



IVY ENGINEERING

Exit
Bryant Park
42 Street &
6 Avenue

Downtown &
Brooklyn



CONTRACT SPECIFIC RESPONSIBILITY FORM

This form is to be submitted after Contractor is notified that it is the low bidder, or has otherwise been selected for a contract award, or as directed by MTA. Significant Subcontractors that are proposed to work on the contract referenced below are also required to complete this form. A Significant Subcontractor is defined as: subcontracts in which the subcontractor is proposed to perform work (i) valued at \$1 million or more and more than 10% of the prime contract value; or (ii) valued at \$5 million or more; or (iii) in Special Circumstances subcontracts of \$100,000 or more.

Contract #: A37149 (the "Contract").

Contractor/Subcontractor name: IVY Engineering Group PLLC

If Subcontractor, provide prime Contractor name: C.A.C. Industries, Inc

1. TECHNICAL RESOURCES

Attach an explanation that will assist the MTA in determining whether Contractor or Significant Subcontractor have the necessary technical resources to perform the Contract work. Please include information relating to staffing, facilities, equipment, and tools that Contractor or Significant Subcontractor will commit to the performance of this Contract. If this information has already been provided elsewhere, please note the section of the bid/proposal that is responsive.

See Section: SOQ

Please check this box if a separate sheet providing an explanation is attached.

2. LICENSES

Please list any licenses, permits, or certifications that Contractor or Significant Subcontractor or your employees hold that may be relevant to this Contract. If the license, permit or certification has been revoked or suspended, please state so and explain the details.

License/Permit/Certification	Name of Holder	Issuing State or Entity
PE	Samira Ayati	New York - Education Department
DBIA	Samira Ayati	The Design-Build Institutue of America
OSHA30	Samira Ayati	360 Training
ENV SP	Samira Ayati	Envision Sustainability Professional



3. Have any of Contractor or Significant Subcontractor officers, partners, owners, managers, or employees had any (irrespective of whether they are contract specific) licenses, permits, or certifications revoked or suspended in the past three years? If “Yes”, explain details below (or attach a separate sheet).

No

4. PERFORMANCE BOND INFORMATION

(This section is only applicable to solicitations in which the Contractor is required to provide a performance bond. This section is not applicable to Significant Subcontractors.)

Provide the names and addresses of the surety or sureties that will provide the performance bond required by this Contract.

Name	Address	Amount

5. SUBCONTRACTS

(This section is not applicable to Significant Subcontractors.)

Which portions of this Contract, if any, does Contractor expect to subcontract? Attach an additional sheet if necessary. If subcontractors are not currently identified, you may insert TBD in the cell titled, Name and Address of Proposed Subcontractor(s).

Name and Address of Proposed Subcontractor(s)	Portion of Work	Estimated \$ Value of Work

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6. PRIOR MTA EMPLOYEES

List all employees of the Contractor who are or have been MTA or any MTA subsidiary or affiliate employees who were involved on behalf of Contractor or any subcontractor (including but not limited to Significant Subcontractors) with the preparation of the bid/proposal for the Contract or would be involved in the performance of the Contract if it is awarded to Contractor.

The acronyms in the charts below have the meanings described in **Paragraph 8 – MTA SUBSIDIARY ACRONYMS**.

Name: _____

Previously or currently employed by: (check as appropriate)

MTA HQ NYCT MaBSTOA SIRTOA MNR LIRR
MTA B&T MTA C&D MTA BUS MTA GCMC

Name: _____

Previously or currently employed by: (check as appropriate)

MTA HQ NYCT MaBSTOA SIRTOA MNR LIRR
MTA B&T MTA C&D MTA BUS MTA GCMC

Contractors and subcontractors are reminded that Section 73 of the Public Officers Law and the MTA Vendor Code of Ethics place strict limitations on former MTA employees being employed by or receiving compensation from MTA Contractors, Subcontractors, bidders or proposers.

