INSTRUCTIONS AND INFORMATION
SMALL PROJECTS APPLICATION

1. Please note that Public Officers Law Article 6 states that all records in the possession of the Herkimer County Industrial Development Agency (Agency) are open to public inspection and copying. If you feel that certain sections of the Project Application should be withheld from public inspection, please notate accordingly to request such sections be kept confidential.

2. New laws have been established in regards to record keeping, reporting, and recapture requirements for IDA's that authorize sales tax exemptions to a Project Operator or Agent. The Agency must now keep a record of the amount of sales tax benefits provided to each Project and make those records available to the State upon request. Also, within 30 days of providing financial assistance to a Project, the Agency must report to the State the amount of sales tax benefits intended to be provided to a Project. It is now a requirement of the State that the Agency post on the internet and make available without charge copies of its resolutions and project agreements and documents.

3. If you are requesting a sales tax exemption from the Agency as part of your application for assistance, you must include a realistic estimate of the value of the savings anticipated. IT IS IMPERATIVE THAT THE SALES TAX ESTIMATES IN THE APPLICATION BE AS REALISTIC AS POSSIBLE. This is the number that will be provided to the state.

4. The state requires that the Agency recapture any state sales tax benefits given if: a. the project was not entitled to receive benefits; b. the exemptions exceed the amount authorized or were claimed for unauthorized property or services; c. the Project Operator failed to use the property or services in a manner indicated by its agreement with the Agency.

5. It is important that the Application is completed in its entirety leaving no blanks. If the question is not applicable, please note n/a.

6. If more space is needed for a particular answer, please attach a separate sheet.

7. The Agency non-refundable general application fee is $500.

8. Agency fees are assessed at 1/2% of the total project cost.

9. The Agency will collect ½ (one-half) of the project fee at the time of signing of an inducement agreement. The final half of the Agency fee will be payable at which time the project closing takes place.

10. The applicant is responsible for all Agency legal fees related to this project.

11. Should your company for any reason decide to withdraw this application for financial assistance after submission but prior to completion, you will be responsible for any legal fees involved up to the time of withdrawal. Also, the Agency will assess a fee for services rendered and costs incurred to date.

12. Should your company reassign your project, the Agency will collect a non-refundable fee of $2,000 at the time of reassignment.

13. In accordance with section 224-a(8)(d) of article 8 of the New York Labor Law, the Agency has identified that any "financial assistance" (within the meaning of section 858 of the General Municipal Law) granted by the Agency to the Applicant consisting of sales and use tax exemption benefits, mortgage recording tax exemption benefits and real property tax exemption benefits, constitutes "public funds" within the meaning of section 224-a(2)(b) of Article 8 of the New York Labor Law and such funds are not excluded under Section 224-a (3) of Article 8 of the New York Labor Law. The Agency hereby notifies the Applicant of the Applicants obligations under Section 224-a (8)(a) of Article 8 of the New York Labor Law. Applicants seeking real property tax exemption benefits should not proceed with this application and should contact the Herkimer County IDA for assistance.

14. PHOTOGRAPH RELEASE AND LICENSE AGREEMENT**:**
    a. GRANT OF LICENSE AND RIGHTS: The business owner hereby grants an exclusive license to and any and all rights and benefits, if any, to the photographs taken by the HCIDA, its agents/assigned at the jobsite for use in any advertising, promotion, and marketing campaign that may conduct in the future. Moreover, it is understood and acknowledged that this license and rights shall apply to any third parties or agents that the HCIDA in its sole discretion deems necessary to properly and adequately market or promote its services.
    b. CONSIDERATION: It is understood and agreed that other than the consideration previously received the business owner will not be entitled to receive any further consideration relative to the use of the photographs described herein, including monetary consideration.
    c. RESTRICTIONS: It is understood and agreed that there will be no restrictions on the license and/or rights granted hereby.
    d. PROMOTION/MARKETING: It is understood and agreed that the business owner shall have no control or input as to how the photographs are used or utilized in any marketing campaign or promotion and/or advertising unless the HCIDA, in its sole discretion deems that such input would be appropriate and useful. It is understood and agreed that the HCIDA shall have sole authority to determine the mode and method of advertising, merchandising, promoting, selling, and distributing, that involves the use or utilization of the subject photographs. Moreover, it is understood and agreed that the HCIDA will not be required to obtain and further approval or consent from the business owner prior to the use or utilization of any photographs for any promotion or marketing campaign and/or advertising.

