Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC
NEW YORK CANNA
Serving New York State locally, ethically, and securely.

VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

SITE PLAN LEGEND

- BUILDING AREA OCCUPIED BY NY CANNA
- SITE SECURED & OCCUPIED BY NY CANNA
- BUILDING AREA OCCUPIED BY OTHER TENANT
- PROPERTY LINE
- FIRE HYDRANT
- FIRE DEPT CONNECTION
- WATER SHUT OFF
- SECTION VALVE
- RSR — RISER
- FAP — FIRE ALARM PANEL
- CONCRETE WALK

PARKING

INDUSTRIAL USE:
1 SPACE / 2 EMPLOYEES DURING MAX SHIFT

ASSUME 100 EMPLOYEES:
50 PARKING SPACES REQ'D

50 PARKING SPACES PROVIDED (WITH AREA FOR ADD'L PARKING IF NEEDED)

0' 25' 50' 100'

SITE PLAN

A-100

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

DEMO LEGEND

- DEMOLISHED
- EXISTING TO REMAIN
- PH — MECHANICAL / ELECTRICAL PENTHOUSE ABOVE
- OTHER TENANT

0' 16' 32' 64'

DEMO PLAN

A-101

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

SPACE USE TYPE

- Pre-Flowering
- Flowering
- Post-Flowering
- Security
- Cafeteria
- Support
- Circulation
- Exit Passageway
- Other Tenant

SPACE NAME

1	RECEIVING
2	MOTHER PLANTS
3	PROPAGATION
4	VEGETATIVE GROWTH
5	TISSUE CULTURE/CLONE
6	FLOWERING
7	DRYING & TRIMING
8	EXTRACTING/REFINING
9	LABORATORY
10	FINAL MMP PRODUCTION
11	SECURE STORAGE
12	SHIPPING GARAGE
13	SECURITY OFFICE (SOC)
14	VESTIBULE
15	CAFETERIA
16	SERVERY
17	KITCHEN
18	TOILET ROOM
19	LOCKER ROOM
20	CONTROL ROOM
21	MECHANICAL
22	CIRCULATION
23	EXIT PASSAGEWAY
24	SECURITY CHECKPOINT

0' 16' 32' 64'

FLOOR PLAN

A-102

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

PHASE LEGEND

- Phase 1
- Phase 2
- Phase 3
- Phase 4
- Other Tenant

0' 16' 32' 64'

PHASING PLAN

A-103

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

0' 8' 16' 32'

NORTH SIDE FLOWERING

A-104

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

0' 8' 16' 32'

SOUTH SIDE FLOWERING

A-105

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

USE LEGEND

- AGRICULTURE
- AGRICULTURE (F)
- ASSEMBLY
- BUSINESS
- EXIT PASSAGEWAY
- INDUSTRIAL
- STORAGE/MECHANICAL
- SUPPORT
- OTHER TENANT

BUILDING CODE LEGEND

	CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE
	1-HOUR FIRE BARRIER WALL
IUA	INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2
CA	CONTROL AREA W/ SEPARATION PER TABLE [BC] 414.2.2
EP	1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021
CPoET	COMMON PATH OF EGRESS TRAVEL
TD	TRAVEL DISTANCE
DE	DEAD END

0' 16' 32' 64'

BUILDING CODE PLAN

A-106

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

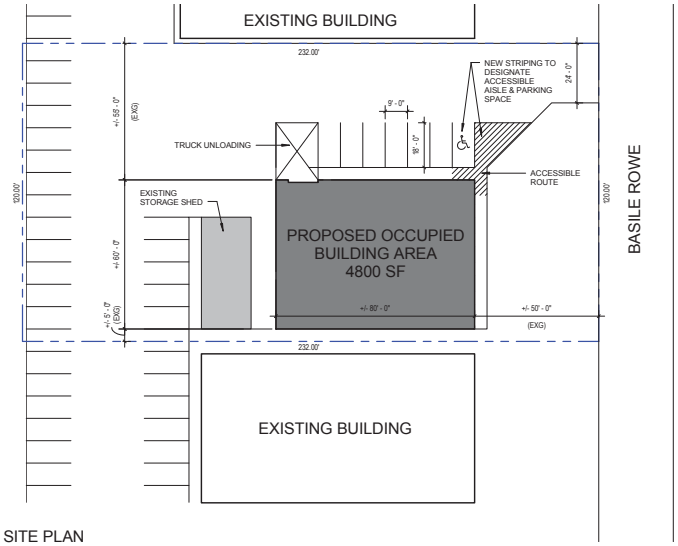
DOOR & PARTITION LEGEND

- 1-HOUR FIRE BARRIER WALL
- DOOR TAG
  - X — DOOR TYPE
  - XX — EGRESS WIDTH REQ'D
- 1-HOUR FIRE-RATED FIRE BARRIER WALL (W/ SPRINKLER SYSTEM) - INCIDENTAL USE AREA
- 1-HOUR FIRE-RATED FIRE BARRIER WALL - CONTROL AREA
- 1-HOUR FIRE-RATED FIRE BARRIER WALL - EXIT PASSAGEWAY
- 1-HOUR FIRE-RATED FIRE BARRIER WALL (W/ SPRINKLER SYSTEM) - A-2 USE SEPARATION
- NEGATIVE PRESSURE CORRIDOR - SMOKE BARRIER WALL

0' 16' 32' 64'

DOOR & PTYPES PLAN

A-107



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

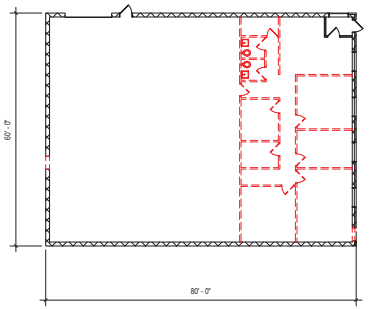
PARKING

PROFESSIONAL OFFICE USE:
1 SPACE / 200 GROSS SQUARE FEET OF FLOOR AREA

4434 GROSS SQUARE FEET:
23 PARKING SPACES REQ'D

24 PARKING SPACES ON SITE

0' 12.5' 25' 50'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

IUA — INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2

EP — 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021

CPoET — COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

BUILDING CODE TRAVEL DISTANCES:

MAXIMUM EXIT ACCESS TRAVEL DISTANCE (TABLE [BC] 1016.1)

200' MAXIMUM → A, B OCCUPANCY (300' @ S-2 OCCUPANCY) W/O SPRINKLER SYSTEM

COMMON PATH OF EGRESS TRAVEL (SECTION [BC] 1014.3)

100' MAXIMUM → B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM → OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION [BC] 1017.3)

50' MAXIMUM → B OCCUPANCY W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 EXCEPTION 2)

20' MAXIMUM → OCCUPANCY OTHER THAN B W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 W/O EXCEPTION)

NOTE: NOT LIMITED IN LENGTH WHERE LENGTH IS LESS THAN 2.5 TIMES THE LEAST WIDTH (SECTION [BC] 1017.3 EXCEPTION 3)

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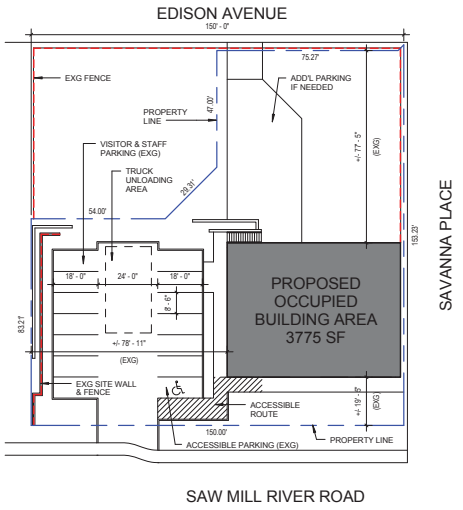
VIP STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY FACILITY A

6518 BASILE ROWE
E. SYRACUSE, NY 13057

PLANS
DISPENSARY FACILITY A

A-200



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

PARKING

MEDICAL ESTABLISHMENT (GROUND FLOOR):
1 SPACE / 200 GROSS SQUARE FEET OF FLOOR AREA

3330 GROSS SQUARE FEET:
17 PARKING SPACES REQ'D

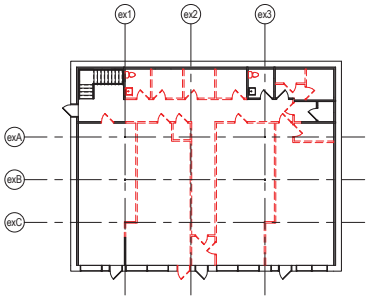
BUSINESS ESTABLISHMENT (BASEMENT):
1 SPACE / 300 GROSS SQUARE FEET OF FLOOR AREA

2700 GROSS SQUARE FEET:
9 PARKING SPACES REQ'D

26 TOTAL PARKING SPACES REQ'D

14 PARKING SPACES EXG ON SITE W/ ADDITIONAL AREA FOR PARKING ON LOWER LEVEL OF SITE

0' 12.5' 25' 50'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

FLOOR PLAN

0' 8' 16' 32'

BUILDING CODE PLAN

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

IUA INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2

EP 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021

CPoET COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

BUILDING CODE TRAVEL DISTANCES:

MAXIMUM EXIT ACCESS TRAVEL DISTANCE (TABLE [BC] 1016.1)

300' MAXIMUM

300' @ B OCCUPANCY (250' @ A, S-2 OCCUPANCY) W/ SPRINKLER SYSTEM

COMMON PATH OF EGRESS TRAVEL (SECTION [BC] 1014.3)

100' MAXIMUM — B, S OCCUPANCY W/ SPRINKLER SYSTEM

100' MAXIMUM — B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM — OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION [BC] 1017.3)

50' MAXIMUM — B OCCUPANCY W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 EXCEPTION 2)

20' MAXIMUM — OCCUPANCY OTHER THAN B W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 W/O EXCEPTION)

NOTE: NOT LIMITED IN LENGTH WHERE LENGTH IS LESS THAN 2.5 TIMES THE LEAST WIDTH (SECTION [BC] 1017.3 EXCEPTION 3)

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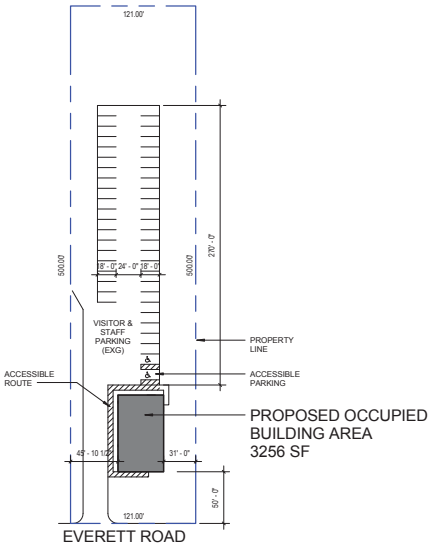
VIP STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY FACILITY B