7. FINANCIAL INFORMATION

(This section is not applicable to Significant Subcontractors.)

Contractor confirms that it has submitted certified copies of its financial statements for the past three (3) fiscal years and the Financial Responsibility Data Workbook to the Document Repository. If Contractor does not have certified financial statements, it should provide financial statements sworn to by Contractor's Chief Financial Officer, along with any other relevant information that will assist the MTA in evaluating and determining whether the contractor has sufficient financial resources to perform the Contract.

8. MTA AGENCY ACRONYMS

MTA HQ: Metropolitan Transportation Authority Headquarters

NYCT: MTA New York City Transit

MaBSTOA: Manhattan Bronx Surface Transit Operating Authority

SIRTOA: Staten Island Rapid Transit Operating Authority

MNR: MTA Metro-North Railroad

LIRR: MTA Long Island Rail Road

MTA B&T: MTA Bridges and Tunnels

MTA C&D: MTA Construction and Development Company

MTA Bus: MTA Bus

MTA GCMC: MTA Grand Central Madison Concourse Operating Company

CERTIFICATION

I am duly authorized to sign this Schedule B1 on behalf of the Contractor or Significant Subcontractor and affirm that the information contained in this document is true, accurate and complete. I authorize the MTA to verify the information contained in this schedule and to conduct any background checks or other investigations it deems appropriate.

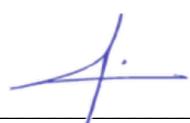
I understand and agree that typing my name or attaching a digital signature in the space below will have the same force and legally binding effect as my original handwritten signature.

Date: 02/24/2025

IVY Engineering Group PLLC

[enter full legal name of Contractor]

By:



[Signature of Authorized Officer]

Samira Ayati

[Name of Authorized Officer]

CEO and President

[Title of Authorized Officer]

SCHEDULE C

5 Av-
Bryant
Park

Lobbying Law

Uploaded to the Document Repository for all Major Participants.

SCHEDULE D

5 Av-
Bryant
Park

MTA Vendor Code of
Ethics



C.A.C. INDUSTRIES, INC.



CERTIFICATION REGARDING THE MTA VENDOR CODE OF ETHICS

Bid/Proposal No.: A37149

Project Description: Design-Build Services for Accessibility Upgrades at 42nd St-Bryant Park & Fifth Avenue Stations

C.A.C. Industries, Inc. (Vendor name) hereby certifies, by submission of this bid or proposal, to the best of its knowledge and belief, that:

1. It has been provided with a copy of the MTA Vendor Code of Ethics (the "Code") and will comply with all of the provisions of the Code;
2. All of its Participating Employees (as defined in the Code) during the course of the procurement or contract have been or will be provided with a copy of the Code prior to each of those employee's participation in the procurement;
3. All Participating Employees have completed the acknowledgment required by Section 8.02 of the Code ("Participating Employee Acknowledgements") to the effect that they have received, read, understand, and will comply with the Code;
4. It will retain all of the signed Participating Employee Acknowledgements through the completion of performance of the contract;
5. It will continue to distribute the Code, obtain signed Participating Employee Acknowledgements, and retain all of the signed acknowledgements through the completion of performance of the contract; and
6. It will obtain certifications similar to those made herein from all of its lower tier subcontractors, subconsultants and suppliers that the Bidder engaged or are being solicited for work under any contract resulting from this procurement whose employees have communicated or may communicate with MTA employees during the course of the procurement and through the completion of performance of the contract. Receipt and retention of these lower tier certifications shall be subject to audit by the Authority.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a condition of being considered for the award of any contract above the MTA's small purchase threshold.

Executed this 05 day of March, 2025.

By _____ Signature of Authorized Official

Michael A. Capasso - President

Name and Title of Authorized Official



PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT
REGARDING MTA VENDOR CODE OF ETHICS

Company: C.A.C. Industries, Inc.

