

## **PRE-TRANSACTION AFFIDAVIT (PTA)**

The following pages provide several versions of the same document, tailored to the type of entity that is submitting the PTA. Each entity that is required to submit a PTA should complete the appropriate one of the versions. The choices are:

- PRE-TRANSACTION AFFIDAVIT – CORPORATION
- PRE-TRANSACTION AFFIDAVIT - INDIVIDUAL GENERAL PARTNER
- PRE-TRANSACTION AFFIDAVIT - CORPORATE GENERAL PARTNER
- PRE-TRANSACTION AFFIDAVIT - CORPORATE OWNER OF GENERAL PARTNER
- PRE-TRANSACTION AFFIDAVIT - LIMITED LIABILITY COMPANY

**PRE-TRANSACTION AFFIDAVIT - CORPORATION**

This affidavit must be submitted within two weeks before execution of legal agreements (e.g., closing, lease signing, etc.), except that a Pre-Transaction Affidavit is not required for approval of the incorporation of an HDFC.

Name \_\_\_\_\_  
EIN/SSN \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_  
Telephone ( ) \_\_\_\_\_ Fax Number ( ) \_\_\_\_\_  
Date Disclosure Statement executed: \_\_\_\_\_

Under penalty of perjury, I hereby certify to the City of New York Department of Housing Preservation and Development ("HPD"), that:

1. I am the \_\_\_\_\_ of \_\_\_\_\_ ("Corporation"), the corporation which will take the actions checked below with respect to the project named above ("Project"):
  - \_\_\_ purchase City-owned property
  - \_\_\_ receive an HPD loan
  - \_\_\_ be retained as a general contractor by the recipient of an HPD loan
  - \_\_\_ enter into a Regulatory Agreement with HPD
  - \_\_\_ be retained as a general contractor or Administering Agent by a party which has entered into a Regulatory Agreement with HPD
  - \_\_\_ enter into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
  - \_\_\_ be retained as a general contractor by a party which has entered into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
  - \_\_\_ lease or net lease City-owned property
  - \_\_\_ be retained as a managing agent by the net lessee of City-owned property or by a Mitchell-Lama housing company
  - \_\_\_ acquire an ownership interest in property which is encumbered by a City mortgage and/or owned by a Mitchell-Lama housing company or a Redevelopment Company
  - \_\_\_ license City-owned property
  
2. I make this affidavit in order to induce the Department of Housing Preservation and Development ("HPD") of the City of New York to execute binding legal documents with respect to the Project (collectively, "Agreements").
  
3. The shareholders of the Corporation, and their percentage interests, are as follows:  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%
  
4. The officers and directors of the Corporation, and their titles, are as follows:



_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

5. The Corporation will retain \_\_\_\_\_ as the General Contractor.
6. The information stated above is true and correct as of the date of this affidavit.
7. The Disclosure Statements submitted by the parties identified above remain accurate as of the date of this affidavit, and no events or information that occurred or became known subsequent to the date of execution of such Disclosure Statements would require revision of any of the answers therein or supplements thereto.

\_\_\_\_\_  
SIGNATURE

Sworn to before me this  
day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
NOTARY PUBLIC



**PRE-TRANSACTION AFFIDAVIT - INDIVIDUAL GENERAL PARTNER**

This affidavit must be submitted within two weeks before execution of legal agreements (e.g., closing, lease signing, etc.), except that a Pre-Transaction Affidavit is not required for approval of the incorporation of an HDFC.

Name \_\_\_\_\_

EIN/SSN \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Fax Number ( ) \_\_\_\_\_

Date Disclosure Statement executed: \_\_\_\_\_

Under penalty of perjury, I hereby certify to the City of New York Department of Housing Preservation and Development ("HPD"), that:

1. I am a general partner of \_\_\_\_\_ ("Partnership"), the partnership which will take the actions checked below with respect to the project named above ("Project"):

- \_\_\_ purchase City-owned property
- \_\_\_ receive an HPD loan
- \_\_\_ be retained as a general contractor by the recipient of an HPD loan
- \_\_\_ enter into a Regulatory Agreement with HPD
- \_\_\_ be retained as a general contractor or Administering Agent by a party which has entered into a Regulatory Agreement with HPD
- \_\_\_ enter into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ be retained as a general contractor by a party which has entered into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ lease or net lease City-owned property
- \_\_\_ be retained as a managing agent by the net lessee of City-owned property or by a Mitchell-Lama housing company
- \_\_\_ acquire an ownership interest in property which is encumbered by a City mortgage and/or owned by a Mitchell-Lama housing company or a Redevelopment Company
- \_\_\_ license City-owned property

2. I make this affidavit in order to induce the Department of Housing Preservation and Development ("HPD") of the City of New York to execute binding legal documents with respect to the Project (collectively, "Agreements").

