the actions of our college community, supports the character development, wellness, and spirituality of our students, and makes us a more civil society. Keuka College develops integrity and ethical behavior in its students through the curriculum and by consistent modeling of honest and forthright behavior by the faculty, staff, administration, and alumni.
- **Academic Excellence.** At Keuka College, academic excellence is central to the college's educational mission, and high expectations are set for students and faculty alike. We value intellectual achievement and scholarship, employ innovative and engaging educational practices to develop the whole person, and emphasize the cultivation of critical thinking skills and the love of learning. Academic excellence is not solely a function of the intellectual abilities of the college's students, but rather is highly dependent on the quality and rigor of the teaching/learning process.
- **Student-Centeredness.** At Keuka College, we provide a holistic learning experience fostering the intellectual and personal growth of each student. Students, teachers, staff, and alumni are engaged in a way that connects the learning process to the world beyond the college. Through academic programs, collaborative partnerships and experiential learning experiences, Keuka students broaden their skills and perspectives of careers, personal responsibility, wellness, and civic engagement.

• **Diversity.** At Keuka College, we acknowledge, respect, and celebrate our differences. Our community consists of many identities, each of which provides a valued perspective. We foster an inclusive environment in which we intentionally work toward understanding, respecting, and appreciating diversity. In doing so, we move beyond tolerance to understanding and mutual respect.

• **Global Perspective.** At Keuka College, having a global perspective means being open-minded when working with people of diverse geographical origin and cultural heritage – learning from them, and they from us. In order to prepare students for the world of the 21st century, we provide them with opportunities to learn and interact with other cultures, peoples, and perspectives. Student exposure occurs in many ways – in the classroom through our domestic and international academic programs and curricula, and outside the classroom through multiple opportunities to interact with people from diverse backgrounds and experiences.

• **Stewardship.** At Keuka College, we are committed to preserving and building our legacy for future generations and to fostering a sense of responsibility and commitment to the college. Active stewardship is an ethical and institutional responsibility that embodies careful, prudent utilization and management of our resources, including our people, financial holdings, natural resources, and capital assets. The College and its constituents have a moral and financial imperative to use our many and varied resources in ways that are effective, efficient, and sustainable.

• **Citizenship.** At Keuka College, we believe citizenship includes aspects of leadership, service, and social responsibility. All members of the Keuka College community strive to be good leaders and exemplary citizens. Effective leaders and citizens exhibit common traits of wisdom, determination, vision, emotional intelligence, empathy and social responsibility. We actively model these qualities and mentor their development, thereby demonstrating and encouraging exemplary citizenship – locally, nationally, and globally.

Guiding Principles

Keuka is Student-Centered: Students are the foundation of our community and the reason for our existence, and all decisions should be weighed with this principle in mind.

Keuka Promotes Equality: Everyone—without exception—will be treated with respect and dignity.

Keuka Fosters Quality in its Mission and Goals: Academic excellence is not an empty slogan, and all those associated with the college will have a moral obligation to strive for this goal.

Keuka Promotes a Supportive Living and Learning Community: A community that works together for the common good helps create an environment for optimal learning.

Supportive Working Environment: A community that promotes cooperation and collaboration helps to create an environment for optimal satisfaction and productivity.

Experiential: The above values and principles serve to guide members of the Keuka community, to fulfill that important responsibility with which we have been entrusted, and to encourage a professional and supportive environment by which all interactions and business dealings with

Keuka College will be measured.

ARTICLE II – APPLICATION OF ETHICAL PRINCIPLES

Conflicts of Interest

A conflict of interest may be defined as a situation in which an employee or Trustee of Keuka College is involved in a potentially conflicting relationship involving the college and outside interests. This situation may lead others to suspect that the employee might act selfishly and/or not in the best interests of the college. Every effort should be made by all employees to avoid such relationships, and any perceived conflicts should be appropriately disclosed to the employee's superior or manager.

Representatives of the College will avoid directly or indirectly soliciting or receiving any gift, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise or any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence, or could reasonably be expected to influence in the performance of duties, or was intended as a reward for any official action on his/her part. Employees should at all times adhere to the principle of —Do no Harm when it comes to potential conflicts of interest.

The employee shall avoid engaging in, soliciting, negotiating for or promising to accept private employment, or rendering services for private interests when such employment or service creates a conflict with, or impairs the proper discharge of his/her responsibilities and duties to the institution.

Please refer to the Keuka College Conflict of Interest Policy for specific details and examples.

Keuka College will disclose all legal and appropriate information about the institution. Informational data, such as the Form 990, is available upon request. All financial and institutional reports and surveys will be complete and accurate in all respect.

CONFLICTS POLICY

ARTICLE I – THE PRIMARY COMMITMENT TO THE COLLEGE

Introduction

Trustees, executive officers, deans, directors, faculty and staff all serve the educational and public purposes to which Keuka College is dedicated. Accordingly, all such individuals of the College community have a clear obligation to conduct the affairs of the College in a manner consistent with those purposes and to make all decisions on the basis of a desire to promote the best interests of the institution and the highest ethical standards.

This statement recognizes and affirms the settled tradition and expectation that members will conduct their relationships with each other and the College with candor and integrity.

These policies and procedures will permit members of the trustees, faculty, staff and administration to identify, evaluate and correct or remove real, apparent and potential conflicts of interest and commitment. The appearance that a conflict may be present may be as important as

the reality. Accordingly, the first essential step in all of the procedures set forth below is disclosure and discussion.

Employees and Trustees

One is considered to have a conflict of interest when he or she or any of his or her family or associates (to his or her present knowledge) either (1) has an existing or potential financial or other material interest which impairs or might appear to impair the individual's independence and objectivity of judgment in the discharge of responsibilities to the College, or (2) may receive a financial or other material benefit from knowledge of information confidential to the College.

The family of an individual includes his or her spouse, parents, siblings, children and any other blood relative if the latter resides in the same household. An associate of an individual includes any person, trust, organization or enterprise (of a business nature or otherwise) with respect to which the individual or any member of his or her family (1) is a director, officer, employee, member, partner, or trustee, or (2) has a significant financial interest or any other interest which enables him or her to exercise control or significantly influence policy.

Faculty

See —Conflicts Policy as approved by the Keuka College Faculty 10/4/07, Attachment B.

Staff

In the case of staff members, commitments of time and the expectations attached to such positions are more explicitly defined, and therefore the likelihood of conflicting external activities are reduced. Nevertheless, the College expects that staff members also will recognize the possibility that their external activities, commitments and interests may have adverse effects on the performance of their College obligations.

Part-Time Appointees

Staff members who hold part-time appointments commonly will have major obligations and commitments, not only to the College, but also to one or more outside agencies. The potential for conflict may be significant. Accordingly, part-time employees are expected to exercise special care in disclosing and fulfilling their multiple obligations.

Trustees and Executive Officers

Trustees and executive officers of the College are fiduciaries and owe special duties of care and loyalty to the institution as a whole and must keep the College's interests paramount to all others.

ARTICLE II – CATEGORIES OF CONFLICTS

While employed or associated with the College, the activities of employees must include interactions with many external agencies. Predictably, some external relationships will have the potential to create conflicts of interest or commitment, or the appearance thereof. *In many*

situations these conflicts will be apparent and can be resolved by disclosure. Actual conflicts fall into two categories.

Conflict of Interest

Typically, a conflict of interest may arise when one has the opportunity to influence the College's business, administrative, academic or other decisions in ways that could lead to personal gain or advantage of any kind.

Conflict of Commitment

A conflict of commitment arises when one undertakes external commitments which burden or interfere with one's primary obligations and commitments to the College.

Examples of Conflicts

It is difficult to specify precisely what constitutes an objectionable conflict in all situations. Illustrative examples are given in Attachment A to assist in understanding where and how such conflicts may arise. *As stated earlier, in most circumstances, conflicts can be resolved by appropriate disclosure.*

ARTICLE III – CONFLICT DISCLOSURE AND AVOIDANCE

Everyone is expected to evaluate and arrange their external interests and commitments in order to avoid compromising their ability to carry out their primary obligations to the College. First of all, conflicts should be avoided or resolved through the exercise of individual judgment or discretion.

Full disclosure of the circumstances surrounding a real or potential conflict should be made prior to making the commitment or initiating the activity, which poses the possible conflict.

Members of the Staff

Disclosure should be made to the college in such form and manner as the Vice President of Finance and Administration may prescribe. Members involved in the following duties must be particularly conscious of possible conflicts or the appearance of such conflicts: the procurement, exchange or sale of goods, services or other assets, the negotiation or formation of contracts or other commitments affecting the assets or interests of the institution, the handling of confidential information and the rendition of professional advice to the College. Disclosure shall be sufficiently detailed to permit an accurate and objective evaluation. Each member has an obligation to cooperate fully in the review of the pertinent facts and circumstances. The Vice President of Finance and Administration shall make a determination, which resolves and removes or discloses the conflict or appearance of conflict.

Trustees and Executive Officers of the Corporation

BYLAWS - BOARD OF TRUSTEES (Adopted October 20, 2001 & Revised March 6, 2004 and May 19, 2007)

ARTICLE XVI - Conflicts of Interest

A Trustee shall be considered to have a conflict of interest if (a) such trustee has existing or potential financial or other interests which impair or might reasonably appear to impair such member's independent, unbiased judgment in the discharge of his/her responsibilities to the College, or (b) such trustee is aware that a member of his/her family (which for purposes of this paragraph shall be a spouse, parents, siblings, children, and any other relative if the latter reside in the same household as the trustee), or any organization in which such trustee (or member of his/her family) is an officer, director, employee, member, partner, trustee, or controlling stockholder, has such existing or potential financial or other interests. All trustees shall disclose to the board any possible conflicts of interest at the earliest practicable time. No trustee shall vote on any matter, under consideration at a board or committee meeting, in which such trustee has a conflict of interest. The minutes of such meeting shall reflect that a disclosure was made and that the trustee having a conflict of interest abstained from voting. Any trustee who is uncertain whether he/she has a conflict of interest in any matter may request the Board or committee to determine whether a conflict of interest exists, and the board or committee shall resolve the question by majority vote.

Faculty – See Attachment B

ARTICLE IV – RESOLUTION OF CONFLICTS INVOLVING FACULTY AND SUPPORT STAFF

Initial Disclosure

In the event that disclosure reveals a real or apparent conflict, the Provost or VP of Finance and Administration shall review the facts and attempt to resolve the matter informally with the faculty or staff member.

In the event that the member objects to the resolution by the Provost or VP of Finance and Administration, the matter shall be referred to the Committee on Conflicts (see Section V).

ARTICLE V – COLLEGE COMMITTEE ON CONFLICTS (SEE ALSO ATTACHMENT B)

Purpose

A College Committee on Conflicts shall be established which shall be appointed by the President and which shall serve as a College resource with respect to matters involving the general subject of conflicts of interest and commitment, the oversight and implementation of the Keuka College Conflicts Policy, and the identification and resolution of specific conflicts of interest.

Composition

The Committee on Conflicts (COC) shall include not less than five members appointed by the President. Members shall serve three-year staggered terms. The College's retained counsel shall serve as an advisor to the Committee.

Duties

- 1) The COC shall provide assistance requested by any College individual(s) that addresses potential conflict of interest and situations.

The Vice President of Finance and Administration shall provide the COC with a copy of any **unresolved** conflict of interest or disclosure statement which reveals a real or apparent conflict of interest or commitment, together with his/her recommended resolution of such conflict.

- 2) The COC shall at the request of the Vice President of Finance and Administration or an appropriate administrative officer or staff member, provide advice regarding a potential conflict of interest or commitment. If an administrative or staff member objects to the resolution of a conflict pursuant to Article IV (A), he/she may seek the advice of the COC.
- 3) The COC shall maintain an ongoing awareness of college procedures, practices, and standards with regard to conflict of interest and commitment with a view to assuring consistency with the terms of the College's Conflicts Policy. It shall carry on whatever dialogue is necessary with college deans and directors or administrative officers to insure that its knowledge is sufficiently current and complete. It shall also insure that a proper balance is maintained between confidentiality and understanding of its operations and standards.
- 4) The COC shall maintain an awareness of externally imposed conflict of interest requirements, and shall provide advice and recommendations to the Vice President of Finance and Administration on any related policy matter.
- 5) The COC may recommend to the President changes to the College's Conflicts Policy.
- 6) The COC shall perform such additional functions as may be assigned from time to time by the President.
- 7) The COC will report biennially to the President and Audit Committee of the Board of Trustees on matters within its jurisdiction.