1291 SAW MILL RIVER RD.
YONKERS, NY 10710

PLANS
DISPENSARY FACILITY B

A-300



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

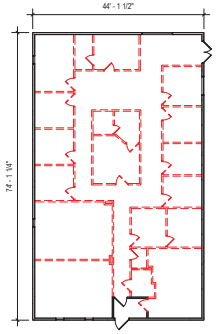
PARKING

MEDICAL OFFICE:
1 SPACE / 175 GROSS SQUARE FEET OF FLOOR AREA

3256 GROSS SQUARE FEET:
19 PARKING SPACES REQ'D

45 PARKING SPACES EXG ON SITE

0' 30' 60' 120'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

IUA — INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2

EP — 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021

CPoET — COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

BUILDING CODE TRAVEL DISTANCES:

MAXIMUM EXIT ACCESS TRAVEL DISTANCE (TABLE [BC] 1016.1)

200' MAXIMUM → A, B OCCUPANCY (300' @ S-2 OCCUPANCY) W/O SPRINKLER SYSTEM

COMMON PATH OF EGRESS TRAVEL (SECTION [BC] 1014.3)

100' MAXIMUM → B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM → OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION [BC] 1017.3)

50' MAXIMUM → B OCCUPANCY W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 EXCEPTION 2)

20' MAXIMUM → OCCUPANCY OTHER THAN B W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 W/O EXCEPTION)

NOTE: NOT LIMITED IN LENGTH WHERE LENGTH IS LESS THAN 2.5 TIMES THE LEAST WIDTH (SECTION [BC] 1017.3 EXCEPTION 3)

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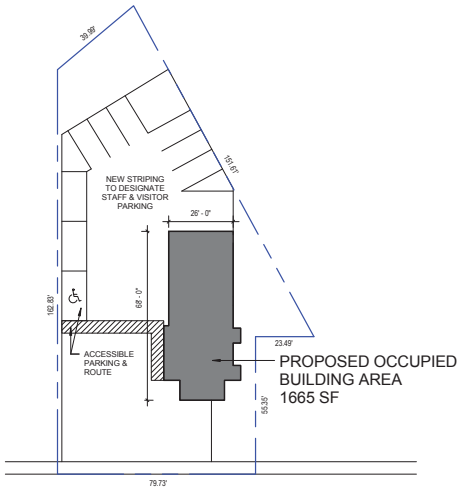
VIP STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY FACILITY C
105 EVERETT RD.
ALBANY, NY 12205

PLANS
DISPENSARY FACILITY C

A-400



UPPER FRONT STREET

SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

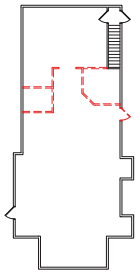
PARKING

MEDICAL OFFICE:
1 SPACE / 250 GROSS SQUARE FEET OF FLOOR AREA

1665 GROSS SQUARE FEET:
7 PARKING SPACES REQ'D

9 PARKING SPACES PROVIDED ON SITE

0' 12.5' 25' 50'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

IUA INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2

EP 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021

CPoET COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

BUILDING CODE TRAVEL DISTANCES:

MAXIMUM EXIT ACCESS TRAVEL DISTANCE (TABLE [BC] 1016.1)

200' MAXIMUM → A, B OCCUPANCY (300' @ S-2 OCCUPANCY) W/O SPRINKLER SYSTEM

COMMON PATH OF EGRESS TRAVEL (SECTION [BC] 1014.3)

100' MAXIMUM → B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM → OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION [BC] 1017.3)

50' MAXIMUM → B OCCUPANCY W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 EXCEPTION 2)

20' MAXIMUM → OCCUPANCY OTHER THAN B W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 W/O EXCEPTION)

NOTE: NOT LIMITED IN LENGTH WHERE LENGTH IS LESS THAN 2.5 TIMES THE LEAST WIDTH (SECTION [BC] 1017.3 EXCEPTION 3)

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VIP STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY FACILITY D
1166 UPPER FRONT ST.
BINGHAMTON, NY 13905

PLANS
DISPENSARY FACILITY D

A-500

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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

SITE PLAN LEGEND

- BUILDING AREA OCCUPIED BY NY CANNA
- SITE SECURED & OCCUPIED BY NY CANNA
- BUILDING AREA OCCUPIED BY OTHER TENANT
- PROPERTY LINE
- FIRE HYDRANT
- FIRE DEPT CONNECTION
- WATER SHUT OFF
- SECTION VALVE
- RSR RISER
- FAP FIRE ALARM PANEL
- CONCRETE WALK

PARKING

INDUSTRIAL USE:
1 SPACE / 2 EMPLOYEES DURING MAX SHIFT

ASSUME 100 EMPLOYEES:
50 PARKING SPACES REQ'D

50 PARKING SPACES PROVIDED (WITH AREA FOR ADD'L PARKING IF NEEDED)

0' 25' 50' 100'

SITE PLAN

A-100

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

DEMO LEGEND

- DEMOLISHED
- EXISTING TO REMAIN
- PH — MECHANICAL / ELECTRICAL PENTHOUSE ABOVE
- OTHER TENANT

0' 16' 32' 64'

DEMO PLAN

A-101

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

SPACE USE TYPE

- Pre-Flowering
- Flowering
- Post-Flowering
- Security
- Cafeteria
- Support
- Circulation
- Exit Passageway
- Other Tenant

SPACE NAME

1	RECEIVING
2	MOTHER PLANTS
3	PROPAGATION
4	VEGETATIVE GROWTH
5	TISSUE CULTURE/CLONE
6	FLOWERING
7	DRYING & TRIMING
8	EXTRACTING/REFINING
9	LABORATORY
10	FINAL MMP PRODUCTION
11	SECURE STORAGE
12	SHIPPING GARAGE
13	SECURITY OFFICE (SOC)
14	VESTIBULE
15	CAFETERIA
16	SERVERY
17	KITCHEN
18	TOILET ROOM
19	LOCKER ROOM
20	CONTROL ROOM
21	MECHANICAL
22	CIRCULATION
23	EXIT PASSAGEWAY
24	SECURITY CHECKPOINT

0' 16' 32' 64'

FLOOR PLAN

A-102

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

PHASE LEGEND

- Phase 1
- Phase 2
- Phase 3
- Phase 4
- Other Tenant

0' 16' 32' 64'

PHASING PLAN

A-103

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

FLOWERING SCHEDULE (PHASE)

A-103A

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

FLOWERING SCHEDULE (BAY)

A-103B

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC
NEW YORK CANNA
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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY
241 FARRELL ROAD
SYRACUSE, NY 13209

0' 8' 16' 32'

NORTH SIDE FLOWERING

A-104

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC
NEW YORK CANNA
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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY
241 FARRELL ROAD
SYRACUSE, NY 13209

0' 8' 16' 32'

SOUTH SIDE FLOWERING

A-105

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC
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VIP
STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

USE LEGEND

- AGRICULTURE
- AGRICULTURE (F)
- ASSEMBLY
- BUSINESS
- EXIT PASSAGEWAY
- INDUSTRIAL
- STORAGE/MECHANICAL
- SUPPORT
- OTHER TENANT

BUILDING CODE LEGEND

- CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE
- 1-HOUR FIRE BARRIER WALL
- IUA — INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2
- CA — CONTROL AREA W/ SEPARATION PER TABLE [BC] 414.2.2
- EP — 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021
- CPoET — COMMON PATH OF EGRESS TRAVEL
- TD — TRAVEL DISTANCE
- DE — DEAD END

0' 16' 32' 64'

BUILDING CODE PLAN

A-106

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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VIP
STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

CODE AREAS (USE)

A-106A

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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STRUCTURES

ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

CODE AREAS (OCCUPANCY)

A-106B

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315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

DOOR & PARTITION LEGEND

- 1-HOUR FIRE BARRIER WALL
- DOOR TAG
  - X — DOOR TYPE
  - X.X — EGRESS WIDTH REQ'D
- 1-HOUR FIRE-RATED FIRE BARRIER WALL (W/ SPRINKLER SYSTEM) - INCIDENTAL USE AREA
- 1-HOUR FIRE-RATED FIRE BARRIER WALL - CONTROL AREA
- 1-HOUR FIRE-RATED FIRE BARRIER WALL - EXIT PASSAGEWAY
- 1-HOUR FIRE-RATED FIRE BARRIER WALL (W/ SPRINKLER SYSTEM) - A-2 USE SEPARATION
- NEGATIVE PRESSURE CORRIDOR - SMOKE BARRIER WALL

0' 16' 32' 64'

DOOR & PTYPES PLAN

A-107

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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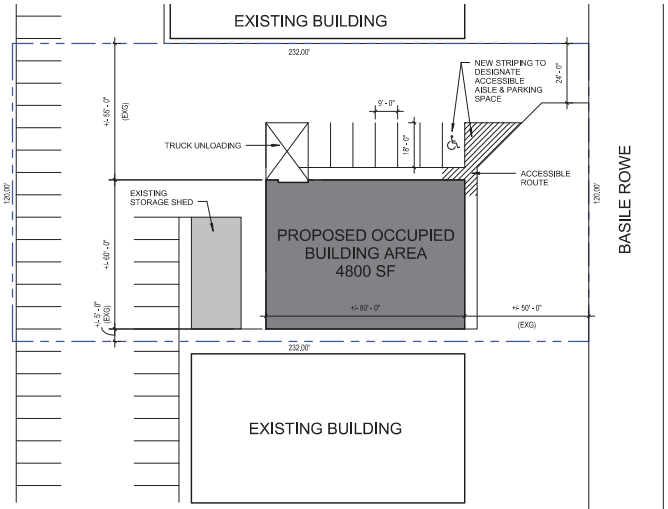
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY

241 FARRELL ROAD
SYRACUSE, NY 13209

DOOR TYPE SCHEDULE

A-107A



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

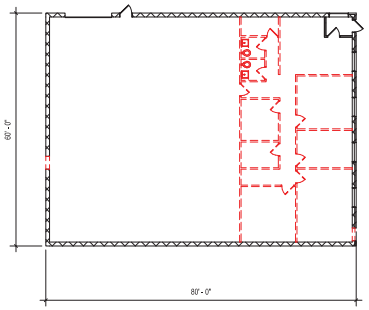
PARKING

PROFESSIONAL OFFICE USE:
1 SPACE / 200 GROSS SQUARE FEET OF FLOOR AREA

4434 GROSS SQUARE FEET:
23 PARKING SPACES REQ'D

24 PARKING SPACES ON SITE

0' 12.5' 25' 50'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

FLOOR PLAN

0' 8' 16' 32'