Bid/Proposal No.: A37149

I, Oswald Calderon, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 03/21/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C. Industries, Inc. (Vendor name) and the MTA.

Executed this 21 day of March, 2025.

By Oswald Calderon Signature of Employee

Oswald Calderon Name and Title of Employee



PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT
REGARDING MTA VENDOR CODE OF ETHICS

Company: C.A.C. Industries, Inc.

Bid/Proposal No.: A37149

I, Isaiah Millington, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 03/21/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C. Industries, Inc. (Vendor name) and the MTA.

Executed this 21 day of March, 2025.

By Isaiah Millington Signature of Employee

Isaiah Millington Name and Title of Employee



**PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT
REGARDING MTA VENDOR CODE OF ETHICS**

Company: C.A.C. Industries, Inc.

Bid/Proposal No.: A37149

I, Bill Flaherty, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 03/21/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C. Industries, Inc. (Vendor name) and the MTA.

Executed this 21 day of March, 2025.

By  Signature of Employee

Bill Flaherty - Safety Manager Name and Title of Employee



PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT REGARDING MTA VENDOR CODE OF ETHICS

Company: C.A.C. Industries, Inc.

Bid/Proposal No.: A37149

I, Michael A. Capasso, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 03/05/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C. Industries, Inc. (Vendor name) and the MTA.

Executed this 05 day of March, 2025.

By  Signature of Employee
Michael A. Capasso - President Name and Title of Employee



AECOM USA, INC.

Exit Bryant Park
42 Street &
6 Avenue

Downtown &
Brooklyn

B D
F M



CERTIFICATION REGARDING DISTRIBUTION OF MTA VENDOR CODE OF ETHICS

Bid/Proposal No.:

A37149

Project Description:

Design-Build Services for Accessibility Upgrades at 42nd St-Bryant Park & Fifth Avenue Stations

The prospective lower tier participant AECOM USA, Inc. (subcontractor, subconsultant, or supplier name) hereby certifies, by submission of this bid or proposal to C.A.C. Industries, Inc. [prime contractor] in connection with the MTA bid or proposal number referenced above, to the best of its knowledge and belief, that all officers and personnel who have communicated or may communicate with MTA employees during the course of the procurement and through the completion of performance of the contract have been provided with a copy of the MTA Vendor Code of Ethics prior to each of these employee's participating in the procurement.

Executed this 12th day of March, 2025.

By

A handwritten signature in black ink, appearing to read "Anil Parikh".

Signature of Authorized Official

Anil Parikh, PE, Vice President

Name and Title of Authorized Official



**PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT
REGARDING MTA VENDOR CODE OF ETHICS**

Company: AECOM USA, Inc.

Bid/Proposal No.: A37149

I, Anil Parikh, PE, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 3/12/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C. Industries, Inc. (Vendor name) and the MTA.

Executed this 12th day of March, 20 25.

By  Signature of Employee

Anil Parikh, PE, Vice President Name and Title of Employee



**PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT
REGARDING MTA VENDOR CODE OF ETHICS**

Company: AECOM USA, Inc.

Bid/Proposal No.: A37149

I, Eric Ross, QEI, EIT, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 3/12/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C. Industries, Inc. (Vendor name) and the MTA.

Executed this 12th day of March, 20 25.

By  Signature of Employee

Eric Ross, QEI, EIT, Vertical Transportation Specialist Name and Title of Employee



PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT REGARDING MTA VENDOR CODE OF ETHICS

Company: AECOM USA, Inc.

Bid/Proposal No.: A37149

I, Tom Stein, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 3/12/2025 and that I understand it and will comply with this Code in my participation in procurements between C.A.C Industries, Inc. (Vendor name) and the MTA.

Executed this 12th day of March, 2025.