APPLICATION TO HERKIMER COUNTY INDUSTRIAL DEVELOPMENT AGENCY FOR FINANCIAL ASSISTANCE – SMALL PROJECTS

SECTION 1: APPLICANT INFORMATION:

Company Name: _____
Address: _____
_____
Product/Services: _____
Phone No.: _____
Email Address: _____
Fed ID No.: _____**NAICS Code:**_____
Contact Person/Title: _____

Principal Owners/Officers/Directors:
(list owners with 15% or more in equity holdings with percentage ownership)

_____ _____ _____
_____ _____ _____
_____ _____ _____

Corporate Structure (attach schematic if Applicant is a subsidiary or otherwise affiliated with another entity)

Form of Entity:

____ Corporation
____ Partnership
General_____ or Limited_____;
Number of general partners_____
If applicable, number of limited partners____.
____ Limited Liability Company/Partnership (number of members_____).
____ Sole Proprietorship

If a corporation, partnership, limited liability company/partnership:
Date of establishment _____.
Place of organization _____.
If a foreign organization, is the Applicant authorized to do business in the State of New York? _____.

APPLICANTS' COUNSEL:

Name: _____
Address: _____
_____
Phone No.: _____
Email: _____

SECTION 2: PROJECT INFORMATION:

A) Describe the proposed project, acquisition, construction or reconstruction in as much detail as possible.

_____
_____
_____
_____
_____
_____
_____
_____

B) Project Description (check all applicable)

____ Manufacturing
____ Warehousing/Distribution
____ Tourism Destination Facility
____ Retail*
____ Other – Specify_____

*****If the Project has a retail component, please complete SECTION 6 of this application – the Retail Questionnaire.

C) Name of all sub-lessees or other occupants of the facility:

_____
_____
_____

D) Principals of any sub-lessee or occupant.

_____
_____
_____

E) Employment Information:

Please provide details on employment (current, to be created and/or retained) as a result of your project. In this section please also indicate whether, and the extent to which, the project will provide onsite daycare facilities.

_____
_____
_____
_____
_____

SECTION 3: COST BENEFIT ANALYSIS:

A) Estimate Project Costs (where applicable)

1. Land $_____
2. Building $_____
3. Renovation Costs $_____
4. Machinery and Equipment $_____
5. Soft Costs $_____
6. Legal Costs $_____
7. Other (specify) $_____
8. **Total Estimated Project Amount** **$_____**

Of the above amount, total dollar value of labor and materials to be sourced within the Mohawk Valley Regional Economic Development Council Region (Herkimer, Oneida, Fulton, Montgomery, Schoharie, and Otsego Counties) $_____

B) Financing (Source of funds where applicable)

Bank $_____

Private Funds Invested $_____

Other $_____

Total (should equal 3.A.8) **$_____**

C) Financial Assistance Requested (Proposed Benefit Estimates) (Please note n/a in any line where you are not seeking assistance)*

1. Amount of New Mortgage (s) required for project: $_____

1.A. Mortgage Recording Taxes Exemption (1% of total proposed mortgage amount) $_____

2. Project-Related Costs Subject to Sales Tax: $_____

2.A. NYS Sales and Compensating Use Tax Exemption: $_____
(State 4% + Local 4.25% = Total 8.25%)

Total Estimated Value of Tax Exemptions (Total of 1.A. & 2.A.) **$_____**

D) Other Benefits

In this section, please list any other public and/or private benefits associated with the Project. Wherever possible, please quantify those benefits. (If necessary, please use an attachment to describe and quantify those amounts) Examples of such quantifiable benefits would include hotel occupancy tax, retail sales tax, host community benefit payments, etc. Please also describe any non-quantifiable benefits if applicable.

Other Public Benefits: _____
_____
_____
_____

As with public benefits, please list any quantifiable or non-quantifiable benefits that accrue to private individuals (royalty payments, solar lease payments, etc.)

Other Private Benefits: _____
_____
_____
_____

***Applicants seeking real property tax benefits are ineligible for Small Projects Financial Assistance. Please contact the Herkimer County Industrial Development Agency.**

SECTION 4: PROJECT LOCATION/UTILITIES/IMPACT:

A) Project Address: _____
_____

B) Are Utilities on Site
Water _____ Electric_____
Gas _____ Sanitary/Storm Sewer_____

C) Present legal owner of the site_____.