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

IUA INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2

EP 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021

CPoET COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

BUILDING CODE PLAN

BUILDING CODE TRAVEL DISTANCES:

MAXIMUM EXIT ACCESS TRAVEL DISTANCE (TABLE [BC] 1016.1)

200' MAXIMUM

A, B OCCUPANCY (300' @ S-2 OCCUPANCY) W/O SPRINKLER SYSTEM

COMMON PATH OF EGRESS TRAVEL (SECTION [BC] 1014.3)

100' MAXIMUM

B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM

OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION [BC] 1017.3)

50' MAXIMUM

B OCCUPANCY W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 EXCEPTION 2)

20' MAXIMUM

OCCUPANCY OTHER THAN B W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 W/O EXCEPTION)

NOTE: NOT LIMITED IN LENGTH WHERE LENGTH IS LESS THAN 2.5 TIMES THE LEAST WIDTH (SECTION [BC] 1017.3 EXCEPTION 3)

BUILDING CODE PLAN

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VIP STRUCTURES
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SYRACUSE, NY
315.471.5338

DISPENSARY FACILITY A
6518 BASILE ROWE
E. SYRACUSE, NY 13057

PLANS DISPENSARY FACILITY A

A-200

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VIP
STRUCTURES

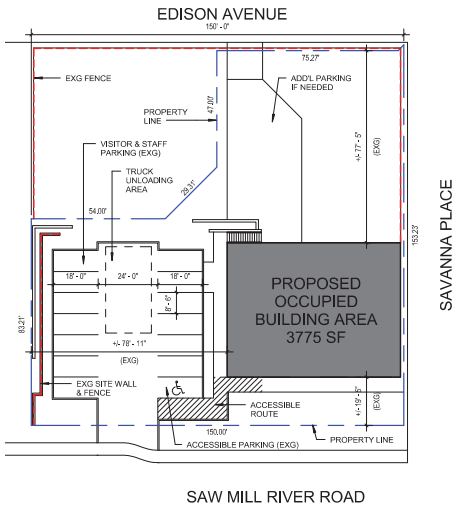
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY
FACILITY A

6518 BASILE ROWE
E. SYRACUSE, NY 13057

SCHEDULES
DISPENSARY
FACILITY A

A-200A



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

PARKING

MEDICAL ESTABLISHMENT (GROUND FLOOR):
1 SPACE / 200 GROSS SQUARE FEET OF FLOOR AREA

3330 GROSS SQUARE FEET:
17 PARKING SPACES REQ'D

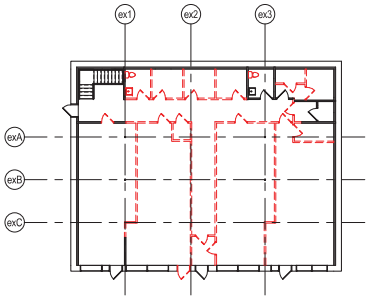
BUSINESS ESTABLISHMENT (BASEMENT):
1 SPACE / 300 GROSS SQUARE FEET OF FLOOR AREA

2700 GROSS SQUARE FEET:
9 PARKING SPACES REQ'D

26 TOTAL PARKING SPACES REQ'D

14 PARKING SPACES EXG ON SITE W/ ADDITIONAL AREA FOR PARKING ON LOWER LEVEL OF SITE

0' 12.5' 25' 50'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

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CPoET COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

BUILDING CODE TRAVEL DISTANCES:

MAXIMUM EXIT ACCESS TRAVEL DISTANCE (TABLE [BC] 1016.1)

300' MAXIMUM → 300' @ B OCCUPANCY (250' @ A, S-2 OCCUPANCY) W/ SPRINKLER SYSTEM

COMMON PATH OF EGRESS TRAVEL (SECTION [BC] 1014.3)

100' MAXIMUM → B, S OCCUPANCY W/ SPRINKLER SYSTEM

100' MAXIMUM → B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM → OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION [BC] 1017.3)

50' MAXIMUM → B OCCUPANCY W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 EXCEPTION 2)

20' MAXIMUM → OCCUPANCY OTHER THAN B W/ SPRINKLER SYSTEM (SECTION [BC] 1017.3 W/O EXCEPTION)

NOTE: NOT LIMITED IN LENGTH WHERE LENGTH IS LESS THAN 2.5 TIMES THE LEAST WIDTH (SECTION [BC] 1017.3 EXCEPTION 3)

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VIP STRUCTURES
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY FACILITY B
1291 SAW MILL RIVER RD.
YONKERS, NY 10710

PLANS
DISPENSARY FACILITY B

A-300

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VIP
STRUCTURES

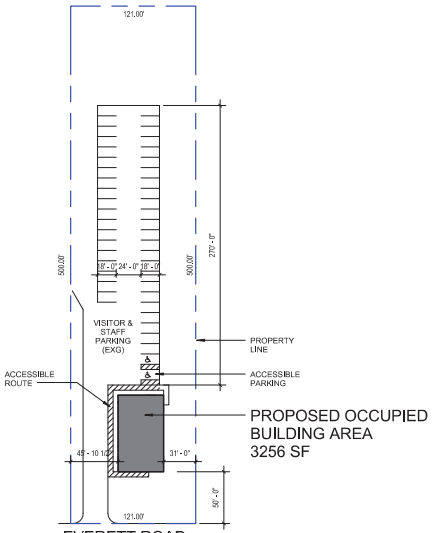
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY
FACILITY B

1291 SAW MILL RIVER RD.
YONKERS, NY 10710

SCHEDULES
DISPENSARY FACILITY B

A-300A



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

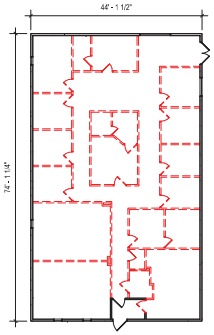
PARKING

MEDICAL OFFICE:
1 SPACE / 175 GROSS SQUARE FEET OF FLOOR AREA

3256 GROSS SQUARE FEET:
19 PARKING SPACES REQ'D

45 PARKING SPACES EXG ON SITE

0' 30' 60' 120'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

FLOOR PLAN

0' 8' 16' 32'

BUILDING CODE PLAN

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

IUA — INCIDENTAL USE AREA W/ SEPARATION PER TABLE [BC] 508.2

EP — 1-HR FIRE RATED EXIT PASSAGE PER SECTION [BC] 1021

CPoET — COMMON PATH OF EGRESS TRAVEL

0' 8' 16' 32'

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200' MAXIMUM → A, B OCCUPANCY (300' @ S-2 OCCUPANCY) W/O SPRINKLER SYSTEM

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100' MAXIMUM → B, S, U OCCUPANCY W/ < 30 OCCUPANTS

75' MAXIMUM → OCCUPANCY OTHER THAN H-1/H-2/H-3 (HAZARD)

DEAD ENDS (SECTION IBC] 1017.3)

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VIP STRUCTURES
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DISPENSARY FACILITY C
105 EVERETT RD.
ALBANY, NY 12205

PLANS
DISPENSARY FACILITY C

A-400

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STRUCTURES

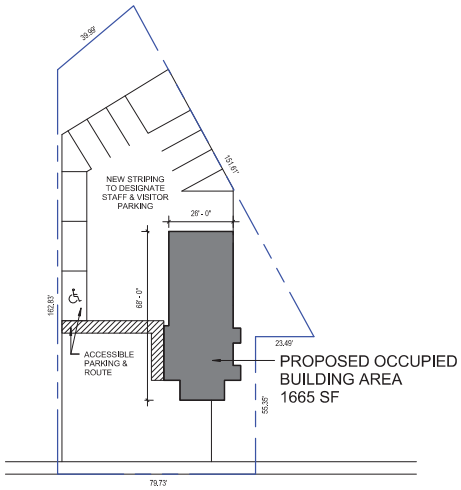
ONE WEBSTER'S LANDING
SYRACUSE, NY
315.471.5338

DISPENSARY
FACILITY C

105 EVERETT RD.
ALBANY, NY 12205

SCHEDULES
DISPENSARY FACILITY C

A-400A



SITE PLAN

SITE PLAN LEGEND

BUILDING AREA OCCUPIED BY NY CANNA

PROPERTY LINE

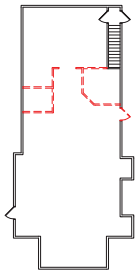
PARKING

MEDICAL OFFICE:
1 SPACE / 250 GROSS SQUARE FEET OF FLOOR AREA

1665 GROSS SQUARE FEET:
7 PARKING SPACES REQ'D

9 PARKING SPACES PROVIDED ON SITE

0' 12.5' 25' 50'



DEMO PLAN

DEMO LEGEND

DEMOLISHED

EXISTING TO REMAIN

0' 8' 16' 32'

Redacted pursuant to N.Y. Public Officers Law, Art. 6

FLOOR PLAN

0' 8' 16' 32'