Procedures

- 1) The COC shall establish its own procedures, consistent with this policy, and may make use of subcommittees to carry out its various functions.
- 2) In the case of activities subject to applicable governmental regulations on conflict of interest, the requirements of such governmental regulations shall apply and supplement

and/or, to the extent inconsistent herewith, supersede the provisions of this and other Articles of the College's Conflicts Policy. In that event, applicable reporting procedures and other substantive and procedural requirements will be adhered to.

CODE OF ETHICS/CONFLICTS POLICY – ATTACHMENT A

The following commentary and examples are intended to provide *guidance* in the identification of conflicts of interest or commitment. The list does not cover all possible situations, which might involve an actual or apparent conflict of interest. It is intended to be illustrative only.

General Considerations

Individuals involved in business ventures as owner, operator, or major investor must be alert to the possibility that a conflict may arise. If the enterprise does no business with the College, only the area of conflict of commitment is likely to be involved.

If the enterprise does business with the College, or might do business with the College, one is expected to disclose that fact. Generally, there will be no conflict if one is not in a position to influence the College with respect to the business of the enterprise in which the individual holds an interest.

One may not review, approve, or administratively control contracts when the contract is between the College and a company in which the member has a substantial financial interest or when the contract is with a member of the employee's immediate family or when a member of the employee's immediate family is an employee of the contractor and directly involved with activities included under the contract or has a substantial interest in the contractor.

No gifts or accommodations of any nature may be accepted by individuals of the College, when to do so could possibly place them in a prejudicial or embarrassing position, interfere in any way with the impartial discharge of their duties to the College or reflect adversely on their integrity or that of the College. Subject to this restriction, one may accept modest gifts, meals, entertainment and other normal social amenities so long as such amenities are not extravagant under the circumstances, and are not perceived to be intended to influence the member.

CODE OF ETHICS/CONFLICTS POLICY (Faculty) – ATTACHMENT B

Purpose and Values

Faculty members of Keuka College serve the educational and public purposes to which Keuka College is dedicated. Accordingly, all such individuals of the College community have a clear obligation to conduct the affairs of the College in a manner consistent with those purposes and to make all decisions on the basis of a desire to promote the best interests of the institution, the mission of the college and the high ethical standards to which we aspire.

This policy recognizes and affirms the settled tradition and expectation that members of the faculty will conduct their relationships with each other, other members of the College community and the larger society with candor and integrity. They are informed by and consistent with the AAUP statement on conflict of interest (1990). These policies and procedures are

intended to permit faculty members to identify, evaluate and correct or remove real, apparent and potential conflicts of interest and commitment. The appearance that a conflict may be present may be as important as the reality. Accordingly, the first essential step in all of the procedures set forth below is disclosure and discussion.

Definitions and Descriptions

A conflict of interest may exist when a faculty member or any of his or her family or associates (to his or her present knowledge) either (1) has an existing or potential financial or other material interest which impairs or might appear to impair the individual's independence and objectivity of judgment in the discharge of responsibilities to the College, or (2) may receive a financial or other material benefit from knowledge of information confidential to the College. A conflict of interest may possibly exist in situations in which a faculty member is involved with outside agencies, institutions, business, persons or in other situations that may potentially lead faculty member to act in a manner that is not in the best interests of the college. Every effort should be made by all faculty members to avoid such relationships.

It is not possible to precisely and exhaustively specify what constitutes an objectionable conflict in all situations. Illustrative examples are given in Attachment A. Particular situations may need to be resolved by appropriate disclosure and discussion.

The college continues to encourage faculty members to engage in professional practice and research activities and recognizes that such involvement has the potential to improve professional knowledge and skills, enhance performance in the classroom, provide resources for students, to enhance the reputation of the college and/or to provide meaningful and valuable service to the community and society.

Faculty members will avoid directly or indirectly soliciting or receiving any gift, whether in the form of money, services, loan, travel, entertainment, hospitality, thing or promise or any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence, or could reasonably be expected to influence the performance of duties, or was intended as a reward for any official action on his/her part.

Faculty members shall avoid engaging in, soliciting, negotiating for or promising to accept private employment, or rendering services for private interests when such employment or service creates a conflict with, or impairs the proper discharge of his/her responsibilities and duties to the institution.

The family of an individual includes his or her spouse, household members, parents, siblings, children and relatives by marriage. An associate of an individual includes any person, trust, organization or enterprise (of a business nature or otherwise) with respect to which the individual or any member of his or her family (1) is a director, officer, employee, member, partner, or trustee, or (2) has a significant financial interest or any other interest which enables him or her to exercise control or significantly influence policy.

Faculty who accept full-time appointments have a primary commitment which includes teaching scheduled classes, being available to students and colleagues outside the classroom, serving division and college committees and otherwise meeting the changing needs of the College.

Faculty who hold part-time and adjunct appointments commonly will have major obligations and commitments, not only to the College, but also to one or more outside agencies. The potential for conflict may, therefore, be significant. Accordingly, part-time employees are expected to exercise special care in disclosing and fulfilling their multiple obligations.

Categories of Conflicts

While employed or associated with the College, the activities of faculty members might include interactions with many external agencies. Predictably, some external relationships will have the potential to create conflicts of interest or commitment, or the appearance thereof. *In many situations these conflicts will be apparent and can be resolved by disclosure.* Actual conflicts fall into two categories.

A. Conflict of Interest

Typically, a conflict of interest may arise when one has the opportunity to influence the College's business, administrative, academic or other decisions in ways that could lead to personal gain or advantage of any kind.

B. Conflict of Commitment

A conflict of commitment arises when one undertakes external commitments which burdens or interferes with the faculty members primary obligations and commitments to the College.

Assessment of a conflict of commitment is more difficult than assessment of a conflict of interest. Generally, such conflicts will be apparent in the failure of individuals to discharge fully the role and duties expected of them. These may include commitments that involve frequent or prolonged absence from the College on non-College business or commitments that engage a substantial portion of the time that the faculty member is expected to spend in College related activities and which thereby dilutes the amount or quality of participation in the instructional, scholarly or administrative work of the College.

Conflict Disclosure and Avoidance

Every faculty member is expected to evaluate and arrange their external interests and commitments in order to avoid compromising their ability to carry out their primary obligations to the College. First of all, conflicts should be avoided or resolved through the exercise of individual judgment or discretion.

Full disclosure of the circumstances surrounding a real or potential conflict should be made prior to making the commitment or initiating the activity that poses the possible conflict. All faculty will routinely submit a conflict of interest/commitment form each year at the time of signing their contract. Adjunct faculty will review conflict of interest/commitment issues with the division chair at the time of hire and submit a conflict of interest form. Faculty members are individually responsible to indicate potential conflict of interests as circumstances might change. Faculty should report changed circumstances to their division chair who may ask that a revised

conflict of interest form be submitted. Faculty might be asked to complete a conflict of interest statement by their division chair or the Provost of the college as such concerns may arise. Conflict of interest/commitment statements will be made in the form prescribed by the Provost. Such disclosure shall be sufficiently detailed to permit an accurate and objective evaluation of the circumstances. Each faculty member has an obligation to cooperate fully in the review of the pertinent facts and circumstances.

In the event that disclosure reveals a real or apparent conflict, the Provost, shall review the facts and attempt to resolve the matter informally with the faculty or staff member; the Provost may delegate this duty to the faculty member's division chair. Discussions with the division chair and/or Provost should include consideration of whether an individual's role in an external agency needs to be declared or made known to other members of the College community.

If it is not possible to resolve the matter informally the Provost will refer the matter to the Professional Standards Committee of the faculty. That committee will review the matter consistent with their constitutional authority and the relevant review procedures stated in the faculty handbook. The Professional Standards Committee shall carry on whatever dialogue is necessary with college administrative officers and faculty member to insure that its knowledge is sufficiently current and complete. On this basis, the Professional Standards Committee shall make a determination regarding the existence of a conflict of interest and make recommendations regarding resolution. The committee will forward their conclusions and recommendations to the Provost and the faculty member. If, at that time, a mutually satisfactory resolution is not obtained, the recommendations of the Professional Standards Committee as well as the concerns of the Provost and the individual faculty member will be referred to the President of the College. The president will make a final, binding determination regarding needed resolution or action.

CONFLICTS POLICY (FACULTY)

The following commentary and examples are intended to provide *guidance* in the identification of conflicts of interest or commitment. The list does not cover all possible situations, which might involve an actual or apparent conflict of interest. It is intended to be illustrative only.

General Considerations

Individuals involved in business ventures as owner, operator, or major investor must be alert to the possibility that a conflict may arise. If the enterprise does no business with the College, only the area of conflict of commitment is likely to be involved.

If the enterprise does business with the College, or might do business with the College, one is expected to disclose that fact. Generally, there will be no conflict if one is not in a position to influence the College with respect to the business of the enterprise in which the individual holds an interest.

One may not review, approve, or administratively control contracts when the contract is between the College and a company in which the member has a substantial financial interest or when the

contract is with a member of the employee's immediate family or when a member of the employee's immediate family is an employee of the contractor and directly involved with activities included under the contract or has a substantial interest in the contractor.

No gifts or accommodations of any nature may be accepted by individuals of the College, when to do so could possibly place them in a prejudicial or embarrassing position, interfere in any way with the impartial discharge of their duties to the College or reflect adversely on their integrity or that of the College. Subject to this restriction, one may accept modest gifts, meals, entertainment and other normal social amenities so long as such amenities could not be reasonably construed as extravagant under the circumstances, and are not perceived to be intended to influence the member.

Permissible Activities

The following activities are clearly permissible and do not require disclosure as an actual or potential conflict under the terms of this policy.

Example 1 – Acceptance of royalties or publication royalties or honoraria for commissioned papers and lectures even where such works are based on materials developed pursuant to College duties such as teaching course or conducting research.

Example 2 – Services to outside professional, scientific, artistic, cultural, civic, business or other organizations, which enhance the value of the member to the College and do not adversely affect one's primary commitment to the College.

Apparent Conflicts Requiring Prior Disclosure and Resolution

The following activities have the potential to create conflicts of interest or commitment and should be reviewed and disclosed prior to being undertaken.

Upon full disclosure, the College may approve a transaction or affiliation, provided no conflict of interest is involved and further provided that the individual furnishes an annual statement indicating compliance with the College's Conflict of Interest Policy.

The College shall disapprove the transaction or affiliation, if a conflict of interest is involved which cannot be resolved or removed.

Example 3 – Situations where one directly or indirectly leases, rents, trades or sells real or personal property to the College.

Example 4 – Situations where one possesses a substantial interest in or participates in the profits of any organization that deals or seeks to deal with the College. Participation through stockholdings, mutual funds and similar vehicles is not a conflict unless the stocks of the organization held by the individual constitute a substantial holding (20% or greater).

Example 5 – Situations where an individual accepts appointment as an officer or director or serves in any management capacity in an external commercial, industrial, business or financial organization or profit-making enterprise which deals or seeks to deal with the College.

Example 6 – Situations where one, while serving in a position at Keuka College is concurrently

engaged to teach a course or otherwise make a substantial contribution to the instruction or educational services offered by another entity. Instructional activities performed in the course of normal faculty sabbatical leave, which are routinely subject to disclosure and approval processes, are not meant to be covered by this example.

Example 7 – Situations where one makes substantial use of College resources (e.g. studios, computer technology, research, technical or support staff) in developing and/or teaching a course to be offered by another entity, unless approved in advance by the College.

Example 8 – Situations where an individual, without permission, utilizes the name of the College or one of its programs in connection with the promotion, marketing, or sale of a product or service in such a way as to imply College sponsorship, e.g. —The Keuka College Book of!

Example 9 – Situations where an individual, as part of an arrangement with an entity unaffiliated with Keuka, agrees to any limitations on his/her performance of teaching or other instructional duties for the College (e.g. through agreements containing exclusive provider, non-competition or right of first refusal clauses).