By  Signature of Employee

Tom Stein, PE, Senior Program Manager Name and Title of Employee

MID-AMERICAN ELEVATOR

Exit Bryant Park
42 Street &
6 Avenue

Downtown &
Brooklyn

B D
F M



CERTIFICATION REGARDING DISTRIBUTION OF MTA VENDOR CODE OF ETHICS

Bid/Proposal No.: A37149

Project Description: Design-Build Services for Accessibility Upgrades at 42nd St-Bryant Park & Fifth Avenue Stations

The prospective lower tier participant Mid-American Elevator Co., Inc. (subcontractor, subconsultant, or supplier name) hereby certifies, by submission of this bid or proposal to C.A.C. Industries, Inc. [prime contractor] in connection with the MTA bid or proposal number referenced above, to the best of its knowledge and belief, that all officers and personnel who have communicated or may communicate with MTA employees during the course of the procurement and through the completion of performance of the contract have been provided with a copy of the MTA Vendor Code of Ethics prior to each of these employee's participating in the procurement.

Executed this 17 day of February, 2025.

By Michael Cullen Bailey Digital signature by Michael Cullen Bailey
Date: 2025.02.17 11:54:03 -06'00' Signature of Authorized Official

M. Cullen Bailey - President Name and Title of Authorized Official



PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT REGARDING MTA VENDOR CODE OF ETHICS

Company: Mid-American Elevator Co., Inc.

Bid/Proposal No.: A37149

I, M. Cullen Bailey, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 02/21/2025 and that I understand it and will comply with this Code in my participation in procurements between Mid-American Elevator Co., Inc. (Vendor name) and the MTA.

Executed this 17 day of February, 2025.

By Michael Cullen Bailey Digital signature placeholder
Date: 2025.02.17 11:54:21 -06'00'

Signature of Employee

M. Cullen Bailey - President

Name and Title of Employee

A photograph of a subway station platform. In the foreground, two workers wearing hard hats and safety vests stand near a white metal barrier. One worker is looking at a phone. In the background, there's a large green circular graphic. Above the workers, a red sign says "Exit" and "Bryant Park 42 Street & 6 Avenue". To the right, a green sign says "Downtown & Brooklyn" with symbols for B, D, F, and M trains. A yellow arrow points down. The platform has grey tiled walls and a white ceiling with pipes.

MODERN ELEVATOR INSTALLATIONS



CERTIFICATION REGARDING DISTRIBUTION OF MTA VENDOR CODE OF ETHICS

Bid/Proposal No.: A37149

Project Description: Design-Build Services for Accessibility Upgrades at 42nd St-Bryant Park & Fifth Avenue Stations

The prospective lower tier participant Modern Elevator Installations Incorporated (subcontractor, subconsultant, or supplier name) hereby certifies, by submission of this bid or proposal to C.A.C. Industries, Inc. [prime contractor] in connection with the MTA bid or proposal number referenced above, to the best of its knowledge and belief, that all officers and personnel who have communicated or may communicate with MTA employees during the course of the procurement and through the completion of performance of the contract have been provided with a copy of the MTA Vendor Code of Ethics prior to each of these employee's participating in the procurement.

Executed this 21 day of February, 2025.

By

A handwritten signature in blue ink, appearing to read "Nikki Brown".

Signature of Authorized Official

Nikki Brown, VP, Administration

Name and Title of Authorized Official



**PARTICIPATING EMPLOYEE ACKNOWLEDGEMENT
REGARDING MTA VENDOR CODE OF ETHICS**

Company: Modern Elevator Installations Incorporated

Bid/Proposal No.: A37149

I, Nikki Brown, acknowledge that I have received and read the Metropolitan Transportation Authority's Vendor Code of Ethics on 2/21/25 and that I understand it and will comply with this Code in my participation in procurements between Modern Elevator Installations (Vendor name) and the MTA.
Incorporated

Executed this 21 day of February, 2025.

By  Signature of Employee

Nikki Brown, VP, Administration Name and Title of Employee