BUILDING CODE PLAN

USE LEGEND

ASSEMBLY

BUSINESS

STORAGE/MECHANICAL

SUPPORT

CEILING/WALL MOUNTED ILLUMINATED EXIT SIGN (W/ OR W/O ARROW) INDICATING EVACUATION ROUTE

1-HOUR FIRE BARRIER WALL

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DISPENSARY FACILITY D

1166 UPPER FRONT ST.
BINGHAMTON, NY 13905

PLANS
DISPENSARY FACILITY D

A-500

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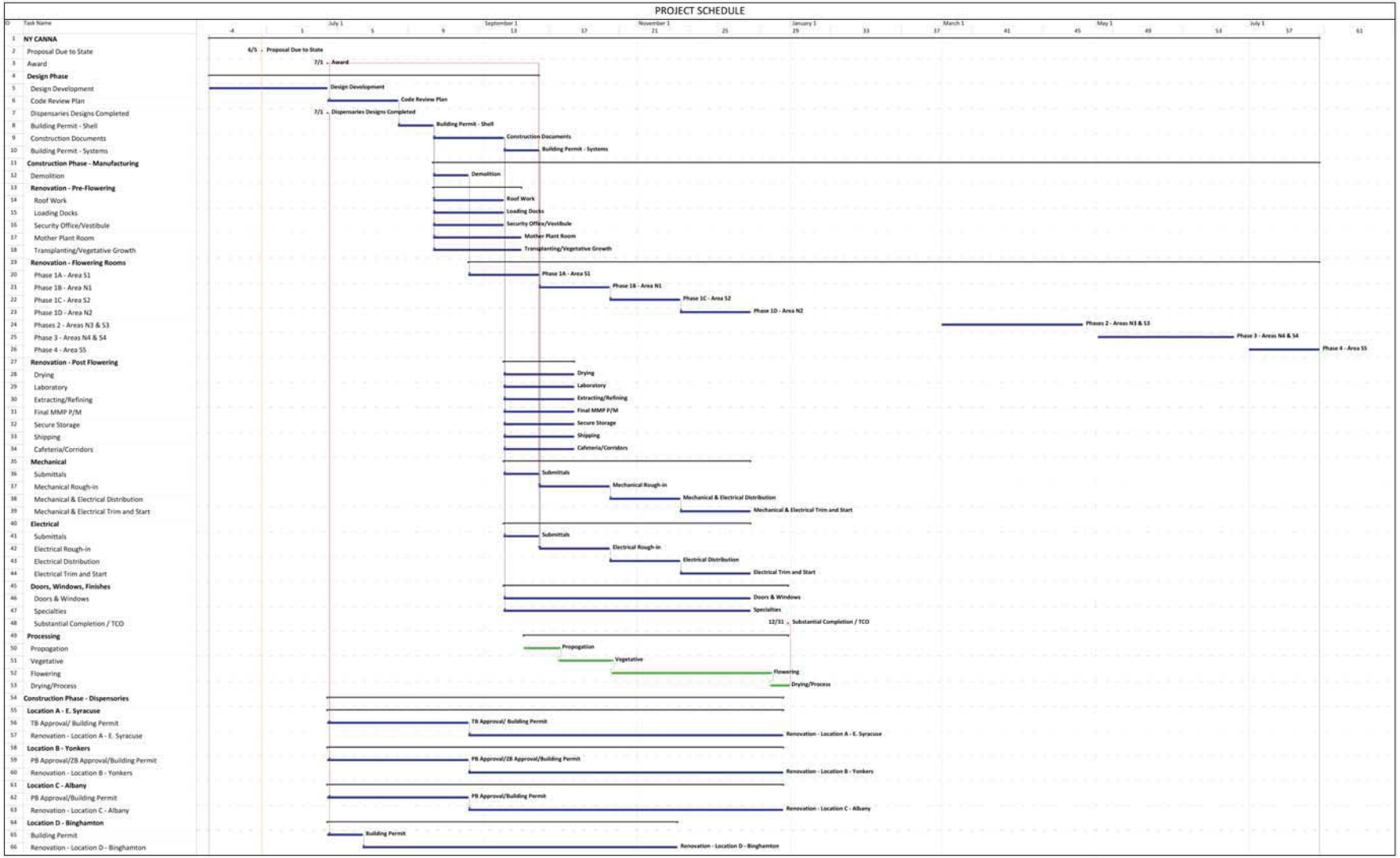
DISPENSARY
FACILITY D

1166 UPPER FRONT ST.
BINGHAMTON, NY 13905

SCHEDULES
DISPENSARY FACILITY D

A-500A



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STRUCTURES
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SYRACUSE, NY
315.471.5338

MANUFACTURING FACILITY
241 FARRELL ROAD
SYRACUSE, NY 13209

PROJECT SCHEDULE LEGEND

- TASK
- MILESTONE
- SUMMARY
- PROCESSING
- DEADLINE
- PROGRESS

PROJECT SCHEDULE

A-600

Appendix B: Architectural Program

A SEPARATE "APPENDIX B" SHALL BE COMPLETED FOR EACH SEPARATE BUILDING AND/OR FACILITY INCLUDED IN THE ORGANIZATION'S BUSINESS PLAN

COMPANY INFORMATION	
Business Name:	New York Canna
Facility Type:	Manufacturing Facility ☐ Dispensing Facility ☑ A - East Syracuse
Use and Occupancy Classification:	B / Business (no change of occupancy)
Building Construction Type and Classification:	Type IIIB
Facility Address:	6518 Basile Rowe, East Syracuse, NY 13057
Primary Contact Telephone number:	(315) 214-7632 Bob Garner, VIP Structures
Primary Contact Fax number:	(315) 471-6222
PART I – ARCHITECTURAL PROGRAM & CONSTRUCTION TIMELINE: Applicant shall identify planning requirements, including but not limited to:	
☑	TOWN BOARD APPROVAL
☐	PLANNING BOARD APPROVAL
☐	ZONING BOARD OF APPEALS APPROVAL
☑	PREPARATION OF CONSTRUCTION DOCUMENTS
☑	BUILDING PERMIT
☑	BIDDING PHASE
☑	CONTRACT AWARD PHASE PER EACH APPLICABLE CONTRACTOR (Identify all that apply)
☑	COMMENCEMENT OF CONSTRUCTION
☑	COMPLETION OF CONSTRUCTION

Appendix B – Architectural Program

PART II – SITE PLAN(S)

Applicant shall provide the appropriate details for each of the following by identifying the location and dimension on the Site Plan attached to the application for each building location.

	☑ Entrance and Exits	☐ Fire Lane and/or Fire Apparatus Road
	☑ Public Parking Spaces	☐ Percentage of Green Space
	☑ Staff Parking Spaces	☐ Location of Emergency Power Systems
	☑ Accessible Parking Spaces	☑ Loading & Unloading
	☑ Accessible Route(s)	☐ Security Gates & Fences

PART III – ENERGY SOURCES & ENGINEERING SYSTEMS:

Applicant shall provide the following minimum information to outline the specifications relating to the energy sources and engineering systems of each building included in the application.

Energy Source:

☑ Natural Gas ☐ Oil ☑ Electric
☐ Solar ☐ Other _____

Engineering Systems:

☑ Heating System: Type Furnace, Size 120KBTU Efficiency 95%,
Ventilation Requirements 900 CFM

☑ Cooling System: Type DX, Size 15 TON Efficiency 19.1seer,
Ventilation Requirements 900 CFM

☐ Ventilation & Humidification Systems:
Type _____, Size _____, Efficiency _____,
Ventilation Requirements _____

☑ Electrical Distribution Available 75 KVA @ 208V 1 phase

☑ Water Supply: Municipal Water Service yes or Private Well Water _____

☑ Sewage: Municipal Sewer System yes or Private Septic System _____

☑ Emergency Power System:
Type Gas, Size 30 KW Efficiency 80%,

Appendix B – Architectural Program

PART IV – BUILDING CODE COMPLIANCE: (pages 3-13)	
CHECK ALL APPLICABLE CODES FOR THE FACILITY	
☑	2010 BUILDING CODE OF NYS
☑	2010 FIRE CODE OF NYS
☑	2010 PLUMBING CODE OF NYS
☑	2010 MECHANICAL CODE OF NYS
☑	2010 FUEL GAS CODE OF NYS
☑	2010 PROPERTY MAINTENANCE CODE OF NYS
☑	2010 ENERGY CONSERVATION CONSTRUCTION CODE OF NYS
☑	2012 IECC COMMERCIAL PROVISIONS
☑	2010 EXISTING BUILDING CODE OF NYS
☑	NEC NATIONAL ELECTRIC CODE, (Specify Applicable Version)
☐	2014 NY CITY CONSTRUCTION CODE
☐	2008 NY CITY CONSTRUCTION CODE
☐	1968 NY CITY CONSTRUCTION CODE
☐	NFPA 101-06 LIFE SAFETY CODE
☑	ICC/ANSI A117.1-03 ACCESSIBLE AND USABLE BUILDINGS AND FACILITIES
☐	OTHER

Appendix B – Architectural Program

Select Project Type: Check all that apply. Refer to the Existing Building Code for definitions.	☐ New Building ☑ Repair ☑ Alteration Level 1 ☑ Alteration Level 2	☑ Alteration Level 3 ☐ Change of Occupancy ☐ Addition ☐ Historic Building	☑ Demolition ☐ Chapter 3. Prescriptive Compliance Method ☐ Chapter 13. Performance Compliance Method
Select Work Involved: Check all that apply.	☑ General Construction ☐ Roofing ☐ Asbestos Abatement/Environmental ☐ Fire Alarm	☐ Structural ☑ Mechanical ☑ Plumbing ☑ Electrical	☐ Site Work ☐ Sprinkler ☐ Elevators ☑ Other: Security/Access Control

CODE COMPLIANCE REVIEW

Applicant shall provide all applicable information in regards to the code topic and section listed below.

1. Code Compliance Review is based on the 2010 NY State Building Code for New Construction. If any other building code applies to the location or type of construction, provide applicable code and sections that most closely relates and references the code topic and information in the code sections listed below. Provide appropriate abbreviations for other applicable codes, such as: **FC:** ***Fire Code*****, PC:** ***Plumbing Code*****, MC:** ***Mechanical Code*****, FGC:** ***Fuel Gas Code*****, ECCC:** ***Energy Conservation Code.***
2. Provide the Required standard for each applicable code section. (i.e.: area, quantity, classification type, materials, hourly separation, etc.). If section does not apply, indicate one of the following with explanation: **NA:** *Not Applicable*, **NR:** *Not Required*, **NP:** *Not Permitted*
3. Provide your facilities "Actual" value for each required standard as per applicable code section.