Possible Conflicts

Conflict is possible, even if unlikely, in situations such as those listed in the following examples, and one should give careful consideration to the possibility that a conflict exists. In many cases the potential for conflict can be removed by disclosure.

Example 10 – Relationships that might enable individuals to influence Keuka's interactions with outside organizations in ways that may lead to personal gain, to the taking of improper advantage by anyone, or the improper diversion of College assets from the primary missions of the College, including the time and talents of its faculty and staff.

Example 11 – Situations in which an individual, while serving as a consultant to an external organization has access to unpublished, privileged information from a colleague that has potential commercial value and wishes to provide that information to the external organization.

Example 12 – Situations where an individual directs students into a research area or other activity from which the member intends to realize personal financial gain. A conflict may arise if students are directed to areas of lesser scientific or scholarly merit to enhance the potential for monetary gain or if the financial potential exists only for the individual.

Example 13 – Situations where an individual is asked to assume executive or managerial positions with outside organizations that might seriously divert one's attention from College duties, or create other conflicts of loyalty.

Example 14 – Disclosure or use for personal profit of unpublished information coming from College research or other confidential College sources, or assisting outside organizations by giving them access to such information except as may be authorized by official College policies.

Example 15 – Situations where one is offered a position on a board of an organization that has contracts with the College.

Example 16 – Situations where one is involved in independent business ventures as owner, operator or major investor, particularly if the corporation is doing business with the College.

Example 17 – Situations in which an individual can require others to purchase a product in which the individual has a proprietary interest and from which the individual will receive income. This shall not be taken to apply to professors who require the purchase of their authored textbooks for their students.

START-UP NY PROGRAM **ADDENDUM**

Pursuant to designation as a Tax-Free Space under the StartUp NY program, the Conflict of Interest Policy is amended for all activities related to the StartUp NY program at Keuka College and for all individuals in, or who participate, in the administration of any transaction governed by StartUp NY program requirements.

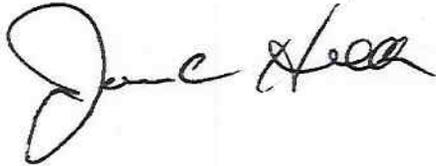
In addition to the requirements of the Conflict of Interest Policy, the following amendments are made to policies and procedures covering the administration of, and involvement in, the StartUp NY program:

1. All covered individuals will reclude themselves from activities giving rise to a conflict.
2. Disclosures of conflicts of interest will be made to the president of the College.
3. The Vice President for Finance and Administration will maintain a written record of all disclosures of actual or potential conflicts of interest made pursuant to the StartUp NY Conflict of Interest guidelines and shall report such disclosures, on a calendar year basis, by Jan. 31 of each year, to the auditor for Keuka College. The auditor shall forward such reports to the Commissioner, who shall make public such reports.
4. No official who is a vendor or employee of a vendor of goods and services to Keuka College, or who has a business interest in such vendor, or whose relatives has a business interest in such vendor, shall vote on, or participate in the administrations by Keuka College of any transaction with such vendor in any activity related to the StartUp NY program.
5. For all person participating in any activity or administering any part of the StartUp NY program at Keuka College, the definition of “immediate family” is amended to included “any person who is a direct descendant of the individual’s grandparents or the spouse of such descendant” in addition to any spouse, domestic partner, children, parents (including in-laws), siblings, ancestors, grandchildren, and great-grandchildren. In addition, any person living in the individual’s household or who is dependent on the individual for on-going financial support, and any person whom the individual is dependent on for on-going financial support are also included.
6. The term “official” of Keuka College is defined as an employee or other person involved in the administration of Keuka College at the level of dean and above as well as any other person with decision-making authority over the College’s StartUp NY program.

File: 10/4/07 Approved by the Keuka College Faculty

ii. Attestation proposed Tax-Free NY Area has not been financed with any tax-exempt bonds

On behalf of Keuka College and pursuant to §220.7(a)(8) of the regulations, I hereby attest that the proposed Keuka Business Park/Keuka Commons Tax-Free NY Area has not been financed with any tax-exempt bonds.



6/3/14

Signature of sponsoring college finance officer

Date

NOTE: The College did use tax-exempt bonds (balance: \$3,635) to repair the roof on a structure located in the area of the proposed Keuka Commons. That structure will be razed to make way for building outlined in this application and that building will not be funded with any tax-exempt bonds.

Jerry Hiller
Vice President for Finance and Administration, Keuka College
Printed name and title

- iii. Certification that the Sponsor has not relocated or eliminated any academic programs, etc., to create vacant space

On behalf of Keuka College, I hereby certify that no College programs have been eliminated or relocated to create vacant space for the proposed Keuka Business Park/Keuka Commons Tax-Free NY Area.



6/3/14

Signature of sponsoring college administrator

Date

Prof. Jorge L. Díaz-Herrera, Ph.D.

President, Keuka College

Printed name and title

- iv. Statement signed by President of College certifying that at least 30 days prior to submitting final plan, the College consulted with the chief executive officer of the municipalities and notified local economic development entity representing the area

—

Finger Lakes Economic Development Center CEO Steve Griffin has been an instrumental partner in creating this proposal. Likewise, Town of Jerusalem Town Supervisor Patrick Killen has lent his support to the plan. Letters of Support from FLEDC and the Town of Jerusalem are included as Appendix A.

—

As President of Keuka College, I hereby certify that at least 30 days prior to submitting this proposal, we have consulted with the Finger Lakes Economic Development Center and the Supervisor of the Town of Jerusalem.



6/3/14

Signature of sponsoring college president

Date

Prof. Jorge L. Díaz-Herrera, Ph.D.
President, Keuka College
Printed name and title

- v. Statement signed by the President of the College that the information contained in the application is accurate and complete.

As President of Keuka College, I hereby certify that the information contained in this document is accurate and complete to the best of my knowledge.



6/3/14

Signature of sponsoring college president

Date

Prof. Jorge L. Díaz-Herrera, Ph.D.
President, Keuka College
Printed name and title

PRESIDENT

Joel Seligman

240 Wallis Hall
Rochester, NY 14627-0011
585.275.8356, 585.256.2473 fax
seligman@rochester.edu



June 30, 2014

Mr. Kenneth Adams
President and Chief Executive Officer Designate
Empire State Development Corporation
30 Pearl Street
Albany, NY 12207-3425

Dear Kenneth:

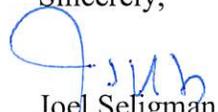
Please find attached the University of Rochester/Finger Lakes Region's application, campus plan, and related materials for the START-UP NY program. The application requests a total of 105,894 square feet at High Tech Rochester, a New York State incubator and affiliate of the University of Rochester, and Eastman Business Park, the Finger Lakes Regional Economic Development Council's highest priority.

All of the information contained in this application is accurate and complete to the maximum extent possible. All of the information, certifications and attestations as required by the program regulations for private, non-profit institutions are included in this application. The University has also communicated with the City of Rochester and the County of Monroe regarding our START-UP NY proposal and invited their participation in our review process.

We are aware of the non-governmental use limitations associated with state issued tax-exempt bonds and if our proposed Tax-Free NY Area is financed with tax-exempt bonds, we will: 1.) make potential businesses aware of these limitations when marketing property; and 2.) take appropriate steps to ensure that non-governmental use of property funded with tax-exempt bonds will not jeopardize the tax-exempt status of state issued bonds.

The University and its partners have received interest from several companies who are eager to partner with us and are awaiting approval of our application. I appreciate your consideration and look forward to working with you, Governor Cuomo, and others to successfully implement this program to create new jobs, enhance technology commercialization, and provide the strongest benefit to the Rochester region and the State of New York.

Sincerely,


Joel Seligman
President

JS/ps

Attachments

cc: Andrew Kennedy, Vincent Esposito, Michael Alt

Finger Lakes/University of Rochester START-UP NY Campus Plan

1. **Campus Name / Address:** University of Rochester
500 Joseph C. Wilson Blvd.
Rochester, NY 14627

University Contact Person: Adam Tulgan*
Director of Corporate Relations
University of Rochester
Office: (585) 275-1765 Cell: (732) 580-8480
adam.tulgan@rochester.edu

**Primary contact for applicant companies interested in the program.*

Scott Steele†
Director of Government and Academic Research Alliances
Deputy for Federal Policy
University of Rochester
Office: (585) 275-0708
scott.steele@rochester.edu

†Liaison for the overall plan, primary contact for Empire State Development and START-UP NY Approval Board.

2. **Proposed Space:** The proposed space for the Finger Lakes/University of Rochester STARTUP-NY Plan includes 48,030 sq. ft. of space at High Tech Rochester Inc. (HTR), an affiliate of the University of Rochester, and 57,864 square feet of space at Eastman Business Park. The Eastman Business Park space will be co-managed by Eastman Kodak (“Kodak”) and Excell Partners, Inc., an affiliate of the University of Rochester located at Eastman Business Park. The Eastman Business Park space is mixed use including office space, wet lab and dry lab space. The spaces listed at Eastman Business Park are currently vacant. Overall, the University would lease space that adds up to 105,894 square feet, in a number of different buildings.

In considering the Finger Lakes/University of Rochester START-UP NY Plan, the proposed tax-free space is in accordance with the underlying statute (New York Economic Development Law Article 21, § 435) and is in a county that contains a city with a population of one hundred thousand or more without a university center as defined in subdivision seven of section three hundred fifty of the education law on the effective date of this article. Additionally, the Finger Lakes Regional Economic Development Council has identified the preservation and revitalization of Eastman Business Park as their highest priority. Eastman Business Park has been defined as a critical asset in the

regional plan to grow and attract companies in fields such as life science, clean energy, optics/imaging and food processing.

The addresses of the proposed locations are as follows:

HTR Lennox Tech Enterprise Center (TEC) (48,030 sf)
150 Lucius Gordon Drive
W. Henrietta, NY 14586

Eastman Business Park (EBP) (57,864 sf)
Buildings 59 and 320
1669 Lake Avenue
Rochester, NY 14652

Site Maps & Information: See property designation and additional attachments

3. Types of businesses and alignment with University academic mission:

Academic Mission

The University of Rochester’s Mission Statement is: “Learn, Discover, Heal, Create— and Make the World Ever Better.” The University has significant core competencies in health and medicine, data sciences, vision, optics, sound, energy and environment, among others. Research and education are central elements of the University of Rochester mission. The University comprises over 700 research active faculty, approximately 1,000 doctoral students, and over 250 postdoctoral trainees engaged in scientific research. The university’s annual research expenditures were approximately \$375 million for fiscal year 2013. This mission and core strengths in education, research and innovation can be leveraged through the START-UP NY program to support the creation of new companies and the growth of existing companies.

The University and its partners would leverage its comprehensive combination of infrastructure, research, education, talent, expertise, and public-private partnerships to enable companies to grow and thrive. Through programs like the Center for Emerging and Innovative Sciences, a New York State designated Center for Advanced Technology, our newly-designated Center of Excellence for Data Science, and URnano, a state-of-the-art nanofabrication center serving the University community as well as industry and others, the University would support university-industry collaborative research and technology transfer in commercially relevant technologies, as well as access to the facilities, specialized equipment, and skilled talent resources needed to improve product development and create new technologies.

Research programs and academic expertise is primarily resident in the Schools across the University of Rochester. Research, educational and internship opportunities with aligned companies will be activity explored, particularly among the following schools:

School of Arts and Sciences
Hajim School of Engineering and Applied Sciences
School of Medicine and Dentistry
Eastman School of Music
School of Nursing
Simon Business School
Warner School of Education

Business Alignment with Academic Mission

The Finger Lakes/University of Rochester START-UP NY plan would focus on attracting eligible companies in the broad fields of science, engineering, social science, health science, business, and music. Industry sectors would include (although not limited to):

Advanced Materials
Bioengineering
Biotechnology
Chemical Industry
Communications/Electronics
Energy (Technology)
Information Technology
Life Sciences
Manufacturing
Medical Devices
Nanotechnology
Optics, Photonics and Imaging
Semiconductor Industry

Note: As discussed later, businesses must meet eligibility criteria outlined in START-UP NY Regulations (5 NYCRR § 220.6).

The University would expect to engage both nascent startups and growing established companies, recognizing our region's past economic success was founded upon developing ideas into international companies, such as Kodak, Xerox, and Bausch & Lomb.

