

**NEW YORK CITY HOUSING AUTHORITY**  
**SECTION 3 BUSINESS CONCERN REGISTRATION FORM**

**WHAT IS A SECTION 3 RESIDENT?**

A Section 3 resident is:

- A public housing resident OR
- A low- or very low-income person, residing in the metropolitan area.

*Low income or Very low-income persons are defined as families whose incomes do not respectively exceed 80% or 50% of the median income (varies by household size) for the area (see chart on page 2).*

**WHAT IS A SECTION 3 BUSINESSES CONCERN?**

A Section 3 Business Concern is a business:

- That is at least 51% or more owned by Section 3 residents, or
- Whose permanent full-time employees include persons, at least 30% of whom are currently Section 3 residents, or within 3 years of the date of first employment with the business concern were Section 3 residents, or
- That provides evidence of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications in either of the two preceding bullet points.

**WHAT IS A REGISTERED SECTION 3 BUSINESS CONCERN?**

- A Registered Section 3 Business Concern is a Section 3 Business Concern that has registered with NYCHA, through the successful submission of this form, and subsequently receives acknowledgement by NYCHA of its Section 3 Business Concern status via the posting of its business in the publicly accessible database referred to below.
- Please be advised that by registering as a “Section 3 Business Concern,” your business will be added to a publicly accessible database of NYCHA recognized Section 3 Businesses Concerns that NYCHA and/or its contractors/vendors can access to fulfill the Section 3 Business Concern provisions in NYCHA’s contracts with its contractors/vendors.
- Such registration is not a guarantee that your business will be awarded any contracts or subcontracts by NYCHA or its contractors/vendors.
- In the event that NYCHA or any contractor seeks to award any contract or subcontract to you, you will be required at the time of contracting (or subcontracting) to submit to NYCHA a completed, signed, and notarized Certification of Section 3 Business Concern Status Form, confirming that there has been no change in your status as a Section 3 Business Concern since your last registration as such with NYCHA. A copy of the Certification of Section 3 Business Concern Status Form is included with this registration form.
- This registration will be effective for three years from the date that your business is posted in the publicly accessible database identified above. NYCHA, however, reserves the right to request your business to re-register as a Section 3 Business Concern at any time. Failure to re-register as a Section 3 Business Concern, either after the expiration of the three year period or upon NYCHA’s request, will ultimately result in the removal of your business from the database



Use the chart below to check if you and or your workforce qualify as low-income status .

2013 Low-Income Calculations for New York Metro Area*									
Area Median Income	FY 2013 Income Limit Category	1 person household	2 person household	3 person household	4 person household	5 person household	6 person household	7 person household	8 person household
\$63,000	Low Income (80% AMI)	\$48,100	\$55,100	\$61,850	\$68,700	\$74,200	\$79,700	\$85,200	\$90,700
	Very Low Income (50% AMI)	\$30,100	\$34,400	\$38,700	\$42,950	\$46,400	\$49,850	\$53,300	\$56,700
	Extremely Low Income (50% AMI)	\$18,050	\$20,600	\$23,200	\$25,750	\$27,850	\$29,900	\$31,950	\$34,000

\*The New York, NY HUD Metro FMR Area is comprised of the following counties: Bronx County, New York; Kings County, New York; New York County, New York; Putnam County, New York; Queens County, New York; Richmond County, New York; Rockland County\*\*, New York; and Westchester County\*\*, New York.

**Business Information**

**Business Name** \_\_\_\_\_

**Registered Business?** (check one)     Yes     No

**NYCHA Vendor #** \_\_\_\_\_                      **Registered Business?** (check one)  Yes  No

**Type of Business Entity?** (check one)

- Sole-Proprietorship                       General Partnership                       Limited Partnership  
 Limited Liability Company (LLC)                       Corporation                       Other: \_\_\_\_\_

**Business Supplies/Service:**

*Indicate the services that you provide. Check all applicable boxes.*

- HVAC/Plumbing                       Electrical Work                       Construction Management  
 Legal                       Catering                       Water Heater Repairs & Installation  
 Technology Consulting                       Property Appraisals                       Messenger  
 Consulting                       Painting                       Janitorial  
 Property Management                       Demolition  
 Other: \_\_\_\_\_

*Indicate the supplies that you provide. Check all applicable boxes.*

- Technology                       Office                       Tools/Hardware  
 Electrical/Lighting                       Paint/Sundries                       HVAC/Plumbing  
 Janitorial                       Other: \_\_\_\_\_

**Have you ever contracted with a government entity?** (check one)     Yes     No

a. What is the name of the government entity/ies (attach additional sheets if necessary):

\_\_\_\_\_

\_\_\_\_\_



b. If yes, what was the approximate dollar value of the largest contract held?