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
1	Use & Occupancy Classification	302.1 - 312		Use & occupancy of this facility. Identify all applicable materials, class and quantities regarding Table 307.1.	Existing Use: B/Business	New: B/Business

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
2	Combustible Storage	413	FC Chapter 23	All combustible storage areas and rooms, as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA - No rack storage within facility will exceed 12' height	NA
3	Hazardous Materials	414		All hazardous materials stored or used as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA	NA
4	Hazardous Materials Control Areas	414.2		Provide additional information indicating number, size, materials stored, and quantity of each material.	NR	NA
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	NA - existing building, Alteration Level 3	NA
6	Incidental Use Areas	508.2	Table BC508.2	Identify all Incidental Use Areas and required fire separation of occupancies on Building Plans.	Parking garage = 2 hour separation	2-hour separation provided

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	See attachment; Item 7	See attachment; Item 7
8	Nonseparated Uses	508.3.2		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
9	Separated Uses (Ratio < 1)	508.3.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	See attachment; Item 10	See attachment; Item 10
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	See attachment; Item 11	See attachment; Item 11

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	NR - existing building, Alteration Level 3	NA
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	NR - existing building, Alteration Level 3	NA
14	Fire Walls	705		Provide code information and identify all applicable required Fire Wall(s) and fire resistance requirement on Building Plans.	NR	NA
15	Fire Barriers	706		Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	See attachment; Item 15	See attachment; Item 15
16	Shaft Enclosures	707		Provide code information and identify all applicable required Shaft Wall(s) and fire resistance requirement on Building Plans.	NA - 1-story building	NA
17	Fire Partitions	708		Provide code information and identify all applicable required Fire Partition(s) and fire resistance requirement on Building Plans.	NR	NR

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
18	Horizontal Assemblies	711		Provide code information and identify all applicable required Horizontal Assemblies and fire resistance requirement on Building Plans.	NA - 1-story building	NA
19	Fire Protection: Sprinkler System	903		Indicate Type of Sprinkler System: ☐ NFPA 13 ☐ NFPA 13 R ☐ NFPA 13D Provide code information of all applicable requirements for Automatic Sprinkler Systems with code section cited.	NR - EBC 704.2	NA
20	Alt. Fire Extinguishing System	904		Provide code information of all applicable requirements for Alternative Automatic Fire-Extinguishing Systems with code section(s) cited.	NR	NR
21	Standpipe System	905		Provide code information of all applicable requirements for Standpipe Systems with code section(s) cited.	NR	NR
22	Fire Alarm & Detection Systems	907		Provide code information of all applicable requirements for Fire Alarm System(s) with code section cited. Indicate Type of Fire Alarm System ☐ Addressable ☐ Hardwired (zoned)	NR - EBC 704.4.1	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
23	Emergency Alarm System	908		Provide code information of all applicable requirements for Emergency Alarm Systems with code section cited.	NR - no H occupancy	NA
24	Fire Department Connections	912		Identify Fire Department connections in accordance with NFPA applicable standard.	NR	NR
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	See attachment; Item 25	See attachment; Item 25
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	See attachment; Item 26	See attachment; Item 26
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	See attachment; Item 27	See attachment; Item 27
28	Accessible Means of Egress	1007.1		Provide accessible means of egress as per Section 1007 & cite applicable code section(s) and requirement(s) on the Building Plans.	NR per EBC605.1, Exception 2	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	See attachment; Item 29	See attachment; Item 29
30	Interior Stairs	1009		Identify the following information for each stairway on the Building Plan(s): the width of stairways; the height, width, depth and number of risers and treads; dimensions of landings; stairway construction type; and handrail height.	NA - 1-story building	NA
31	Ramps	1010.1		Identify the following information of each ramp, on the Building Plan(s): width; total vertical rise; length of ramp; and handrail height.	NR	NA
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	See attachment; Item 32	See attachment; Item 32
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	See attachment; Item 33	See attachment; Item 33
34	Corridor Fire Rating	1017.1		Identify, on the Building Plan(s): all corridors with required fire resistance and the applicable fire rating.	NR - No Corridors	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
35	Corridor Width	1017.2		Identify on the Building Plan(s): the width of all corridors. Provide applicable code section(s) and requirement(s).	NR - no corridors	NA
36	Dead End Corridor	1017.3		Corridors shall not exceed the maximum dead end corridor length as per applicable code.	NR - no corridors	NA
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	See attachment; Item 37	See attachment; Item 37
38	Vertical Exit Enclosures	1020		Identify on the Building Plan(s): all applicable code requirements for each Vertical Exit Enclosure.	NA - 1-story building	NA
39	Exit Passageways	1021		Identify on the Building Plan(s): all applicable code requirements for each Exit Passageway.	NR	NA
40	Horizontal Exits	1022		Identify on the Building Plan(s): all applicable code requirements for each Horizontal Exit.	NR	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
41	Exterior Exit Ramps & Stairways	1023		Identify on the Building Plan(s): all applicable code requirements for each exterior exit ramps and stairways.	NR	NA
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	See attachment; Item 42	See attachment; Item 42
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	See attachment; Item 43	See attachment; Item 43
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	See attachment; Item 44	See attachment; Item 44
45	Emergency & Standby Power	2702.1		Identify emergency & Standby Power locations and specifications of the system to be provided.	NR	30 KW natural gas generator provided, powers security and lighting
46	Smoke Control Systems	2702.2.2		Identify the Standby power for smoke control systems in accordance with Section 909.11 of NYS Building Code.	NR	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	See attachment; Item 47	See attachment; Item 47
48	Available Street Water Pressure			Provide the available street or well water pressure.	30+ psi	30+ psi
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	See attachment; Item 49	See attachment; Item 49

Architectural Program Form
Code Compliance Review Section

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	Entire building is a B occupancy with accessory assembly spaces (under 750 sf each) and a separated incidental use parking garage
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	Type IIIB construction: noncombustible exterior walls; interior building elements of any material permitted by the code	Exg building has exterior CMU walls and clear span wood truss roof
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	Type IIIB: 2-hour fire rating on exterior bearing walls and 0-hour fire rating for all other building elements	2 hour rating presumed on existing 8" CMU exterior walls; 0-hour rating on exg wood truss roof
15	Fire Barriers	706		Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	Incidental Use separation for parking garage per BC Table 508.2: 2-hour fire separation req'd	2-hour fire barriers provided around parking garage
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	Means of egress to comply with BC Chapter 10	Complies – All doors are 3'x7' and meet egress requirements. All have Hollow Metal doors and frames. See plans for add'l info.
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	BC Table 1004.1.1: Business = 100 gross Assembly (tables & chairs) = 15 net Accessory Storage & Mechanical = 300 gross Parking Garage = 200 net	Total Gross Business area = 2,414 sf = 24.1 occ.; Total Net Assembly area is 1,032 sf = 68.78 occ.; Total Accessory storage/mechanical is 308 sf = 1 occ.; Total Net Parking Garage area is 680 sf = 3.4 occ; Total Occupants for the entire building = 97.35 occ. – see code plan for occupancy of each individual room

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) onthe Building Plans	BC Table 1005: Other egress components without sprinkler system = 0.2" per occupant	All egress doors are 36" and exceed egress width requirements
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet therequirements of this section.	Min clear width = 32" Max door leaf = 48"	All doors are side-hinge swinging and have 36" door leaf
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): thelength of the "Common Path of Travel"per each room as per applicable buildingcode requirements.	Common Path of Egress Travel shall not exceed 75'	All CPoT distances have been shown on Code Plan. CPoT distances do not exceed maximum distance per BC
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building coderequirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	2 means of egress req'd in Group B occupancies with occupant load >49. Exit separation must be ½ the diagonal distance of the area	2 means of egress have been provided from the Waiting Area, with a separation that exceeds ½ the diagonal distance. No other areas require 2 means of egress.
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	For a total occupant load of 98 persons, a min of 2 exits are required	A total of 4 exterior exits have been provided
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	Exits shall discharge directly to the exterior	All 4 of the building's exits discharge directly to the exterior
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	EBC605: An accessible entrance is required, if altered. Accessible toilet rooms are required, if altered.	An accessible entrance and accessible toilet rooms have been provided

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	IECC C101.4.3 Unaltered systems do not need to meet energy code. IECC Table C402.2: (Zone 5, All Other) Roof insulation in attics = R-38 Mass walls above grade = R-11.4 ci Walls below grade = existing (NR) Unheated S.O.G floors = existing (NR) Opaque doors, swinging = U-0.37 Opaque doors, roll-up = R-4.75	Existing roof will remain, so system does not need to meet energy code (NR); Existing CMU block mass walls will be insulated on the interior with min R-11.4 ci; New opaque doors will have a max U-value of U-0.37; new roll-up doors will have a value of R-4.75 min
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	Plumbing Fixtures Calculated Per Table 2902.1: Req'd fixtures are: 2 men's WC; 2 women's WC; 2 sinks each men and women; 1 drinking fountain; 1 service sink	Provided: 2 men's WC; 2 women's WC; 2 sinks each men and women; 1 drinking fountain; 1 service sink
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire ApparatusRoad, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	Fire access required within 150' of all exterior walls of a non-sprinklered building	Complies – see site plan

Appendix B: Architectural Program

A SEPARATE "APPENDIX B" SHALL BE COMPLETED FOR EACH SEPARATE BUILDING AND/OR FACILITY INCLUDED IN THE ORGANIZATION'S BUSINESS PLAN

COMPANY INFORMATION	
Business Name:	New York Canna
Facility Type:	Manufacturing Facility ☐ Dispensing Facility ☑ B - Yonkers
Use and Occupancy Classification:	B / Business
Building Construction Type and Classification:	Type IIIB
Facility Address:	1291 Saw Mill River Road, Yonkers, NY 10710
Primary Contact Telephone number:	(315) 214-7632 Bob Garner, VIP Structures
Primary Contact Fax number:	(315) 471-6222

PART I – ARCHITECTURAL PROGRAM & CONSTRUCTION TIMELINE:
Applicant shall identify planning requirements, including but not limited to:

☐	TOWN BOARD APPROVAL
☑	PLANNING BOARD APPROVAL
☑	ZONING BOARD OF APPEALS APPROVAL
☑	PREPARATION OF CONSTRUCTION DOCUMENTS
☑	BUILDING PERMIT
☑	BIDDING PHASE
☑	CONTRACT AWARD PHASE PER EACH APPLICABLE CONTRACTOR (Identify all that apply)
☑	COMMENCEMENT OF CONSTRUCTION
☑	COMPLETION OF CONSTRUCTION

Appendix B – Architectural Program

PART II – SITE PLAN(S)

Applicant shall provide the appropriate details for each of the following by identifying the location and dimension on the Site Plan attached to the application for each building location.

	☑ Entrance and Exits	☐ Fire Lane and/or Fire Apparatus Road
	☑ Public Parking Spaces	☐ Percentage of Green Space
	☑ Staff Parking Spaces	☐ Location of Emergency Power Systems
	☑ Accessible Parking Spaces	☑ Loading & Unloading
	☑ Accessible Route(s)	☐ Security Gates & Fences

PART III – ENERGY SOURCES & ENGINEERING SYSTEMS:

Applicant shall provide the following minimum information to outline the specifications relating to the energy sources and engineering systems of each building included in the application.