New Startup Companies

In furtherance of this goal, we would, in partnership with High Tech Rochester and their mission to be a catalyst for entrepreneurship and innovation-based economic development, seek eligible startup companies that can grow into multi-million dollar companies. The startup companies targeted for the University's START-UP NY program are a close fit to HTR's mission, since by their nature, these startups are high-tech and life science companies that are creating new solutions to real world problems.

Expansion of Established Companies

The University's START-UP NY plan would also focus on attracting eligible established companies seeking to expand, including those aligned with Eastman Business Park's technology clusters – energy storage, biomaterials advanced manufacturing, and functional films and functional printing – as well as information technology, and the optics, photonics, imaging, and display sectors in the Rochester region, which is one of the oldest, largest clusters in the nation.

Key areas that will be explored with eligible businesses include:

Research: Companies commercializing University of Rochester research or with technology interests that align with University programs and can be further developed through collaborations.

Training, experiential learning or mentoring: Learning opportunities for students and trainees can be facilitated between companies and University of Rochester programs or centers.

Access to facilities/research infrastructure: Companies may have use for some of the shared research facilities and centers at the University of Rochester. Additionally, companies may have unique equipment that could be utilized by faculty or students.

- 4. Community Benefit:** The University of Rochester is proud to be a national leader in translating discoveries into new technologies and practical applications that improve public health, enhance our national security, and help our nation move toward a sustainable clean energy future. We have brought education, research, and commercialization together to become a major hub of innovation and economic growth. Whether it is new imaging technologies that can more accurately diagnose breast cancer, a platform to identify new drugs to treat age-related diseases, or a way to harness the power of internet-based crowd sourcing more effectively, University of Rochester scientists are committed to developing innovations into valuable products and services to make the world ever better.

Since 1996, 53 companies have been created using University-licensed technologies, of which 38 are still active with 29 located in New York State, including iCardiac Technologies, Vaccinex, Lucid, Inc., and QED Technologies, to just name a few. Some notable University technologies include our work in vaccines (e.g., Prevnar, Gardasil, Ceravix) and our advancements in LASIK surgery that have improved the vision of tens of thousands of people. The University's place among the nation's leading universities reflects our strong commitment to transferring viable research discoveries to the marketplace.

The industry clusters identified in the Finger Lakes/University of Rochester START-UP NY Plan are aligned with the Finger Lakes Regional Economic Development Council sector strategies, as well as the following regional strategies key to the Council's goal of building a diverse, knowledge-based economy for the 21st Century: Optimize Business Creation, Retention, and Expansion and Strengthen Academic and Industry Partnerships.

Partnering with Eastman Business Park also brings the benefit of an existing manufacturing infrastructure to the program installation. Eastman Kodak Company's primary film manufacturing hub for over a century has developed into what is today one of the largest, most diverse industrial and technology parks in the United States. The Park's assets, infrastructure, and future expansion plans are critical to the region's plans to grow, retain, and attract manufacturers to the four clusters of technology focus on campus, including photonics (optics, functional films), bio materials advanced manufacturing, and energy storage.

A vertically integrated "city within a city," Eastman Business Park (EBP) extends over 1,250 acres and consists of more than 100 buildings; 16 million square feet of laboratory, manufacturing, warehouse, and office space; 30 miles of roads; 17 miles of railroad track and on-site rail road carrier service linked to the Rochester Southern and CSX regional and national rail freight lines; and dedicated power generation, water processing, and wastewater treatment facilities. Within EBP there are facilities for research, design, development, prototype, scale-up, and high volume manufacturing. More than 1.5 million square feet is available for office, manufacturing, laboratory, clean rooms, warehouse space and other infrastructure to support precision manufacturing or photonics manufacturing. In addition to Kodak, some 50 tenants, and owners of 45 other individual buildings occupy EBP to include photonics companies like Exelis-ITT and Carestream.

The companies that participate in the University's START-UP NY program will generate positive community and economic benefits through job creation, including opportunities for student internships and academic collaborations, and will help spur additional entrepreneurial opportunities by building up the local ecosystem and helping to attract investment capital and additional talent to the region.

- 5. Outreach, Review & Selection Process for Companies:** The University of Rochester, High Tech Rochester, Eastman Business Park, Excell Partners, and our community partners like Greater Rochester Enterprise, will make startup companies and businesses aware of the program via the one-on-one meetings it has with companies, entrepreneurs, and through their traditional outreach and marketing methods. High Tech Rochester alone meets with 200-300 entrepreneurs each year, to provide assistance and evaluate companies for admission into its incubator programs. The websites for the University of Rochester, High Tech Rochester, Excell Partners, and

Eastman Business Park will also contain information about the START-UP NY program and benefits, as will electronic newsletters and social media channels.

Eastman Business Park also brings a mature and integrated marketing communications program to the table, including online, CRM and social media assets – representing numerous blogs and 40+ releases and article placements in high readership trade pubs targeting Clean Tech, Site Development, Facilities Management, Environmental, Specialty Chemical, Electronics, Venture Caps, Thin/Flexible Film, Touch Technology, Photovoltaic, Sustainability, Nanotech, Renewable Energy, plus national and local print and broadcast media. 2013 outreach resulted in 370,000 headline impressions, 21 million reads, 2,000 tech blogs, discussion forums, tweets, etc.

The University and its partnering organizations will also make a concerted effort to target outreach to qualified veteran, minority, and women-owned business enterprises. Both the University of Rochester and Kodak have established supplier diversity programs and will build on those relationships to invite participation from minority-owned and women-owned businesses.

Businesses interested in partnering with the University of Rochester will complete the State of New York's [START-UP NY Business Application](#) included on the University of Rochester's START-UP webpage. Completed applications should be submitted to Scott Steele (scott.steele@rochester.edu). Completed applications will proceed through a two-stage process. The first stage will include a pre-review/initial review to confirm eligibility, followed by a more formal review in the second stage.

Initial Review

An initial review of the applications will examine overall eligibility. The evaluation may include a meeting with the applicant and will ensure the applicant meets all the necessary requirements (e.g., business type, review potential competitors, etc.). This initial review will be performed by representatives from the Office of Government and Community Relations, the Office of the Senior Vice President for Research, and the Office of the Vice President and General Counsel.

Applications deemed to initially meet START-UP NY eligibility criteria (in coordination with ESD as appropriate) will be forwarded on for full review.

Full Review

Applications reaching the second stage of review will be evaluated more comprehensively for factors including: economic and community benefit, business model, technology cluster and alignment with specific University domains of excellence and mission. The evaluations will consider:

Academic and Research Alignment

- Is the business in an industry aligned with current and/or developing University research, scholarly, and creative activity?
- Does the business provide experiential learning and workforce opportunities (e.g., internships, fellowships, full-time jobs) for students and graduates?
- Does the business provide areas for partnership and advancement for faculty and students?
- Will the business provide access to research instrumentation, tools, and/or equipment necessary to advance the academic and research mission?
- Will the business fund scholarships, campus facilities or other academic services or amenities?
- Will the business and/or its employees contribute to instruction or provide student mentoring?
- Does the business offer the use of company resources, intellectual property or expertise to support the academic mission?

Economic Benefit

- How many net new jobs will be created?
- Is the business viable in both the short- and long-term?
- Will the business attract private financial investment?
- Does the business plan to make capital investments (e.g., renovation, new construction)?
- Are the new jobs in critical areas of the economy?
- How will the University financially benefit from the terms of the lease?

Community Benefits

- Does the business have the support of one or more municipal or community entities?
- Is the business recruiting employees from the local workforce?
- Does the business invest in underserved, economically distressed regions?
- Is the business owned by a veteran, minority, or a woman?
- Will the business rely on suppliers within the local and regional economy?

A Review Committee comprised of representatives the University of Rochester, High Tech Rochester, Excell Partners, Eastman Business Park, and the community will review applications. The Review Committee will be comprised of the following individuals or their designee:

- University's Senior Vice President for Administration and Finance, Chief Financial Officer and Treasurer
- University's Vice President and General Counsel
- University's Senior Vice President for Research
- University's Associate Vice President for Technology Ventures
- University's Executive Director for the Office of Government & Community Relations

- President of High Tech Rochester
- CEO of Excell Partners, Inc.
- Director, Eastman Business Park
- University Faculty Representative (designated by Chair of the Faculty Senate)
- Mayor, City of Rochester *Ex-Officio*
- Executive, County of Monroe *Ex-Officio*

Following an initial review, the Review Committee may ask the company to formally present to the Review Committee to provide additional information. If the Review Committee approves the application (simple majority) based on the criteria outlined above, the University will then work with the Applicant to develop the balance of the information required by the State application and forward the application to the New York State Commissioner for Economic Development for approval.

6. Additional Information (Please see attachments):
 - a. Conflict of Interest Guidelines
 - i. Please see the attached University of Rochester Policy on Conflicts of Interest Related to the START-UP NY Program.
 - b. Tax Exempt Bonds:
 - i. The Lennox Tech Enterprise Center has not been financed with any tax exempt bonds. The facility was built in 1997 and is owned outright by High Tech Rochester Inc.
 - ii. Eastman Business Park also does not have any tax exempt bond financing to the best of their knowledge.
 - c. All designated space is considered on-campus, as it is owned by or will be under lease by the University of Rochester (or its affiliates).
 - d. A statement signed by the President of the campus or college seeking the designation or by their designee that the information contained in such application to the maximum extent possible is accurate and complete.
 - e. Maps and files of the proposed tax free space
 - i. Property designations and details for proposed tax-free spaces
 - ii. High Tech Rochester's Lennox Tech Enterprise Center site maps and plans
 - iii. Eastman Business Park site maps and floor plans for buildings 59 and 320

Finger Lakes/University of Rochester START-UP NY Campus Plan

Attachments Table of Contents

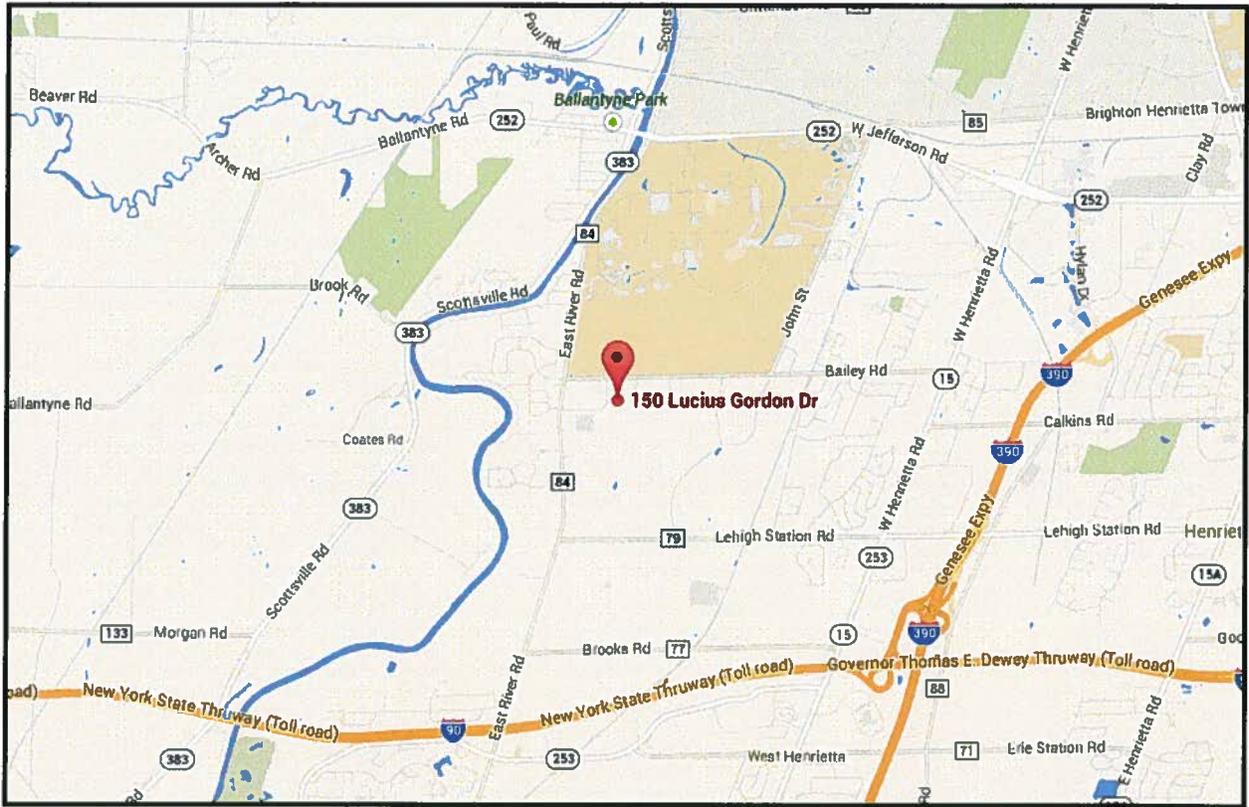
Attachment A:	UR-FL Property-Designation
Attachment B1:	HTR Lennox TEC aerial images and maps
Attachment B2:	HTR-Lennox TEC 1st Floor Plan
Attachment B3:	HTR-Lennox TEC 2nd Floor Plan
Attachment C:	EBP Site Map
Attachment D:	EBP Floor Plans and Room Table
Attachment E:	UR COI Policy for START-UP NY
Attachment F:	Monroe County Letter of Support