3. The other general partners of the Partnership are as follows:

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

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



4. The Partnership will retain \_\_\_\_\_ as the General Contractor.
5. The information stated above is true and correct as of the date of this affidavit.
6. The Disclosure Statements submitted by the parties identified above remain accurate as of the date of this affidavit, and no events or information that occurred or became known subsequent to the date of execution of such Disclosure Statements would require revision of any of the answers therein or supplements thereto.

\_\_\_\_\_  
SIGNATURE

Sworn to before me this  
day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
NOTARY PUBLIC



**PRE-TRANSACTION AFFIDAVIT - CORPORATE GENERAL PARTNER**

This affidavit must be submitted within two weeks before execution of legal agreements (e.g., closing, lease signing, etc.), except that a Pre-Transaction Affidavit is not required for approval of the incorporation of an HDFC.

Name \_\_\_\_\_

EIN/SSN \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Fax Number ( ) \_\_\_\_\_

Date Disclosure Statement executed: \_\_\_\_\_

Under penalty of perjury, I hereby certify to the City of New York Department of Housing Preservation and Development ("HPD"), that:

1. I am the \_\_\_\_\_ of \_\_\_\_\_ (Corporation"), a general partner of \_\_\_\_\_ ("Partnership"), a partnership which will take the actions checked below with respect to the project named above ("Project"):

- \_\_\_ purchase City-owned property
- \_\_\_ receive an HPD loan
- \_\_\_ be retained as a general contractor by the recipient of an HPD loan
- \_\_\_ enter into a Regulatory Agreement with HPD
- \_\_\_ be retained as a general contractor or Administering Agent by a party which has entered into a Regulatory Agreement with HPD
- \_\_\_ enter into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ be retained as a general contractor by a party which has entered into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ lease or net lease City-owned property
- \_\_\_ be retained as a managing agent by the net lessee of City-owned property or by a Mitchell-Lama housing company
- \_\_\_ acquire an ownership interest in property which is encumbered by a City mortgage and/or owned by a Mitchell-Lama housing company or a Redevelopment Company
- \_\_\_ license City-owned property

2. I make this affidavit in order to induce the Department of Housing Preservation and Development ("HPD") of the City of New York to execute binding legal documents with respect to the Project (collectively, "Agreements").

3. The shareholders of the Corporation, and their percentage interests, are as follows:

\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%

4. The officers and directors of the Corporation, and their titles, are as follows:



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

5. The other general partners of the Partnership are as follows:

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

6. The Partnership will retain \_\_\_\_\_ as the General Contractor.

7. The information stated above is true and correct as of the date of this affidavit.

8. The Disclosure Statements submitted by the parties identified above remain accurate as of the date of this affidavit, and no events or information that occurred or became known subsequent to the date of execution of such Disclosure Statements would require revision of any of the answers therein or supplements thereto.

\_\_\_\_\_  
SIGNATURE

Sworn to before me this  
day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
NOTARY PUBLIC



**PRE-TRANSACTION AFFIDAVIT - CORPORATE OWNER OF GENERAL PARTNER**

This affidavit must be submitted within two weeks before execution of legal agreements (e.g., closing, lease signing, etc.), except that a Pre-Transaction Affidavit is not required for approval of the incorporation of an HDFC.