Energy Source:

☑ Natural Gas ☐ Oil ☑ Electric
☐ Solar ☐ Other _____

Engineering Systems:

☑ Heating System: Type Furnace, Size 120KBTU Efficiency 95%,
Ventilation Requirements 900 CFM

☑ Cooling System: Type DX, Size 15 TON Efficiency 19.1seer,
Ventilation Requirements 900 CFM

☐ Ventilation & Humidification Systems:
Type _____, Size _____, Efficiency _____,
Ventilation Requirements _____

☑ Electrical Distribution Available 75 KVA @ 208V 1 phase

☑ Water Supply: Municipal Water Service yes or Private Well Water _____

☑ Sewage: Municipal Sewer System yes or Private Septic System _____

☑ Emergency Power System:
Type Gas, Size 30 KW Efficiency 80%,

Appendix B – Architectural Program

PART IV – BUILDING CODE COMPLIANCE: (pages 3-13)	
CHECK ALL APPLICABLE CODES FOR THE FACILITY	
☑	2010 BUILDING CODE OF NYS
☑	2010 FIRE CODE OF NYS
☑	2010 PLUMBING CODE OF NYS
☑	2010 MECHANICAL CODE OF NYS
☑	2010 FUEL GAS CODE OF NYS
☑	2010 PROPERTY MAINTENANCE CODE OF NYS
☑	2010 ENERGY CONSERVATION CONSTRUCTION CODE OF NYS
☑	2012 IECC COMMERCIAL PROVISIONS
☑	2010 EXISTING BUILDING CODE OF NYS
☑	NEC NATIONAL ELECTRIC CODE, (Specify Applicable Version)
☐	2014 NY CITY CONSTRUCTION CODE
☐	2008 NY CITY CONSTRUCTION CODE
☐	1968 NY CITY CONSTRUCTION CODE
☐	NFPA 101-06 LIFE SAFETY CODE
☑	ICC/ANSI A117.1-03 ACCESSIBLE AND USABLE BUILDINGS AND FACILITIES
☐	OTHER

Appendix B – Architectural Program

Select Project Type: Check all that apply. Refer to the Existing Building Code for definitions.	☐ New Building ☑ Repair ☑ Alteration Level 1 ☑ Alteration Level 2	☑ Alteration Level 3 ☑ Change of Occupancy ☐ Addition ☐ Historic Building	☑ Demolition ☐ Chapter 3. Prescriptive Compliance Method ☐ Chapter 13. Performance Compliance Method
Select Work Involved: Check all that apply.	☑ General Construction ☐ Roofing ☐ Asbestos Abatement/Environmental ☐ Fire Alarm	☐ Structural ☑ Mechanical ☑ Plumbing ☑ Electrical	☐ Site Work ☐ Sprinkler ☐ Elevators ☑ Other: Security/Access Control

CODE COMPLIANCE REVIEW

Applicant shall provide all applicable information in regards to the code topic and section listed below.

1. Code Compliance Review is based on the 2010 NY State Building Code for New Construction. If any other building code applies to the location or type of construction, provide applicable code and sections that most closely relates and references the code topic and information in the code sections listed below. Provide appropriate abbreviations for other applicable codes, such as: **FC:** ***Fire Code*****, PC:** ***Plumbing Code*****, MC:** ***Mechanical Code*****, FGC:** ***Fuel Gas Code*****, ECCC:** ***Energy Conservation Code.***
2. Provide the Required standard for each applicable code section. (i.e.: area, quantity, classification type, materials, hourly separation, etc.). If section does not apply, indicate one of the following with explanation: **NA:** *Not Applicable*, **NR:** *Not Required*, **NP:** *Not Permitted*
3. Provide your facilities "Actual" value for each required standard as per applicable code section.

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
1	Use & Occupancy Classification	302.1 - 312		Use & occupancy of this facility. Identify all applicable materials, class and quantities regarding Table 307.1.	Existing Use: E/Educational	New: B/Business

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
2	Combustible Storage	413	FC Chapter 23	All combustible storage areas and rooms, as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA - No rack storage within facility will exceed 12' height	NA
3	Hazardous Materials	414		All hazardous materials stored or used as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA	NA
4	Hazardous Materials Control Areas	414.2		Provide additional information indicating number, size, materials stored, and quantity of each material.	NR	NA
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	See attachment; Item 5	See attachment; Item 5
6	Incidental Use Areas	508.2	Table BC508.2	Identify all Incidental Use Areas and required fire separation of occupancies on Building Plans.	NR	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	See attachment; Item 7	See attachment; Item 7
8	Nonseparated Uses	508.3.2		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
9	Separated Uses (Ratio < 1)	508.3.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	See attachment; Item 10	See attachment; Item 10
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	See attachment; Item 11	See attachment; Item 11

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	See attachment; Item 12	See attachment; Item 12
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	See attachment; Item 13	See attachment; Item 13
14	Fire Walls	705		Provide code information and identify all applicable required Fire Wall(s) and fire resistance requirement on Building Plans.	NR	NA
15	Fire Barriers	706		Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	NR	NA
16	Shaft Enclosures	707		Provide code information and identify all applicable required Shaft Wall(s) and fire resistance requirement on Building Plans.	NA - 1-story building	NA
17	Fire Partitions	708		Provide code information and identify all applicable required Fire Partition(s) and fire resistance requirement on Building Plans.	NR	NR

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
18	Horizontal Assemblies	711		Provide code information and identify all applicable required Horizontal Assemblies and fire resistance requirement on Building Plans.	NA - 1-story building	NA
19	Fire Protection: Sprinkler System	903		Indicate Type of Sprinkler System: ☐ NFPA 13 ☐ NFPA 13 R ☐ NFPA 13D Provide code information of all applicable requirements for Automatic Sprinkler Systems with code section cited.	Sprinklers are not required for B occupancy	Existing automatic sprinkler system will remain
20	Alt. Fire Extinguishing System	904		Provide code information of all applicable requirements for Alternative Automatic Fire-Extinguishing Systems with code section(s) cited.	NR	NR
21	Standpipe System	905		Provide code information of all applicable requirements for Standpipe Systems with code section(s) cited.	NR	NR
22	Fire Alarm & Detection Systems	907		Provide code information of all applicable requirements for Fire Alarm System(s) with code section cited. Indicate Type of Fire Alarm System ☐ Addressable ☐ Hardwired (zoned)	Fire Alarm not required for B occupancy with occupant load < 100 persons	Existing fire alarm system will remain

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
23	Emergency Alarm System	908		Provide code information of all applicable requirements for Emergency Alarm Systems with code section cited.	NR - no H occupancies	NA
24	Fire Department Connections	912		Identify Fire Department connections in accordance with NFPA applicable standard.	NR	NA
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	See attachment; Item 25	See attachment; Item 25
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	See attachment; Item 26	See attachment; Item 26
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	See attachment; Item 27	See attachment; Item 27
28	Accessible Means of Egress	1007.1		Provide accessible means of egress as per Section 1007 & cite applicable code section(s) and requirement(s) on the Building Plans.	NR per EBC605.1, Exception 2	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	See attachment; Item 29	See attachment; Item 29
30	Interior Stairs	1009		Identify the following information for each stairway on the Building Plan(s): the width of stairways; the height, width, depth and number of risers and treads; dimensions of landings; stairway construction type; and handrail height.	NA - 1-story building	NA
31	Ramps	1010.1		Identify the following information of each ramp, on the Building Plan(s): width; total vertical rise; length of ramp; and handrail height.	NR	NA
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	See attachment; Item 32	See attachment; Item 32
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	See attachment; Item 33	See attachment; Item 33
34	Corridor Fire Rating	1017.1		Identify, on the Building Plan(s): all corridors with required fire resistance and the applicable fire rating.	NR - no corridors	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
35	Corridor Width	1017.2		Identify on the Building Plan(s): the width of all corridors. Provide applicable code section(s) and requirement(s).	NR - no corridors	NA
36	Dead End Corridor	1017.3		Corridors shall not exceed the maximum dead end corridor length as per applicable code.	NR - no corridors	NA
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	See attachment; Item 37	See attachment; Item 37
38	Vertical Exit Enclosures	1020		Identify on the Building Plan(s): all applicable code requirements for each Vertical Exit Enclosure.	NA - 1-story building	NA
39	Exit Passageways	1021		Identify on the Building Plan(s): all applicable code requirements for each Exit Passageway.	NR	NA
40	Horizontal Exits	1022		Identify on the Building Plan(s): all applicable code requirements for each Horizontal Exit.	NR	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
41	Exterior Exit Ramps & Stairways	1023		Identify on the Building Plan(s): all applicable code requirements for each exterior exit ramps and stairways.	NR	NA
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	See attachment; Item 42	See attachment; Item 42
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	See attachment; Item 43	See attachment; Item 43
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	See attachment; Item 44	See attachment; Item 44
45	Emergency & Standby Power	2702.1		Identify emergency & Standby Power locations and specifications of the system to be provided.	NR	30 KW natural gas genera provided, powers security and lighting
46	Smoke Control Systems	2702.2.2		Identify the Standby power for smoke control systems in accordance with Section 909.11 of NYS Building Code.	NR	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	See attachment; Item 47	See attachment; Item 47
48	Available Street Water Pressure			Provide the available street or well water pressure.	30+ psi	30+ psi
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	See attachment; Item 49	See attachment; Item 49

Architectural Program Form
Code Compliance Review Section

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	EBC 912.5.2: the height and area of a building with lesser or equal hazard category is deemed acceptable	EBCT912.5: New B Occupancy is lesser hazard category, so the height and area of the building is deemed acceptable
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	Entire building is a B occupancy with accessory assembly spaces (under 750 sf each)
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	Type IIIB construction: noncombustible exterior walls; interior building elements of any material permitted by the code	Exg building has exterior CMU walls, steel floor and roof framing
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	Type IIIB: 2-hour fire rating on exterior bearing walls and 0-hour fire rating for all other building elements	2 hour rating presumed on existing 8" CMU exterior walls; 0-hour rating on exg roof
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	EBC912.6.2: when a change of occupancy is made to an equal or lesser hazard category per table 912.6, existing exterior walls, including openings, shall be accepted	Existing exterior walls are accepted per EBC (2-hour fire-rating presumed)
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	EBC912.6.2: when a change of occupancy is made to an equal or lesser hazard category per table 912.6, existing exterior walls, including openings, shall be accepted	Existing exterior walls are accepted per EBC (2-hour fire-rating presumed)

25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	Means of egress to comply with BC Chapter 10	Complies – All doors are 3'x7' and meet egress requirements. All have Hollow Metal doors and frames. See plans for add'l info.
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	BC Table 1004.1.1: Business = 100 gross Assembly (tables & chairs) = 15 net Accessory Storage & Mechanical = 300 gross	Total Gross Business area = 2,356 sf = 23.56 occ.; Total Net Assembly area is 803 sf = 53.55 occ.; Total Accessory storage/mechanical is 219 sf = 0.73 occ.; Total Occupants for the entire building = 77.83 occ. – see code plan for occupancy of each individual room
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	BC Table 1005: Other egress components with sprinkler system = 0.15" per occupant	All egress doors are 36" and exceed egress width requirements
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	Min clear width = 32" Max door leaf = 48"	All doors are side-hinge swinging and have 36" door leaf
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	Common Path of Egress Travel shall not exceed 100' for business occupancy w/ sprinklers	All CPoT distances have been shown on Code Plan. CPoT distances do not exceed maximum distance per BC
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	2 means of egress req'd in Group B occupancies with occupant load >49. Exit separation must be 1/3 the diagonal distance (w/ SPS)	2 means of egress have been provided from the Waiting Area, with a separation that exceeds 1/3 the diagonal distance. No other areas require 2 means of egress.
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	For a total occupant load of 98 persons, a min of 2 exits are required	A total of 3 exterior exits have been provided
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	Exits shall discharge directly to the exterior	All 3 of the building's exits discharge directly to the exterior