Attachment A: Finger Lakes/University of Rochester Property-Designation

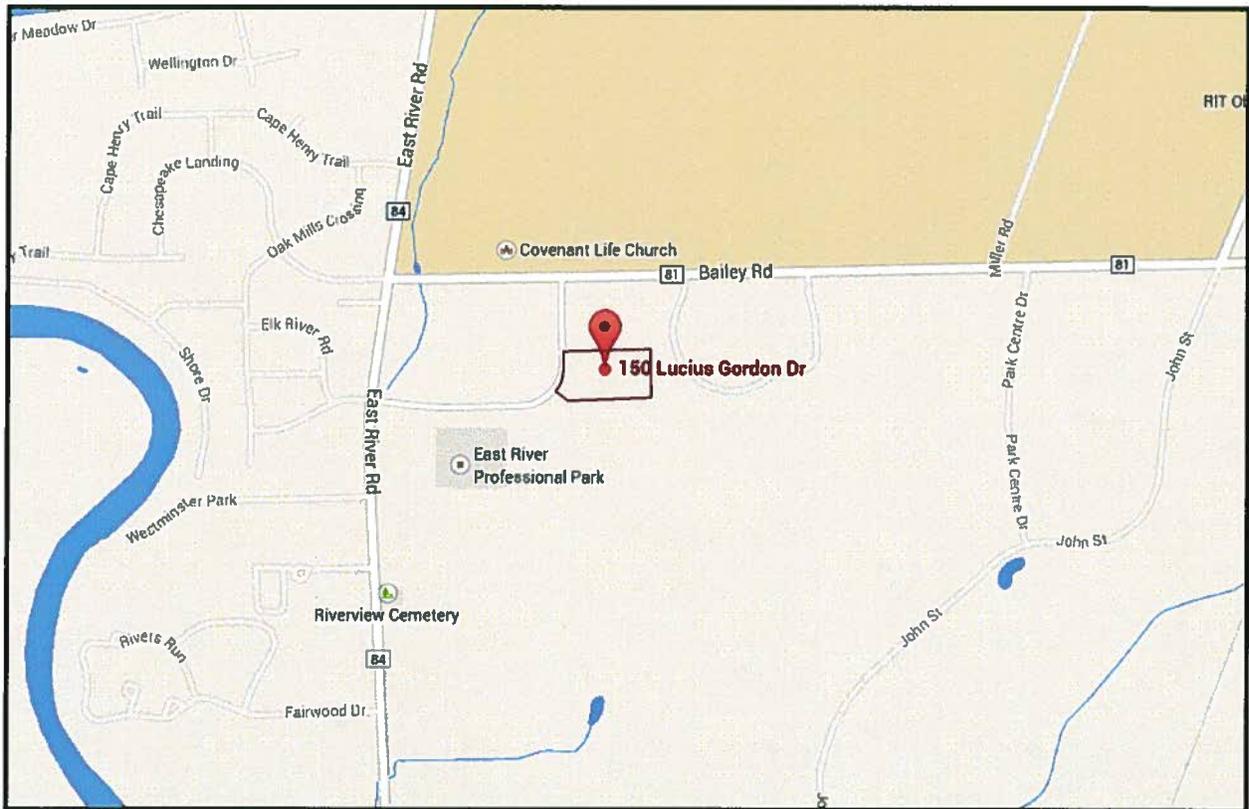
Location	UniqueID	Owner	PropertyType	StreetAddress	City	ZipCode	ParcelID	Building	SpaceType	SqFt	Acres	Description	onCampus	Within1mileOfCampus	Latitude	Longitude	Note
West Henrietta		High Tech Rochester	1	150 Lucius Gordon Drive W. Henrietta		14586		Lennox Tech Enterprise Center	A	48,030		NYS incubator	Yes		43.0703170	-77.6838330	
Rochester/Eastman Business Park		Kodak (lease to University of Rochester)	1	1669 Lake Avenue	Rochester	14650		Building 59	C	3262		First Floor Rooms- see table (Attachment D)	Yes		43.1982070	-77.6286760	
Rochester/Eastman Business Park		Kodak (lease to University of Rochester)	1	1669 Lake Avenue	Rochester	14650		Building 59	C	16088		Second Floor Rooms- see table (Attachment D)	Yes		43.1982070	-77.6286760	
Rochester/Eastman Business Park		Kodak (lease to University of Rochester)	1	1669 Lake Avenue	Rochester	14650		Building 59	C	22834		Third Floor Rooms- see table (Attachment D)	Yes		43.1982070	-77.6286760	
Rochester/Eastman Business Park		Kodak (lease to University of Rochester)	1	1200 Ridgeway Ave	Rochester	14650		Building 320	C	4311		First Floor Rooms- see table (Attachment D)	Yes		43.1943750	-77.6615270	
Rochester/Eastman Business Park		Kodak (lease to University of Rochester)	1	1200 Ridgeway Ave	Rochester	14650		Building 320	C	11369		Second Floor Rooms- see table (Attachment D)	Yes		43.1943750	-77.6615270	
TOTAL										105894							

* 1= on campus	** A=entire building
2= 1 mile off campus	B=floor within building
3= State Asset	C=Room within building
	D=land on campus
	E= land off campus
	F=entire building off campus
	G=partial building off campus
	H=state asset

AREA MAP



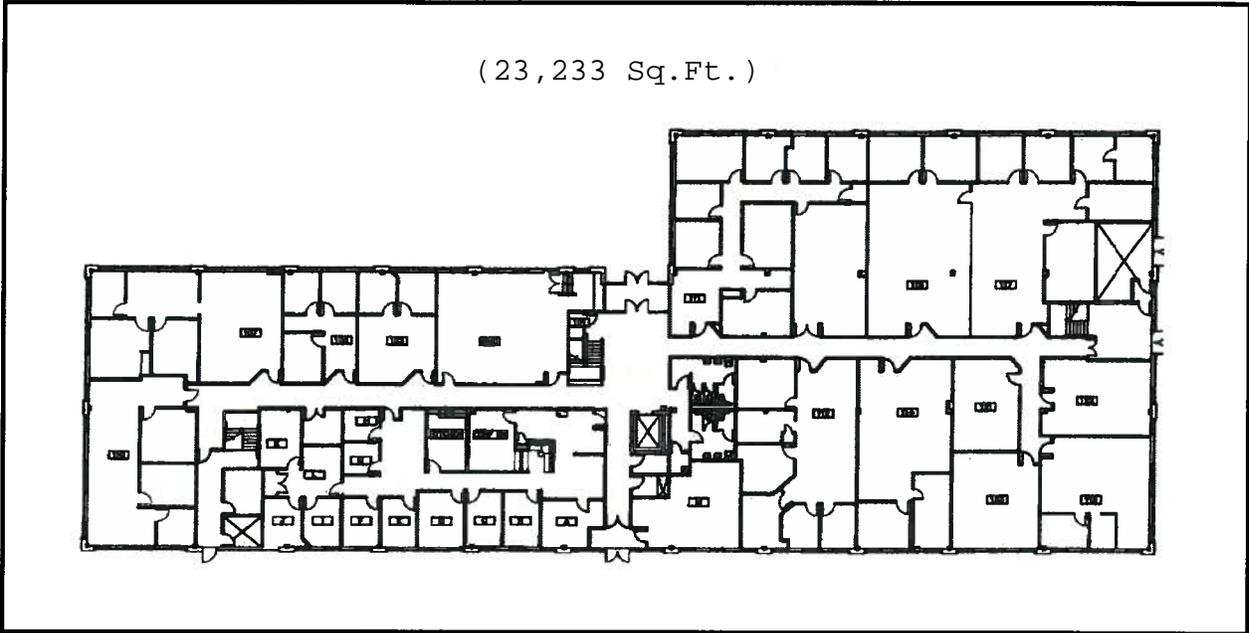
NEIGHBORHOOD MAP



BUILDING PLAN

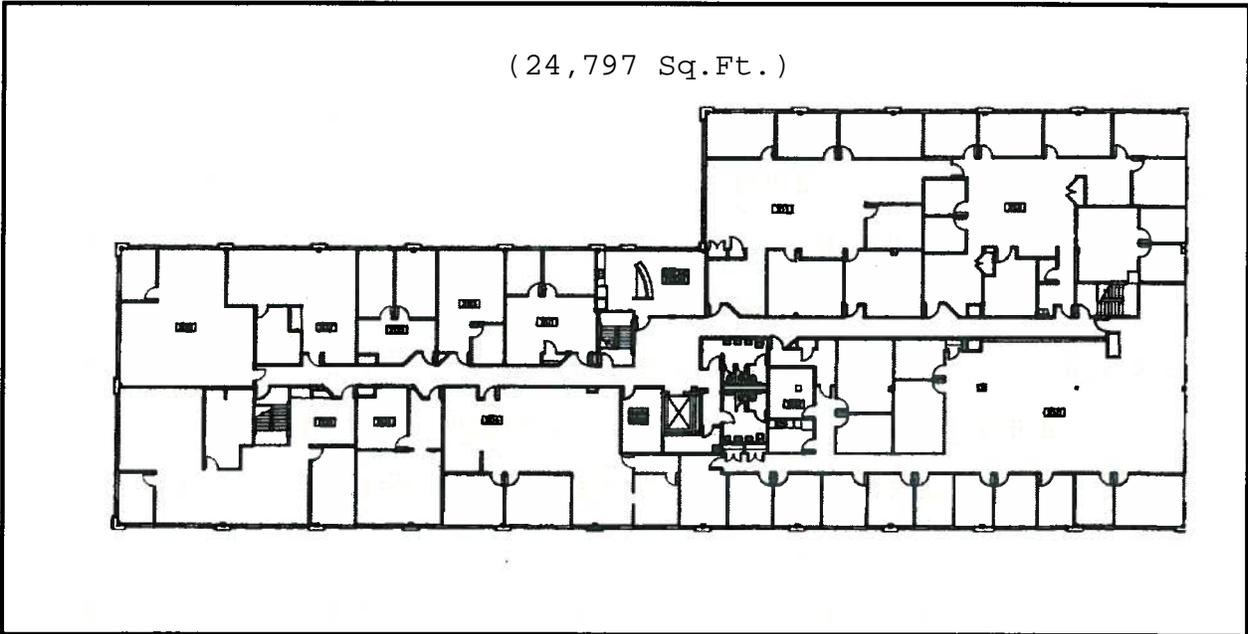
First Floor

(23,233 Sq.Ft.)



Second Floor

(24,797 Sq.Ft.)