\$0 - \$4,999.99

\$5,000 to \$9,999.99

\$10,000 - \$24,999.99

\$25,000 to \$49,999.99

\$50,000 to \$99,999.99

\$100,000+

**Are you a certified MWSBE?** (check all that apply)  Yes, NYS  Yes, NYC  Yes, NYCHA  No

\_\_\_\_\_  
**EIN:**

\_\_\_\_\_  
**Website:**

\_\_\_\_\_  
**Contact Title:**

\_\_\_\_\_  
**First Name:**

\_\_\_\_\_  
**Last Name:**

\_\_\_\_\_  
**Business Address:**

\_\_\_\_\_  
**City:**

\_\_\_\_\_  
**State:**

\_\_\_\_\_  
**Zip:**

\_\_\_\_\_  
**Contact Number:**

\_\_\_\_\_  
**Email Address:**

\_\_\_\_\_  
**If you are a NYCHA resident, please provide the name of your development:**

<b>Verification</b>
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**Section 3 Business Concerns must present evidence of their Section 3 Business Concern status to NYCHA in order to complete registration.**

**Step 1:** Please submit the following documentation as evidence to verify your business as a Section 3 Business Concern:

**A. Proof of ownership. Submit the required documentation under your business type only:**

**Sole Proprietorship**

Owner's individual federal tax return (most recently completed tax year)

**Limited Liability Company (LLC)**

Articles of organization

LLC operating agreement, with a list owners/members and ownership percentage held by each (on a fully diluted basis)

**Partnership**

Certificate of limited or general partnership, if one exists

Partnership Agreement, with list of partners and ownership percentage held by each (on a fully diluted basis)

**Corporation**

Certificate of Incorporation

<sup>1</sup> A fully diluted basis means the ownership percentage or the number of shares outstanding, as applicable, that your business would have if all agreements, debt and other instruments that could be converted into equity were exercised. For example, if your business currently has 100 share issued, as well as debt that is convertible into 100 shares, your business has 200 shares on a fully diluted basis.



- Bylaws
- Shareholders' Agreement, if one exists
- List of shareholders and number of shares of stock held by each (on a fully diluted basis)
- Corporation's Annual Report and latest Biennial Statement

**B. Corporate Acknowledgment:**

Other than with respect to a sole proprietorship, please submit a corporate resolution or minutes of, as applicable, the controlling person of your business (i.e. managing partner, director, manager, managing member) or governing body of your business (i.e. board of directors, board of managers) that authorizes your business to submit this form and authorizes the signatory hereon to sign this form on behalf of your business.

**C. Address Verification:**

- Driver's License or another State Identification
- Proof of Address (If your address on the form does not match your address on your State ID or Driver's License)

**Step 2A:** Select **one (1)** category below that qualifies your business as a Section 3 business.

- Business is owned, at least 51%, by Section 3 residents.
- Business in which 30% of its permanent full-time employees include persons, at least 30% of whom are currently Section 3 residents, or within 3 years of the date of first employment with the business concern were Section 3 residents
- Business claiming Section 3 Business Concern status by providing evidence of a commitment to subcontract in excess of 25% of the dollar award of all subcontracts to be awarded to business concerns that meet the qualifications in either of the two preceding bullet points.

**Step 2B: Submit the necessary documentation under your Section 3 business concern category.**

- Business is owned, at least 51%, by Section 3 residents. Submit ONE (1) of the following documents as proof of status.**
  - Copy of the New York City Housing Authority (NYCHA) resident lease and your most current NYCHA lease addendum
  - Copy of your most recent NYCHA's household composition letter
  - Copy of receipt of public assistance (e.g. Temporary Assistance to Needy Families (TANF) recipients, etc.)
  - Copy of most recent personal income tax return (if the other documents are not available)



**Business in which 30% of its permanent, full-time workforce are currently Section 3 residents. Submit ALL the following documents as proof of status.**

- List of current full-time employees
- List of employees claiming Section 3 status
- Payroll from the last 3 months
- Section 3 resident certification form completed by **all** Section 3 employees (**See Page 6**).