43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	EBC912.8 Req'd elements: At least 1 acc. building entrance, At least 1 acc. Route from entrance to primary function, Acc. signage, Acc. parking (2 for 50 total spaces), At least 1 acc. passenger loading zone (NR), At least 1 acc. route connecting parking to acc. entrance, At least 1 acc. toilet room.	All required elements have been provided and have been indicated on building plans. (Passenger loading zone not required)
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	IECC C101.4.3 Unaltered systems do not need to meet energy code. IECC Table C402.2: (Zone 4, All Other) Roof insulation entirely above deck = R-25 ci Mass walls above grade = R-9.5 ci Walls below grade = existing (NR) Unheated S.O.G floors = existing (NR) Opaque doors, swinging = U-0.61	Existing roof and exterior walls will remain, so systems do not need to meet energy code (NR). Existing exterior windows and doors will remain, so systems do not need to meet energy code. New opaque doors will have a max U-value of U-0.37.
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	Plumbing Fixtures Calculated Per Table 2902.1: Req'd fixtures are: 2 men's WC; 2 women's WC; 1 sink each men and women; 1 drinking fountain; 1 service sink	Provided: 2 men's WC; 2 women's WC; 2 sinks each men and women; 1 drinking fountain; 1 service sink
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	Fire access required within 300' of all exterior walls of a sprinklered building	Complies – see site plan

Appendix B: Architectural Program

A SEPARATE "APPENDIX B" SHALL BE COMPLETED FOR EACH SEPARATE BUILDING AND/OR FACILITY INCLUDED IN THE ORGANIZATION'S BUSINESS PLAN

COMPANY INFORMATION	
Business Name:	New York Canna
Facility Type:	Manufacturing Facility ☐ Dispensing Facility ☑ C - Albany
Use and Occupancy Classification:	B / Business (no change of occupancy)
Building Construction Type and Classification:	Type VB (wood frame)
Facility Address:	105 Everett Road, Albany, NY 12205
Primary Contact Telephone number:	(315) 214-7632 Bob Garner, VIP Structures
Primary Contact Fax number:	(315) 471-6222
PART I – ARCHITECTURAL PROGRAM & CONSTRUCTION TIMELINE: Applicant shall identify planning requirements, including but not limited to:	
☐	TOWN BOARD APPROVAL
☑	PLANNING BOARD APPROVAL
☐	ZONING BOARD OF APPEALS APPROVAL
☑	PREPARATION OF CONSTRUCTION DOCUMENTS
☑	BUILDING PERMIT
☑	BIDDING PHASE
☑	CONTRACT AWARD PHASE PER EACH APPLICABLE CONTRACTOR (Identify all that apply)
☑	COMMENCEMENT OF CONSTRUCTION
☑	COMPLETION OF CONSTRUCTION

Appendix B – Architectural Program

PART II – SITE PLAN(S)

Applicant shall provide the appropriate details for each of the following by identifying the location and dimension on the Site Plan attached to the application for each building location.

	☑ Entrance and Exits	☐ Fire Lane and/or Fire Apparatus Road
	☑ Public Parking Spaces	☐ Percentage of Green Space
	☑ Staff Parking Spaces	☐ Location of Emergency Power Systems
	☑ Accessible Parking Spaces	☑ Loading & Unloading
	☑ Accessible Route(s)	☐ Security Gates & Fences

PART III – ENERGY SOURCES & ENGINEERING SYSTEMS:

Applicant shall provide the following minimum information to outline the specifications relating to the energy sources and engineering systems of each building included in the application.

Energy Source:

☑ Natural Gas ☐ Oil ☑ Electric
☐ Solar ☐ Other _____

Engineering Systems:

☑ Heating System: Type Furnace, Size 90 KBTU Efficiency 95%,
Ventilation Requirements 720 CFM

☑ Cooling System: Type DX, Size 12 TON Efficiency 19.1seer,
Ventilation Requirements 720 CFM

☐ Ventilation & Humidification Systems:
Type _____, Size _____, Efficiency _____,
Ventilation Requirements _____

☑ Electrical Distribution Available 75 KVA @ 208V 1 phase

☑ Water Supply: Municipal Water Service yes or Private Well Water _____

☑ Sewage: Municipal Sewer System yes or Private Septic System _____

☑ Emergency Power System:
Type Gas, Size 30 KW Efficiency 80%,

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PART IV – BUILDING CODE COMPLIANCE: (pages 3-13)	
CHECK ALL APPLICABLE CODES FOR THE FACILITY	
☑	2010 BUILDING CODE OF NYS
☑	2010 FIRE CODE OF NYS
☑	2010 PLUMBING CODE OF NYS
☑	2010 MECHANICAL CODE OF NYS
☑	2010 FUEL GAS CODE OF NYS
☑	2010 PROPERTY MAINTENANCE CODE OF NYS
☑	2010 ENERGY CONSERVATION CONSTRUCTION CODE OF NYS
☑	2012 IECC COMMERCIAL PROVISIONS
☑	2010 EXISTING BUILDING CODE OF NYS
☑	NEC NATIONAL ELECTRIC CODE, (Specify Applicable Version)
☐	2014 NY CITY CONSTRUCTION CODE
☐	2008 NY CITY CONSTRUCTION CODE
☐	1968 NY CITY CONSTRUCTION CODE
☐	NFPA 101-06 LIFE SAFETY CODE
☑	ICC/ANSI A117.1-03 ACCESSIBLE AND USABLE BUILDINGS AND FACILITIES
☐	OTHER

Appendix B – Architectural Program

Select Project Type: Check all that apply. Refer to the Existing Building Code for definitions.	☐ New Building ☑ Repair ☑ Alteration Level 1 ☑ Alteration Level 2	☑ Alteration Level 3 ☐ Change of Occupancy ☐ Addition ☐ Historic Building	☑ Demolition ☐ Chapter 3. Prescriptive Compliance Method ☐ Chapter 13. Performance Compliance Method
Select Work Involved: Check all that apply.	☑ General Construction ☐ Roofing ☐ Asbestos Abatement/Environmental ☐ Fire Alarm	☐ Structural ☑ Mechanical ☑ Plumbing ☑ Electrical	☐ Site Work ☐ Sprinkler ☐ Elevators ☑ Other: Security/Access Control

CODE COMPLIANCE REVIEW

Applicant shall provide all applicable information in regards to the code topic and section listed below.

1. Code Compliance Review is based on the 2010 NY State Building Code for New Construction. If any other building code applies to the location or type of construction, provide applicable code and sections that most closely relates and references the code topic and information in the code sections listed below. Provide appropriate abbreviations for other applicable codes, such as: **FC:** ***Fire Code*****, PC:** ***Plumbing Code*****, MC:** ***Mechanical Code*****, FGC:** ***Fuel Gas Code*****, ECCC:** ***Energy Conservation Code.***
2. Provide the Required standard for each applicable code section. (i.e.: area, quantity, classification type, materials, hourly separation, etc.). If section does not apply, indicate one of the following with explanation: **NA:** *Not Applicable*, **NR:** *Not Required*, **NP:** *Not Permitted*
3. Provide your facilities "Actual" value for each required standard as per applicable code section.

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
1	Use & Occupancy Classification	302.1 - 312		Use & occupancy of this facility. Identify all applicable materials, class and quantities regarding Table 307.1.	Existing Use: B/Business	New: B/Business

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
2	Combustible Storage	413	FC Chapter 23	All combustible storage areas and rooms, as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA - No rack storage within facility will exceed 12' height	NA
3	Hazardous Materials	414		All hazardous materials stored or used as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA	NA
4	Hazardous Materials Control Areas	414.2		Provide additional information indicating number, size, materials stored, and quantity of each material.	NR	NA
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	NA - existing building, Alteration Level 3	NA
6	Incidental Use Areas	508.2	Table BC508.2	Identify all Incidental Use Areas and required fire separation of occupancies on Building Plans.	NA	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	See attachment; Item 7	See attachment; Item 7
8	Nonseparated Uses	508.3.2		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
9	Separated Uses (Ratio < 1)	508.3.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	See attachment; Item 10	See attachment; Item 10
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	See attachment; Item 11	See attachment; Item 11

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	NR - existing building, Alteration Level 3	NA
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	NR - existing building, Alteration Level 3	NA
14	Fire Walls	705		Provide code information and identify all applicable required Fire Wall(s) and fire resistance requirement on Building Plans.	NR	NA
15	Fire Barriers	706		Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	NR	NA
16	Shaft Enclosures	707		Provide code information and identify all applicable required Shaft Wall(s) and fire resistance requirement on Building Plans.	NA - 1-story building	NA
17	Fire Partitions	708		Provide code information and identify all applicable required Fire Partition(s) and fire resistance requirement on Building Plans.	NR	NR