LUCIUS GORDON DRIVE LOOKING NORTH



LUCIUS GORDON DRIVE LOOKING SOUTH



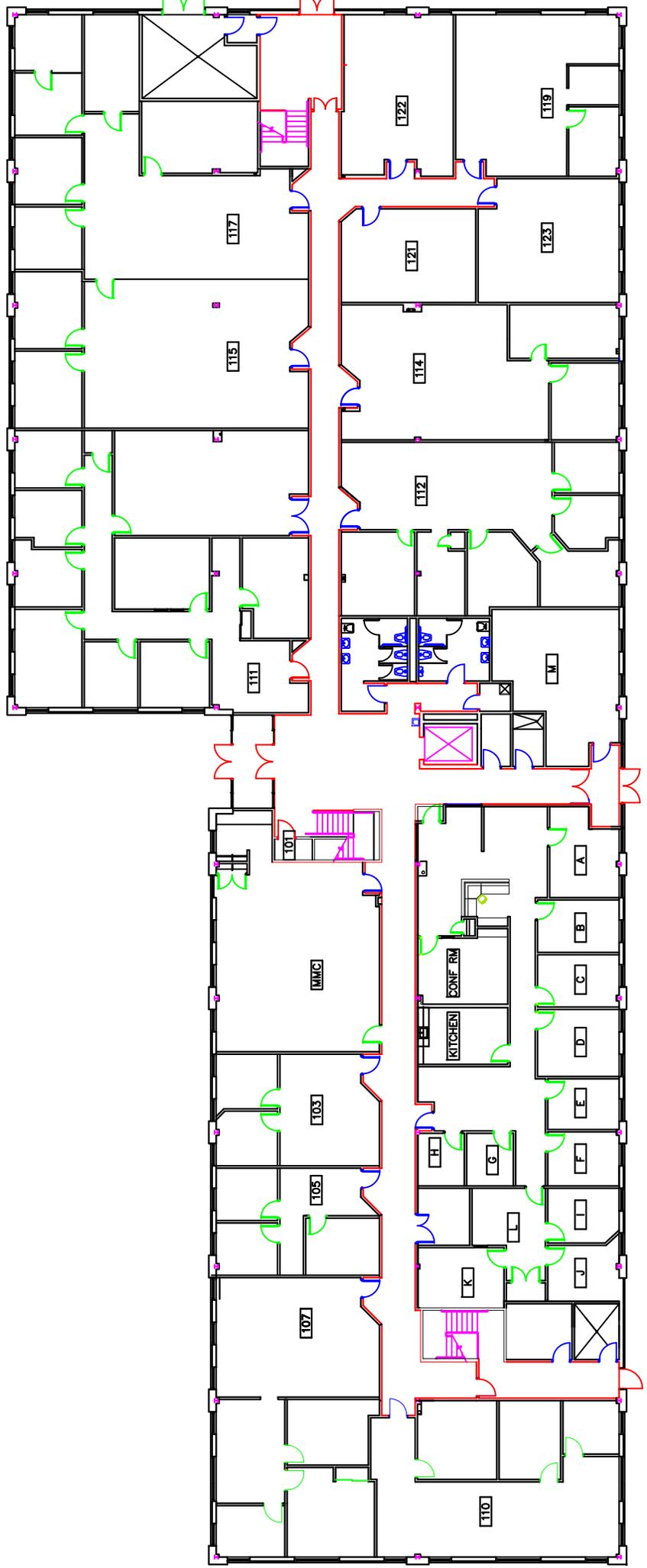
NORTH & WEST ELEVATIONS OF SUBJECT



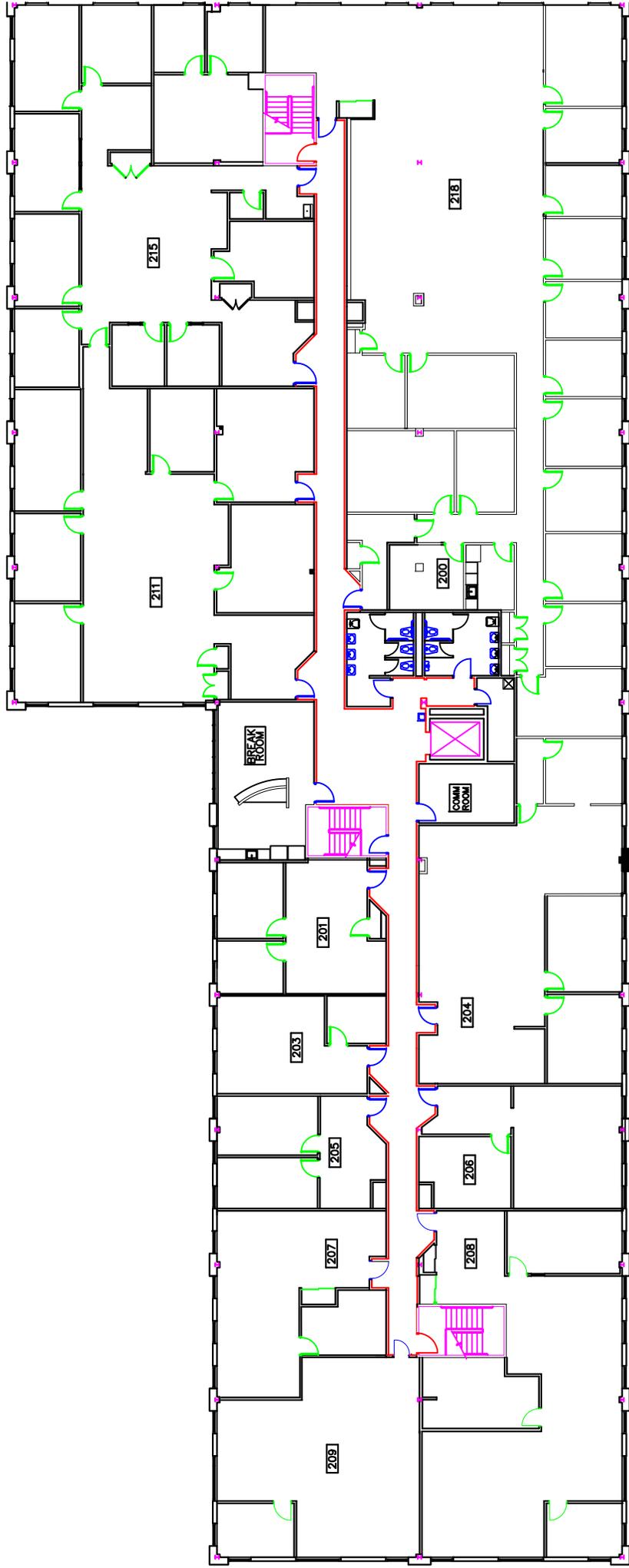
SOUTH & EAST ELEVATIONS OF SUBJECT

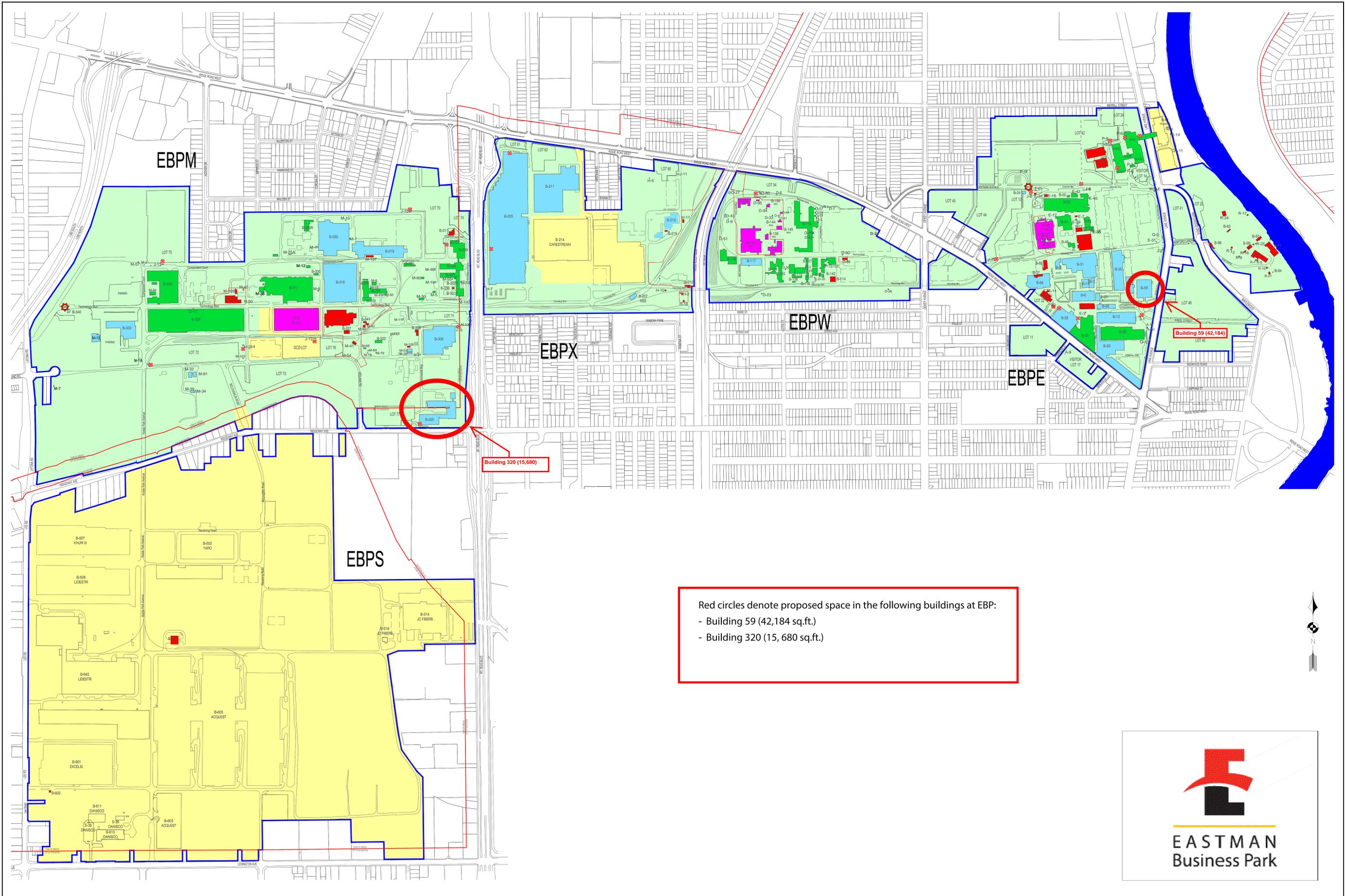


Attachment B2: HTR-Lennox TEC 1st Floor Plan (23,233 Sq.Ft.)



Attachment B3: HTR-Lennox TEC 2nd Floor Plan (24,797 Sq.Ft.)





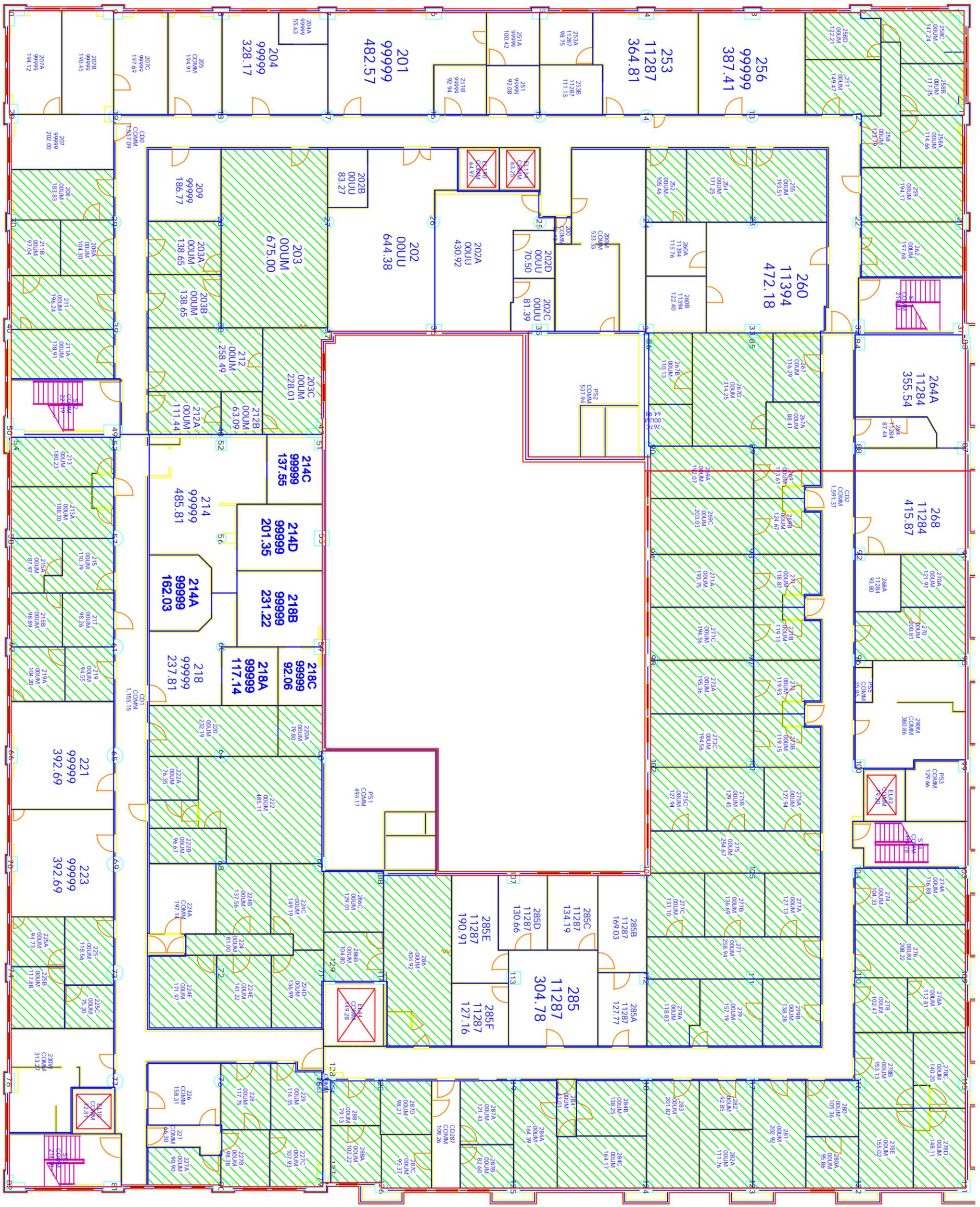
Red circles denote proposed space in the following buildings at EBP:

- Building 59 (42,184 sq.ft.)
- Building 320 (15,680 sq.ft.)

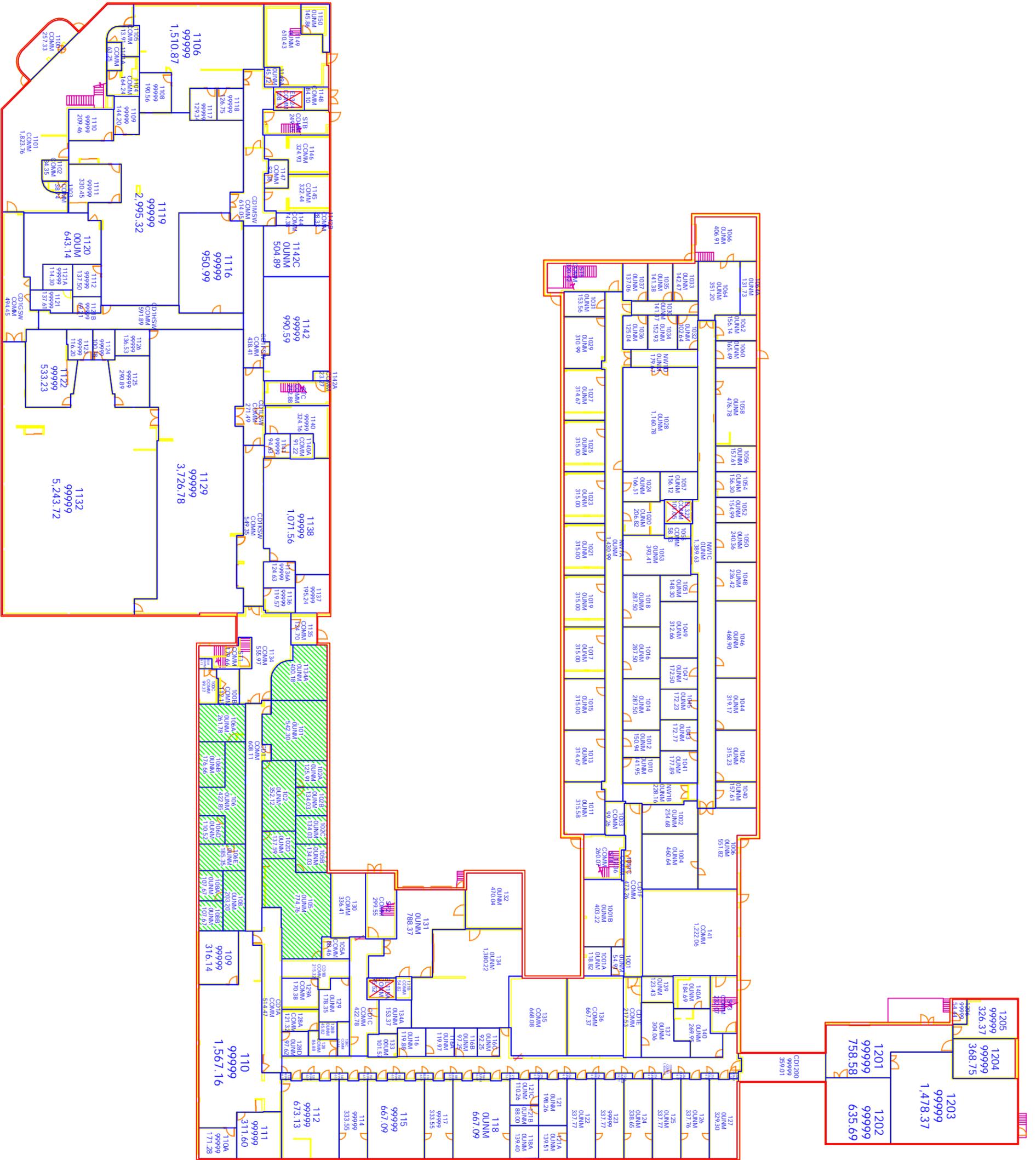


Attachment D:
EBP Floor Plans and Room Table

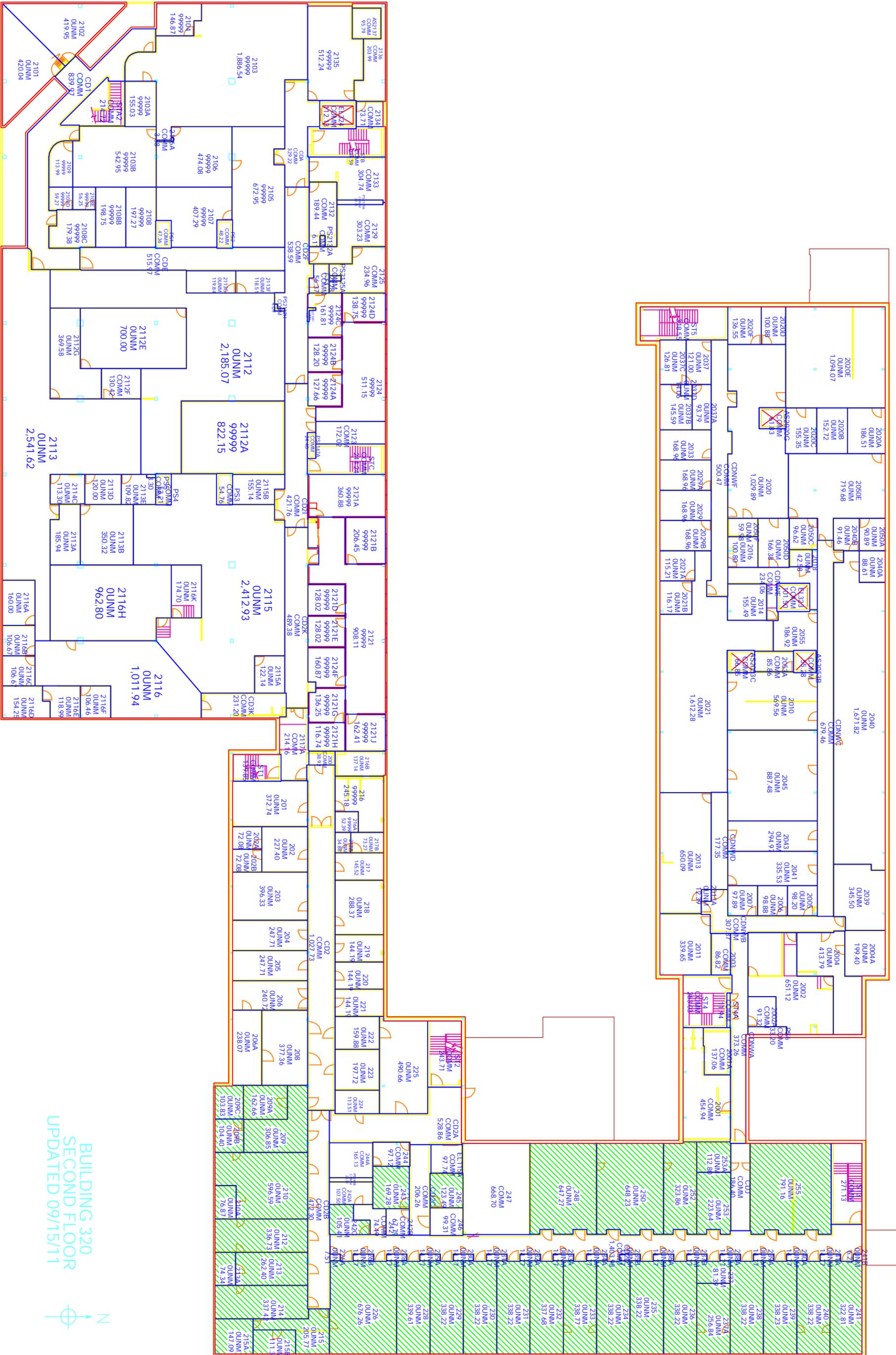
Eastman Business Park, Building 59, Floor 2 (16,088 SF)



Eastman Business Park, Building 320, Floor 1 (4,311 SF)



Eastman Business Park, Building 320, Floor 2 (11,369 SF)



BUILDING 320
SECOND FLOOR
UPDATED 09/15/11



Eastman Business Park, Table of rooms for each building and floor

June 27, 2014

Building Code	Floor Code	Room Code
059-RL	01	101
059-RL	01	101A
059-RL	01	101B
059-RL	01	101C
059-RL	01	101D
059-RL	01	150
059-RL	01	150A
059-RL	01	150B
059-RL	01	153
059-RL	01	153B
059-RL	01	153C
059-RL	02	203
059-RL	02	203A
059-RL	02	203B
059-RL	02	203C
059-RL	02	208
059-RL	02	208A
059-RL	02	211
059-RL	02	211A
059-RL	02	211B
059-RL	02	212
059-RL	02	212A
059-RL	02	212B
059-RL	02	213
059-RL	02	213A
059-RL	02	215
059-RL	02	215A
059-RL	02	215B
059-RL	02	217
059-RL	02	219
059-RL	02	219A
059-RL	02	220
059-RL	02	220A
059-RL	02	222
059-RL	02	222A
059-RL	02	222B
059-RL	02	224
059-RL	02	224B
059-RL	02	224C
059-RL	02	224D
059-RL	02	224E
059-RL	02	224F
059-RL	02	225
059-RL	02	225A
059-RL	02	225B

Building Code	Floor Code	Room Code
059-RL	02	225C
059-RL	02	227A
059-RL	02	227B
059-RL	02	227C
059-RL	02	228
059-RL	02	229
059-RL	02	252
059-RL	02	254
059-RL	02	255
059-RL	02	257
059-RL	02	258
059-RL	02	258A
059-RL	02	258B
059-RL	02	258C
059-RL	02	258D
059-RL	02	259
059-RL	02	262
059-RL	02	267
059-RL	02	267A
059-RL	02	267B
059-RL	02	267C
059-RL	02	267D
059-RL	02	269
059-RL	02	269A
059-RL	02	269B
059-RL	02	269C
059-RL	02	270
059-RL	02	270A
059-RL	02	271
059-RL	02	271A
059-RL	02	271B
059-RL	02	271C
059-RL	02	273
059-RL	02	273A
059-RL	02	273B
059-RL	02	273C
059-RL	02	274
059-RL	02	274A
059-RL	02	275
059-RL	02	275A
059-RL	02	275B
059-RL	02	275C
059-RL	02	276
059-RL	02	277
059-RL	02	277A
059-RL	02	277B