D) Zoning of Project Site: Current: _____Proposed: _____.

E) Are any variances needed: _____.

F) Principal use of Project upon completion: _____.

G) Will the Project result in the removal of a plant or facility of the Applicant from one area of the State of New York to another? _____.

H) Will the Project result in the removal of a plant or facility of another proposed occupant of the Project from one area of the State of New York to another area of the State of New York? _____.

I) Will the Project result in the abandonment of one or more plants or facilities located in the State of New York? _____.

If you answered yes to G-H or I please indicate whether the project is reasonably necessary for the company to maintain its competitive position in the industry. Please explain in detail. Attach supporting documentation.

_____
_____
_____
_____

SECTION 5: REPRESENTATIONS BY THE APPLICANT:

The Applicant understands and agrees with the Agency as follows:

A.) Annual Sales Tax Filings. In accordance with Section 874(8) of the New York General Municipal Law, the Applicant understands and agrees that, if the Project receives any sales tax exemptions as part of the Financial Assistance from the Agency. In accordance with Section 874(8) of the General Municipal Law, the Applicant agrees to file, or cause to be filed, with the New York State Department of Taxation and Finance, the annual form prescribed by the Department of Taxation and Finance, describing the value of all sales tax exemptions claimed by the Applicant and all consultants or subcontractors retained by the Applicant. A copy of such form should be provided to the Agency annually upon submission to the State.

B.) Sales Tax Tracking. The Applicant understands and agrees that, if the Project receives any sales tax exemptions as part of the Financial Assistance that they will submit to the Agency, a quarterly tracking form (form will be provided) listing all sales tax savings incurred to allow for the Agency to monitor and report to the State as required.

C.) Recapture of Benefits. The Applicant understands and agrees that the benefits received from tax abatements/exemptions shall be subject to recapture in accordance with the Agency's tax exemption policy. The Agency reserves the right to include in the transaction documents the recapturing of the total value of tax exemptions approved for a Project if any of the following conditions arise:

a. There is a significant change in the use of the Project Facility and/or business activities of the Applicant.
b. The Applicant fails to fully comply with all periodic and/or annual reporting requirements of the Agency, State or Federal government.

D.) Absence of Conflicts of Interest. The Applicant has received from the Agency a list (see pages 13-14) of the members, officers and employees of the Agency. No member, officers or employee of the Agency has an interest, whether direct or indirect, in any transaction contemplated by this Application, except as hereinafter described:

_____

_____

SECTION 6: RETAIL QUESTIONNAIRE (if applicable):

(To be completed be Applicant indicated retail component of the Project in Part II, Question B of this application).

A.) Will any portion of the Project (including that portion of the cost to be financed from equity or sources other than Agency financing) consist of facilities or property that are or will be primarily used in making retail sales to customers who personally visit the Project? YES _____ NO_____

For purposes of Question A, the term "retail sales" means (i) sales by a registered vendor under Article 28 of Tax Law of the State of New York (the "Tax Law") primarily engaged in the retail sale of tangible personal property (as defined in Section 1101(b)(4)(i) of the Tax Law), or (ii) sales of a service to customers who personally visit the Project.

B.) If the answer to Question A is YES, what percentage of the cost of the Project (including that portion of the cost to be financed from equity or sources other than Agency financing) will be expended on such facilities or property primarily used in making retail sales of goods or services to customers who personally visit the Project? _____%

C.) If the answer to Question A is YES, and the amount entered for Question B is greater than 33.33%, indicate whether any of the following apply to the Project:

1. Is the Project likely to attract a significant number of visitors from outside the economic development region (i.e., Onondaga and Albany Counties) in which the Project is or will be located? YES_____ NO_____

2. Is the predominant purpose of the Project to make available goods or services which would not, but for the Project, be reasonably accessible to the residents of the city, town or village within which the Project will be located, because of a lack of reasonably accessible retail trade facilities offering such goods or services? YES_____ NO_____

3. Will the Project be located in one of the following: (a) an area designated as an empire zone pursuant to Article 18-B of the General Municipal Law; or (b) a census tract or block numbering area (or census tract or block numbering area contiguous thereto) which, according to the most recent census data, has (i) a poverty rate of at least 20% for the year in which the data relates, or at least 20% of the households receiving public assistance, and (ii) an unemployment rate of at least 1.25 times the statewide unemployment rate for the year to which the data relates? YES_____ NO_____

If the answer to any of the subdivisions 1 through 3 of Question C is YES, attach details.