**Business claiming Section 3 status by subcontracting 25% of the dollar awarded to Section 3 business residents. Submit ALL the following documents as proof of status.**

- Proof of successful Section 3 registration for the Section 3 subcontractors
- Notice of contract award or copy of contract (Will remain in pending status until contract is awarded)
- List of subcontracted Section 3 business(es) and subcontract amount(s)

**I hereby certify that the information provided by me to be true and correct, and understand that falsification of any information could subject me and the business entity to disqualification from participation and punishment under the law.**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Company Name

\_\_\_\_\_  
Position in Company

\_\_\_\_\_  
Notary Signature

\_\_\_\_\_  
Date

Mail signed and notarized form to:

**New York City Housing Authority (NYCHA)**  
**Department of Resident Economic Empowerment & Sustainability (REES)**  
**Resident Business Development Unit**  
787 Atlantic Avenue, 2nd Floor  
Brooklyn, NY 11238  
Attn: Section 3 Business Concern Certification



# New York City Housing Authority's Section 3 Resident Certification Form

For businesses that claim Section 3 status because at least 30% of their permanent full-time workforce is Section 3 residents (Please submit a certificate for each such Section 3 residents).

Name of Business: \_\_\_\_\_

Name of Employee: \_\_\_\_\_

Address of Employee: \_\_\_\_\_

Date of Hire: \_\_\_\_\_

**The following must be completed and signed by each permanent, full-time employee who is claiming to meet HUD's Section 3 income requirement:**

I, \_\_\_\_\_, certify as follows:

I am a legal resident of New York City.

**The number of people in my household is:** \_\_\_\_\_

**My total gross annual household income is:** \_\_\_\_\_

**I am a resident of the New York City Housing Authority:**  Yes  No

### Verification and Agreement to Provide Documentation upon Request

I swear that the above information is true and correct to the best of my knowledge, information and belief.

I understand that this information is subject to verification by the U.S. Department of Housing and Urban Development (HUD) and by agencies receiving HUD funding. **I agree to give HUD and/or Section 3 Recipient Agencies all documentation that they may request concerning my residence and my household income as of the initial Date of Hire, including, but not limited to, a copy of my household's federal income tax return.**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



**CERTIFICATION OF SECTION 3 BUSINESS CONCERN STATUS FORM**

I, [Enter Your Name] \_\_\_\_\_, being duly sworn, state that I have read and understand all of the Items contained in the Section 3 Business Concern Registration Form (the “**Registration Form**”) that was submitted by [Enter the Name of Your Business] \_\_\_\_\_ (the “**Business**”) to the New York City Housing Authority (“**NYCHA**”) in connection with the registration of the Business as a Section 3 Business Concern (as defined in the Registration Form).

I hereby certify as of the date hereof that (a) the Business meets the requirements of a Section 3 Business Concern, and (b) there has been no material change to the information disclosed in the Registration Form (or the information provided in connection therewith) that the Business used to verify its Section 3 Business Concern Status.

I understand that NYCHA and its contractors may rely on the Registration Form and this certificate in connection with the award of a contract, subcontract, or contracting opportunity to the Business. **I further understand that falsification of any information could subject me and the Business to revocation of any such contract or subcontract awards, disqualification from any NYCHA Section 3 programs or benefits with respect thereto, and penalties or punishments under applicable laws.**

**Name of Business** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Print Name:** \_\_\_\_\_

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

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

Subscribed to under penalty of perjury under the laws of the State of \_\_\_\_\_, this

\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_ as the act and deed of said Business.

\_\_\_\_\_



**For Office Use Only**

Form Reviewed By: \_\_\_\_\_

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

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

Phone Number: \_\_\_\_\_

Status: (check one)     Approved     Rejected     Pending

Reason for Approval:

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Reason for Rejection:

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Reason for Pending:

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Notes:

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