Name \_\_\_\_\_

EIN/SSN \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Fax Number ( ) \_\_\_\_\_

Date Disclosure Statement executed: \_\_\_\_\_

Under penalty of perjury, I hereby certify to the City of New York Department of Housing Preservation and Development ("HPD"), that:

1. I am the \_\_\_\_\_ of \_\_\_\_\_ ("Parent"), a shareholder of \_\_\_\_\_, a corporate general partner of \_\_\_\_\_ ("Partnership"), a partnership which will take the actions checked below with respect to the project named above ("Project"):

- \_\_\_ purchase City-owned property
- \_\_\_ receive an HPD loan
- \_\_\_ be retained as a general contractor by the recipient of an HPD loan
- \_\_\_ enter into a Regulatory Agreement with HPD
- \_\_\_ be retained as a general contractor or Administering Agent by a party which has entered into a Regulatory Agreement with HPD
- \_\_\_ enter into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ be retained as a general contractor by a party which has entered into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ lease or net lease City-owned property
- \_\_\_ be retained as a managing agent by the net lessee of City-owned property or by a Mitchell-Lama housing company
- \_\_\_ acquire an ownership interest in property which is encumbered by a City mortgage and/or owned by a Mitchell-Lama housing company or a Redevelopment Company
- \_\_\_ license City-owned property

2. I make this affidavit in order to induce the Department of Housing Preservation and development ("HPD") of the City of New York to execute binding legal documents with respect to the Project (collectively, "Agreements").

3. The other shareholders of the General Partner are as follows:

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

4. The shareholders of the Parent, and their percentage interests, are as follows:





\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%  
\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%

5. The officers and directors of the Parent, and their titles, are as follows:

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

6. The Partnership will retain \_\_\_\_\_ as the General Contractor.

7. The information stated above is true and correct as of the date of this affidavit.

8. The Disclosure Statements submitted by the parties identified above remain accurate as of the date of this affidavit, and no events or information that occurred or became known subsequent to the date of execution of such Disclosure Statements would require revision of any of the answers therein or supplements thereto.

\_\_\_\_\_  
SIGNATURE

Sworn to before me this  
day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
NOTARY PUBLIC



**PRE-TRANSACTION AFFIDAVIT - LIMITED LIABILITY COMPANY**

This affidavit must be submitted within two weeks before execution of legal agreements (e.g., closing, lease signing, etc.), except that a Pre-Transaction Affidavit is not required for approval of the incorporation of an HDFC.

Name \_\_\_\_\_

EIN/SSN \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Fax Number ( ) \_\_\_\_\_

Date Disclosure Statement executed: \_\_\_\_\_

Under penalty of perjury, I hereby certify to the City of New York Department of Housing Preservation and Development ("HPD"), that:

1. I am the \_\_\_\_\_ of \_\_\_\_\_ ("Limited Liability Company"), the limited liability company which will take the actions checked below with respect to the project named above ("Project"):

- \_\_\_ purchase City-owned property
- \_\_\_ receive an HPD loan
- \_\_\_ be retained as a general contractor by the recipient of an HPD loan
- \_\_\_ enter into a Regulatory Agreement with HPD
- \_\_\_ be retained as a general contractor or Administering Agent by a party which has entered into a Regulatory Agreement with HPD
- \_\_\_ enter into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ be retained as a general contractor by a party which has entered into a Site Development Agreement, Site Development And Management Agreement, or similar agreement with the owner of property to be developed or rehabilitated through an HPD program
- \_\_\_ lease or net lease City-owned property
- \_\_\_ be retained as a managing agent by the net lessee of City-owned property or by a Mitchell-Lama housing company
- \_\_\_ acquire an ownership interest in property which is encumbered by a City mortgage and/or owned by a Mitchell-Lama housing company or a Redevelopment Company
- \_\_\_ license City-owned property

2. I make this affidavit in order to induce the Department of Housing Preservation and Development ("HPD") of the City of New York to execute binding legal documents with respect to the Project (collectively, "Agreements").

3. The members of the Limited Liability Company, and their percentage interests, are as follows:

\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%

\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%

\_\_\_\_\_, \_\_\_\_%      \_\_\_\_\_, \_\_\_\_%

4. The officers and directors of the Limited Liability Company, and their titles, are as follows:



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

5. The Limited Liability Company will retain \_\_\_\_\_ as the General Contractor.
6. The information stated above is true and correct as of the date of this affidavit.
7. The Disclosure Statements submitted by the parties identified above remain accurate as of the date of this affidavit, and no events or information that occurred or became known subsequent to the date of execution of such Disclosure Statements would require revision of any of the answers therein or supplements thereto.

\_\_\_\_\_  
SIGNATURE

Sworn to before me this  
day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
NOTARY PUBLIC