D.) If the answer to any of the subdivisions 2 through 3 of Question C is YES, will the Project preserve permanent, private sector jobs or increase the overall number of permanent, private sector jobs in the State of New York? If YES, attach details. YES_____ NO_____

E.) State percentage of the Applicant's annual gross revenues comprised of each of the following:
Retail Sales: _____% Services: _____ %

F.) State percentage of Project premises utilized for same:

Retail Sales: _____% Services: _____ %

SECTION 7: FINANCIAL INFORMATION (attach the following):

1. Financial Statements for the last three fiscal years.
2. Proforma balance sheet as at start of operations at project site.
3. Projected profit and loss statements for first two years of operation at project site.
4. Projected "cash flow" statement, by quarters, for first year of operation at project site.
5. Detailed site plans
6. Construction budgets or contractor estimates
7. Evidence of current employment, such as NYS-45 Quarterly Report (informational only)

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

Applicant: _____

Date: _____

By: _____

Name: _____

Title: _____

Application Submittal: Submit this application with a small project application fee of $500.

Make check payable to: Herkimer County Industrial Development Agency, 420 E. German Street, Suite 101A, Herkimer, New York 13350, to the attention of John J. Piseck, Jr., Chief Executive Officer.

Project Fees: The Agency will collect ½ (one-half) of its Project Fee at the time of the signing of an inducement agreement. The final half of the Agency fee will be payable at the time of closing.

The applicant will also be responsible for all HCIDA legal fees related to this project. Should your company for any reason decide to withdraw this application for financial assistance after submission but prior to completion, you will be responsible for any legal fees involved to that point. In addition, the Agency will assess a fee for services rendered and costs incurred. Should your project be reassigned to another institution, the Agency will collect a fee of $2,000 for costs incurred due to the reassignment.

Agency fees will be assessed at 1/2% of the total project cost.

Please call 315-866-3000 with any questions

"This institution is an equal opportunity provider, employer and lender"

HOLD HARMLESS AGREEMENT

Applicant hereby releases the Herkimer County Industrial Development Agency and the members, officers, servants, agents and employees thereof (the "Agency") from, agrees that the Agency shall not be liable for and agrees to indemnify, defend and hold the Agency harmless from and against any and all liability arising from expense incurred by (A) the Agency's examination and processing of, and action pursuant to or upon, the attached Application, regardless of whether or not the Application or the Project described therein or the tax exemptions and other Assistance requested therein are favorably acted upon by the Agency, (B) the Agency's acquisition, construction and/or installation of the Project described therein and (C) any further action taken by the Agency with respect to the Project; including without limiting the generality of the foregoing, all causes of action and attorneys' fees and any other expenses incurred in defending any suits or actions which may arise as a result of any of the foregoing.

_____
(Applicant)

_____
(Date)

_____
(By)

_____
(Name)

_____
(Title)

STATE OF NEW YORK)
)ss.:
COUNTY OF _____)

On the ____ day of _____, in the year 20___, before me, the undersigned a Notary Public in and for said State, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her capacity, and that by his/her signature on the instrument, the individuals, or the person or behalf of which the individuals acted, executed this instrument.

_____
Notary Public

2026 BOARD MEMBERS & STAFF
HERKIMER COUNTY INDUSTRIAL DEVELOPMENT AGENCY

CHAIRMAN
Vincent J. Bono
Date Appointed: July 3, 2002

Vincent J. Bono is a partner in Bono Brothers, LLC, a manufactured housing community, and a former Chairman of the Herkimer County Legislature. He has served on the Herkimer County Industrial Development Agency Board of Directors since July 3, 2002.

VICE CHAIRMAN
Cory Albrecht
Date Appointed: April 4, 2018

Cory Albrecht is Director of the Advanced Institute for Manufacturing at Mohawk Valley Community College. Previously, he served as Vice President/Business Development Manager at Mohawk Valley Applied Technology Corporation for 10 years. Cory has served on the IDA Board of Directors since April 4, 2018, and has served as Vice Chair since April 26, 2022.

SECRETARY
Robert Davenport
Date Appointed: October 28, 2025

Robert Davenport is a retired firefighter and former Deputy Chief with a strong background in public service and community leadership. He brings years of experience, dedication, and local knowledge to the Board. Robert has served on the Board of Directors since May 15, 2025.