Building Code	Floor Code	Room Code
059-RL	02	277C
059-RL	02	278
059-RL	02	278A
059-RL	02	278B
059-RL	02	278C
059-RL	02	278D
059-RL	02	278E
059-RL	02	279
059-RL	02	279A
059-RL	02	279B
059-RL	02	280
059-RL	02	280A
059-RL	02	281
059-RL	02	282
059-RL	02	282A
059-RL	02	283
059-RL	02	284
059-RL	02	284A
059-RL	02	284B
059-RL	02	284C
059-RL	02	286
059-RL	02	286B
059-RL	02	286C
059-RL	02	287A
059-RL	02	287B
059-RL	02	287C
059-RL	02	287D
059-RL	02	288
059-RL	02	288A
059-RL	03	301
059-RL	03	301A
059-RL	03	301B
059-RL	03	301C
059-RL	03	301D
059-RL	03	301E
059-RL	03	301F
059-RL	03	301G
059-RL	03	302
059-RL	03	302A
059-RL	03	302B
059-RL	03	302C
059-RL	03	302D
059-RL	03	304
059-RL	03	304A
059-RL	03	304C
059-RL	03	305

Building Code	Floor Code	Room Code
059-RL	03	305A
059-RL	03	306
059-RL	03	306A
059-RL	03	310
059-RL	03	310A
059-RL	03	310B
059-RL	03	310C
059-RL	03	310D
059-RL	03	310E
059-RL	03	310F
059-RL	03	310G
059-RL	03	310H
059-RL	03	310J
059-RL	03	311
059-RL	03	311A
059-RL	03	311B
059-RL	03	311C
059-RL	03	313
059-RL	03	313A
059-RL	03	313B
059-RL	03	313C
059-RL	03	313D
059-RL	03	313E
059-RL	03	313F
059-RL	03	313G
059-RL	03	314
059-RL	03	314A
059-RL	03	314B
059-RL	03	314C
059-RL	03	314D
059-RL	03	314E
059-RL	03	314F
059-RL	03	314G
059-RL	03	314H
059-RL	03	315
059-RL	03	315A
059-RL	03	315B
059-RL	03	315C
059-RL	03	315D
059-RL	03	317
059-RL	03	317A
059-RL	03	317B
059-RL	03	317C
059-RL	03	317D
059-RL	03	317E
059-RL	03	318A

Building Code	Floor Code	Room Code
059-RL	03	318B
059-RL	03	320
059-RL	03	320A
059-RL	03	320B
059-RL	03	321
059-RL	03	321A
059-RL	03	321B
059-RL	03	321C
059-RL	03	321D
059-RL	03	321E
059-RL	03	323
059-RL	03	323A
059-RL	03	323B
059-RL	03	351
059-RL	03	351A
059-RL	03	351B
059-RL	03	351C
059-RL	03	351D
059-RL	03	351E
059-RL	03	351F
059-RL	03	351G
059-RL	03	352
059-RL	03	353
059-RL	03	353A
059-RL	03	353B
059-RL	03	353C
059-RL	03	353D
059-RL	03	353F
059-RL	03	353H
059-RL	03	353J
059-RL	03	353K
059-RL	03	354
059-RL	03	354A
059-RL	03	354B
059-RL	03	354C
059-RL	03	354D
059-RL	03	354E
059-RL	03	354F
059-RL	03	354G
059-RL	03	354H
059-RL	03	354J
059-RL	03	355A
059-RL	03	355B
059-RL	03	355D
059-RL	03	355E
059-RL	03	356

Building Code	Floor Code	Room Code
059-RL	03	356A
059-RL	03	357
059-RL	03	357A
059-RL	03	357B
059-RL	03	357C
059-RL	03	357D
059-RL	03	357E
059-RL	03	359
059-RL	03	359A
059-RL	03	360
059-RL	03	360A
059-RL	03	360B
059-RL	03	360C
059-RL	03	361
059-RL	03	361A
059-RL	03	363
059-RL	03	363A
059-RL	03	364
059-RL	03	364A
059-RL	03	365
059-RL	03	365A
059-RL	03	365B
059-RL	03	365C
059-RL	03	366
059-RL	03	366A
059-RL	03	366B
059-RL	03	366C
059-RL	03	367
059-RL	03	367A
059-RL	03	367B
059-RL	03	367C
059-RL	03	367D
059-RL	03	367E
059-RL	03	367F
059-RL	03	369
059-RL	03	369A
059-RL	03	369B
059-RL	03	371
059-RL	03	371A
059-RL	03	371B
059-RL	03	371C
059-RL	03	373
059-RL	03	373A
059-RL	03	373B
059-RL	03	373C
059-RL	03	373D

Building Code	Floor Code	Room Code
059-RL	03	373E
059-RL	03	373F
059-RL	03	374
059-RL	03	374A
059-RL	03	374B
059-RL	03	380
059-RL	03	380A
059-RL	03	380B
059-RL	03	380C
059-RL	03	381
059-RL	03	381A
059-RL	03	381B
059-RL	03	381C
059-RL	03	381D
059-RL	03	381E
059-RL	03	381F
059-RL	03	382
059-RL	03	383
059-RL	03	383A
059-RL	03	383B
059-RL	03	383C
059-RL	03	383D
059-RL	03	383E
059-RL	03	383F
059-RL	03	383G
059-RL	03	383H
059-RL	03	383E
059-RL	03	383F
059-RL	03	383G
059-RL	03	383H
320-KP	01	101
320-KP	01	102
320-KP	01	102A
320-KP	01	102B
320-KP	01	102C
320-KP	01	102D
320-KP	01	105
320-KP	01	105B
320-KP	01	106
320-KP	01	106A
320-KP	01	106B
320-KP	01	106D
320-KP	01	106E
320-KP	01	108
320-KP	01	108A
320-KP	01	108B

Building Code	Floor Code	Room Code
320-KP	01	1134A
320-KP	02	209
320-KP	02	209A
320-KP	02	209B
320-KP	02	209C
320-KP	02	210
320-KP	02	210A
320-KP	02	212
320-KP	02	213
320-KP	02	213A
320-KP	02	214
320-KP	02	215
320-KP	02	215A
320-KP	02	215B
320-KP	02	226
320-KP	02	228
320-KP	02	229
320-KP	02	230
320-KP	02	231
320-KP	02	232
320-KP	02	233
320-KP	02	234
320-KP	02	235
320-KP	02	236
320-KP	02	237
320-KP	02	237A
320-KP	02	238
320-KP	02	239
320-KP	02	240
320-KP	02	241
320-KP	02	242C
320-KP	02	243
320-KP	02	245
320-KP	02	248
320-KP	02	250
320-KP	02	252
320-KP	02	253
320-KP	02	253A
320-KP	02	255

Attachment E:
UR CoI Policy for START-UP NY

UNIVERSITY OF ROCHESTER POLICY
ON
CONFLICTS OF INTEREST
RELATED TO THE START-UP NY PROGRAM

June 6, 2014

Scope

This policy applies to all decisions and activities of the University of Rochester, and those of its directors, officers and employees in connection with its role in the START-UP NY Program.

Definitions

For purposes of this policy:

“Business Interest” in an entity shall mean that the individual (a) owns or controls 10% or more of the stock of the entity (or 1% in the case of an entity the stock of which is regularly traded on an established securities exchange); or (b) serves as an officer, director or partner of the entity.

A “Conflict of Interest” exists whenever an Official has a Business Interest, or other interest or activity outside the University, which has the possibility, whether potential, actual, or perceived, of (a) compromising the Official’s judgment, (b) influencing the Official’s decision or behavior with respect to the START-UP NY Program, or (c) resulting in personal gain, or their Relative’s gain or advancement.

“Official” shall mean shall mean (a) any University employee at the level of Dean and above, (b) any University employee or member of the University’s Board of Trustees with decision-making authority with respect to the University’s START-UP NY Program, and (c) all individuals who serve on the University’s Review Committee that recommends businesses for acceptance into the Program, whether or not they are University employees.

“Relative” shall mean any person living in the same household as an Official, and any person who is a direct descendant of an Official’s grandparents or is the spouse of such a descendant.

“START-UP NY Program” means the SUNY Tax-Free Areas to Revitalize and Transform Upstate New York Program established by Article 21 of the NYS Economic Development Law.

Policy and Procedure

Service as an Official of the University shall not be used as a means for private benefit or inurement for the Official, an Official’s Relative, or any entity in which the Official or Relative has a Business Interest. Accordingly, any Official who is an owner or employee of, or has a Business Interest in, an entity that is the subject of any matter pertaining to the University’s START-UP NY Program, or in which their Relative has a Business Interest, shall not vote on or

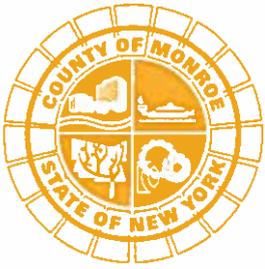
otherwise participate in the administration by the University of any START-UP NY matter involving such entity.

Any Official or other campus representative who becomes aware of a potential, actual or apparent Conflict of Interest, whether their own or that of another Official, related to the University's START-UP NY Program, must disclose that interest to the President of the University and the University's General Counsel.

The University shall maintain a written record of all disclosures of potential, actual or apparent Conflicts of Interest made pursuant to this policy, and shall report such disclosures, on a calendar year basis, by January 31st of each year, to the University's auditor. The auditor shall forward such reports to the Commissioner of Economic Development of the State of New York. It is expected that the Commissioner will make such reports public.

There are no exceptions to this policy.

Attachment F:
Monroe County Letter of Support



Office of the County Executive

Monroe County, New York

Maggie Brooks
County Executive

June 13, 2014

Mr. Kenneth Adams, President & CEO
Empire State Development
30 Pearl Street
Albany, NY 12207-3425

Dear Mr. Adams:

As Monroe County Executive, I would like to take this opportunity to share with you my wholehearted support for the University of Rochester/Finger Lakes Region's START-UP NY application. This application requests a total of 190,416 square feet at High Tech Rochester (HTR), the region's state and federally designated incubator, and Eastman Business Park, the Finger Lakes Regional Economic Development Council's highest priority.

Eastman Business Park is the largest and most diverse industrial park in the Northeast. The park is over 1,000 acres of land with 2,500,000 square feet of available manufacturing, laboratory, warehouse, and office space. It has the infrastructure and assets needed to become one of the most effective incubators for economic growth not only in our County and region, but in the entire country. It is a critical component of our local economy and represents our ongoing transformation from a big box image capital to a hub for innovation and technology. Through our Industrial Development Agency – County of Monroe Industrial Development Agency (COMIDA) – and our Division of Pure Waters, we have been proud to work collaboratively with Kodak to help enhance the site's attractiveness as a premier place to do business. Companies like LiDestri, Optimization and ITT Exellis have recently partnered with COMIDA to expand their investment in our community and significantly grow their local workforce at Eastman Business Park.

For more than 25 years, HTR has been one of the leading business incubators in New York State. HTR serves as the Empire State Development (NYSTAR) designated Regional Technology Development Center (RTDC), an affiliate of the National Institute of Standards and Technology's (NIST) Manufacturing Extension Partnership (MEP) program, and is home to the New Energy Xcelerator in UpState NY (NEXUS-NY), one of three clean-energy Proof-of-Concept Centers designated and funded by New York State in partnership with Cornell, the State University of New York, University at Buffalo, and several other academic institutions across the region. Over the past five years, HTR has had an estimated impact of around \$500 million and created or retained more than 2,500 jobs in the region.

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(585) 753-1000 • fax: (585) 753-1014 • www.monroecounty.gov • e-mail: countyexecutive@monroecounty.gov

Again, I reiterate my strong support for the University of Rochester/Finger Lakes Region's START-UP NY application. With the STARTUP-NY designation, both HTR and Eastman Business Park will build on their track record and resources to expand businesses, attract new companies, and create jobs. The County is proud to support the University's application and thanks them for their efforts on behalf of this community.

If you have any questions regarding this matter, please feel free to contact my office directly.

Sincerely,

A handwritten signature in black ink that reads "Maggie Brooks". The signature is written in a cursive, flowing style.

Maggie Brooks
Monroe County Executive

cc: Vincent Esposito
Joel Seligman
Michael Alt