DIRECTOR
Ann Gaworecki
Date Appointed: August 7, 2019

Ann Gaworecki is a Herkimer native who has worked for Adirondack Bank since 2004 and currently serves as a Vice President and Commercial Banking Officer. Ann serves the community in various capacities, including Vice Chair of the ARC Herkimer Board of Directors since 2018 and Board Treasurer of the Herkimer Veteran's Council since 2019. She also volunteers with various charitable organizations. Ann has served on the IDA Board of Directors since August 2019.

DIRECTOR
Frank Mendl
Date Appointed: December 11, 2024

Frank Mendl has served on the Board since December 2024. Currently retired, Frank remains actively involved in the Little Falls community through his service on several local boards and organizations. He serves as President of the Little Falls School Board and is also a member of the Little Falls Youth and Family Center Board of Directors and Board of Trustees, as well as the Board of the Little Falls Public Library. Through his continued community involvement, Frank is committed to supporting local education, youth, families, and public resources.

DIRECTOR
Dr. Terri Grates Day
Date Appointed: October 22, 2025

Dr. Terri Grates Day is the fifth President of Herkimer County Community College, where she leads with a deep commitment to transparency, collaboration, and community-centered innovation. A proud Herkimer native and lifelong advocate for education, she champions meaningful partnerships that strengthen student pathways, expand opportunity, and support economic growth throughout Herkimer County. Guided by the theme *Meaningful by Design*, Dr. Day works to advance both the College and the community she is proud to call home. She has served on the Board of Directors since September 2025.

DIRECTOR

Peter Campione

Date Appointed: September 17, 2026

Pete Campione serves as the Herkimer County Legislator Chairman representing District 14, which includes the Town of Danube, the Town of Little Falls, and Ward 4 of the City of Little Falls. A graduate of Little Falls Jr.-Sr. High School, Mr. Campione is the owner and operator of Best Buy Appliance Center. He has served on the HCIDA Board of Directors since September 2026.

Herkimer County Industrial Development Agency Board Members are appointed by the Herkimer County Board of Legislators and serve at the pleasure of the board.

ASSISTANT SECRETARY/TREASURER/
HUMAN RESOURCES REPRESENTATIVE
Victoria Adams

CONTRACTING OFFICER
John Piseck

IDA ATTORNEY
Anthony Hallak, Esq.
Felt Evans LLP

IDA SPECIAL COUNSEL
Charles Malcomb
Shannon Wagner
Hodgson Russ LLP

COMMITTEES

Revolving Loan Committee **(12/19/2024):**	**Ann Gaworecki, Cory Albrecht, Bono**
Audit and Governance Committees (**12/19/2024):**	**Board as a Whole**
Marketing Committee (**10/28/2025):**	**Dr. Terri Grates Day**
Finance Committee	**Board as a Whole**
Claims Auditors	**Ann Gaworecki, Vincent J. Bono**

COUNTY REPRESENTATIVE
Gregory Malta, Sr. – District 1
Herkimer County Legislator

Board Meetings held the last Tuesday of every month at 8:00 AM *(subject to change)*
At the Herkimer County Chamber of Commerce, Conference Room 420 E. German St., Herkimer

STAFF

John J. Piseck, Jr., Chief Executive Officer

John Piseck joined the IDA in February 2018. His experience includes: Sales Engineer for CTM Corporation (15 years); Herkimer County Legislator (4 years); past Chairman of the Board of Directors for the HCIDA; former member of Mohawk Valley Economic Development District; served on Board of Directors for the Creative Core.

Victoria Adams, Operations Manager

Victoria Adams joined the IDA in March 2019. She comes from a financial background in accounting and banking. Victoria performs all financial operations, human resource functions, and administrative tasks for the Agency under the direction of the Chief Executive Officer.

Nicole Farber, Administrative Office Assistant

Nicole joined the HCIDA in July 2025. Previous experience was in Account Management for Environmental Services and Sustainability. Performs financial operations, and administrative tasks for the Agency under the direction of the Chief Executive Officer.

Samantha Canarelli, Marketing & Communications Specialist

Samantha joined HCIDA in September 2025 as the Marketing and Communications Specialist. She brings a background in banking and holds an MBA with a concentration in marketing. At HCIDA, she leads efforts in marketing strategy, digital outreach, and brand communication.