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
18	Horizontal Assemblies	711		Provide code information and identify all applicable required Horizontal Assemblies and fire resistance requirement on Building Plans.	NA - 1-story building	NA
19	Fire Protection: Sprinkler System	903		Indicate Type of Sprinkler System: ☐ NFPA 13 ☐ NFPA 13 R ☐ NFPA 13D Provide code information of all applicable requirements for Automatic Sprinkler Systems with code section cited.	NR - EBC 704.2	NA
20	Alt. Fire Extinguishing System	904		Provide code information of all applicable requirements for Alternative Automatic Fire-Extinguishing Systems with code section(s) cited.	NR	NR
21	Standpipe System	905		Provide code information of all applicable requirements for Standpipe Systems with code section(s) cited.	NR	NR
22	Fire Alarm & Detection Systems	907		Provide code information of all applicable requirements for Fire Alarm System(s) with code section cited. Indicate Type of Fire Alarm System ☐ Addressable ☐ Hardwired (zoned)	NR - EBC 704.4.1	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
23	Emergency Alarm System	908		Provide code information of all applicable requirements for Emergency Alarm Systems with code section cited.	NR - no H occupancy	NA
24	Fire Department Connections	912		Identify Fire Department connections in accordance with NFPA applicable standard.	NR	NR
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	See attachment; Item 25	See attachment; Item 25
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	See attachment; Item 26	See attachment; Item 26
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	See attachment; Item 27	See attachment; Item 27
28	Accessible Means of Egress	1007.1		Provide accessible means of egress as per Section 1007 & cite applicable code section(s) and requirement(s) on the Building Plans.	NR per EBC605.1, Exception 2	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	See attachment; Item 29	See attachment; Item 29
30	Interior Stairs	1009		Identify the following information for each stairway on the Building Plan(s): the width of stairways; the height, width, depth and number of risers and treads; dimensions of landings; stairway construction type; and handrail height.	NA - 1-story building	NA
31	Ramps	1010.1		Identify the following information of each ramp, on the Building Plan(s): width; total vertical rise; length of ramp; and handrail height.	NR	NA
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	See attachment; Item 32	See attachment; Item 32
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	See attachment; Item 33	See attachment; Item 33
34	Corridor Fire Rating	1017.1		Identify, on the Building Plan(s): all corridors with required fire resistance and the applicable fire rating.	NR - No Corridors	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
35	Corridor Width	1017.2		Identify on the Building Plan(s): the width of all corridors. Provide applicable code section(s) and requirement(s).	NR - no corridors	NA
36	Dead End Corridor	1017.3		Corridors shall not exceed the maximum dead end corridor length as per applicable code.	NR - no corridors	NA
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	See attachment; Item 37	See attachment; Item 37
38	Vertical Exit Enclosures	1020		Identify on the Building Plan(s): all applicable code requirements for each Vertical Exit Enclosure.	NA - 1-story building	NA
39	Exit Passageways	1021		Identify on the Building Plan(s): all applicable code requirements for each Exit Passageway.	NR	NA
40	Horizontal Exits	1022		Identify on the Building Plan(s): all applicable code requirements for each Horizontal Exit.	NR	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
41	Exterior Exit Ramps & Stairways	1023		Identify on the Building Plan(s): all applicable code requirements for each exterior exit ramps and stairways.	NR	NA
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	See attachment; Item 42	See attachment; Item 42
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	See attachment; Item 43	See attachment; Item 43
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	See attachment; Item 44	See attachment; Item 44
45	Emergency & Standby Power	2702.1		Identify emergency & Standby Power locations and specifications of the system to be provided.	NR	30 KW natural gas genera provided, powers security and lighting
46	Smoke Control Systems	2702.2.2		Identify the Standby power for smoke control systems in accordance with Section 909.11 of NYS Building Code.	NR	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	See attachment; Item 47	See attachment; Item 47
48	Available Street Water Pressure			Provide the available street or well water pressure.	30+ psi	30+ psi
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	See attachment; Item 49	See attachment; Item 49

Architectural Program Form
Code Compliance Review Section

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	Entire building is a B occupancy with accessory assembly spaces (under 750 sf each) and incidental use areas
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	Type V construction: structural elements, interior and exterior elements may be of any material permitted by the code	Exg building is wood frame
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	Type VB construction: any material permitted by the code, with 0-hour fire rating req'd on all building elements	Exg building is wood frame with presumed 0-hour fire rating on all building elements
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	Means of egress to comply with BC Chapter 10	Complies – All doors are 3'x7' and meet egress requirements. All have Hollow Metal doors and frames. See plans for add'l info.
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	BC Table 1004.1.1: Business = 100 gross Assembly (tables & chairs) = 15 net Accessory Storage & Mechanical = 300 gross	Total Gross Business area = 2,136 sf = 21.4 occ.; Total Net Assembly area is 791 sf = 52.7 occ.; Total Accessory storage/mechanical is 255 sf = 0.75 occ.; Total Occupants for the entire building = 74.8 occ. – see code plan for occupancy of each individual room
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	BC Table 1005: Other egress components without sprinkler system = 0.2" per occupant	All egress doors are 36" and exceed egress width requirements

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	Min clear width = 32" Max door leaf = 48"	All doors are side-hinge swinging and have 36" door leaf
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	Common Path of Egress Travel shall not exceed 75'	All CPoT distances have been shown on Code Plan. CPoT distances do not exceed maximum distance per BC
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	2 means of egress req'd in Group B occupancies with occupant load >49. Exit separation must be ½ the diagonal distance of the area	No areas in the building require 2 means of egress based on calculated occupants.
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	For a total occupant load of 75 persons, a min of 2 exits are required	A total of 2 exterior exits have been provided
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	Exits shall discharge directly to the exterior	All 4 of the building's exits discharge directly to the exterior
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	EBC605: An accessible entrance is required, if altered. Accessible toilet rooms are required, if altered.	An accessible entrance and accessible toilet rooms have been provided

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	IECC C101.4.3 Unaltered systems do not need to meet energy code. IECC Table C402.2: (Zone 5, All Other) Roof insulation in attics = existing (NR) Wood frame walls = existing (NR) Walls below grade = existing (NR) Unheated S.O.G floors = existing (NR) Opaque doors, swinging = U-0.37 Opaque doors, roll-up = R-4.75	Existing roof and exterior walls will be unaltered, so systems do not need to meet energy code. New opaque doors will have a max U-value of U-0.37; new roll-up doors will have a value of R-4.75 min
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	Plumbing Fixtures Calculated Per Table 2902.1: Req'd fixtures are: 1 men's WC; 1 women's WC; 1 sinks each men and women; 1 drinking fountain; 1 service sink	Provided: 1 men's WC; 1 women's WC; 1 sinks each men and women; 1 drinking fountain; 1 service sink (in basement)
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	Fire access required within 150' of all exterior walls of a non-sprinklered building	Complies – see site plan

Appendix B: Architectural Program

A SEPARATE "APPENDIX B" SHALL BE COMPLETED FOR EACH SEPARATE BUILDING AND/OR FACILITY INCLUDED IN THE ORGANIZATION'S BUSINESS PLAN

COMPANY INFORMATION	
Business Name:	New York Canna
Facility Type:	Manufacturing Facility ☐ Dispensing Facility ☑ D - Binghamton
Use and Occupancy Classification:	B / Business
Building Construction Type and Classification:	Type VB (wood frame)
Facility Address:	1166 Upper Front Street, Binghamton, NY 13905
Primary Contact Telephone number:	(315) 214-7632 Bob Garner, VIP Structures
Primary Contact Fax number:	(315) 471-6222
PART I – ARCHITECTURAL PROGRAM & CONSTRUCTION TIMELINE: Applicant shall identify planning requirements, including but not limited to:	
☐	TOWN BOARD APPROVAL
☐	PLANNING BOARD APPROVAL
☐	ZONING BOARD OF APPEALS APPROVAL
☑	PREPARATION OF CONSTRUCTION DOCUMENTS
☑	BUILDING PERMIT
☑	BIDDING PHASE
☑	CONTRACT AWARD PHASE PER EACH APPLICABLE CONTRACTOR (Identify all that apply)
☑	COMMENCEMENT OF CONSTRUCTION
☑	COMPLETION OF CONSTRUCTION

Appendix B – Architectural Program

PART II – SITE PLAN(S)

Applicant shall provide the appropriate details for each of the following by identifying the location and dimension on the Site Plan attached to the application for each building location.

	☑ Entrance and Exits	☐ Fire Lane and/or Fire Apparatus Road
	☑ Public Parking Spaces	☐ Percentage of Green Space
	☑ Staff Parking Spaces	☐ Location of Emergency Power Systems
	☑ Accessible Parking Spaces	☑ Loading & Unloading
	☑ Accessible Route(s)	☐ Security Gates & Fences

PART III – ENERGY SOURCES & ENGINEERING SYSTEMS:

Applicant shall provide the following minimum information to outline the specifications relating to the energy sources and engineering systems of each building included in the application.

Energy Source:

☑ Natural Gas ☐ Oil ☑ Electric
☐ Solar ☐ Other _____

Engineering Systems:

☑ Heating System: Type Furnace, Size 60 KBTU Efficiency 95%,
Ventilation Requirements 360 CFM

☐ Cooling System: Type DX, Size 6 TON Efficiency 19.1seer,
Ventilation Requirements 360 CFM

☐ Ventilation & Humidification Systems:
Type _____, Size _____, Efficiency _____,
Ventilation Requirements _____

☑ Electrical Distribution Available 75 KVA @ 208V 1 phase

☑ Water Supply: Municipal Water Service yes or Private Well Water _____

☑ Sewage: Municipal Sewer System yes or Private Septic System _____

☑ Emergency Power System:
Type Gas, Size 30 KW Efficiency 80%,

Appendix B – Architectural Program

PART IV – BUILDING CODE COMPLIANCE: (pages 3-13)	
CHECK ALL APPLICABLE CODES FOR THE FACILITY	
☑	2010 BUILDING CODE OF NYS
☑	2010 FIRE CODE OF NYS
☑	2010 PLUMBING CODE OF NYS
☑	2010 MECHANICAL CODE OF NYS
☑	2010 FUEL GAS CODE OF NYS
☑	2010 PROPERTY MAINTENANCE CODE OF NYS
☑	2010 ENERGY CONSERVATION CONSTRUCTION CODE OF NYS
☑	2012 IECC COMMERCIAL PROVISIONS
☑	2010 EXISTING BUILDING CODE OF NYS
☑	NEC NATIONAL ELECTRIC CODE, (Specify Applicable Version)
☐	2014 NY CITY CONSTRUCTION CODE
☐	2008 NY CITY CONSTRUCTION CODE
☐	1968 NY CITY CONSTRUCTION CODE
☐	NFPA 101-06 LIFE SAFETY CODE
☑	ICC/ANSI A117.1-03 ACCESSIBLE AND USABLE BUILDINGS AND FACILITIES
☐	OTHER

Appendix B – Architectural Program

Select Project Type: Check all that apply. Refer to the Existing Building Code for definitions.	☐ New Building ☑ Repair ☑ Alteration Level 1 ☑ Alteration Level 2	☑ Alteration Level 3 ☑ Change of Occupancy ☐ Addition ☐ Historic Building	☑ Demolition ☐ Chapter 3. Prescriptive Compliance Method ☐ Chapter 13. Performance Compliance Method
Select Work Involved: Check all that apply.	☑ General Construction ☐ Roofing ☐ Asbestos Abatement/Environmental ☐ Fire Alarm	☐ Structural ☑ Mechanical ☑ Plumbing ☑ Electrical	☐ Site Work ☐ Sprinkler ☐ Elevators ☑ Other: Security/Access Control

CODE COMPLIANCE REVIEW

Applicant shall provide all applicable information in regards to the code topic and section listed below.

1. Code Compliance Review is based on the 2010 NY State Building Code for New Construction. If any other building code applies to the location or type of construction, provide applicable code and sections that most closely relates and references the code topic and information in the code sections listed below. Provide appropriate abbreviations for other applicable codes, such as: **FC:** ***Fire Code*****, PC:** ***Plumbing Code*****, MC:** ***Mechanical Code*****, FGC:** ***Fuel Gas Code*****, ECCC:** ***Energy Conservation Code.***
2. Provide the Required standard for each applicable code section. (i.e.: area, quantity, classification type, materials, hourly separation, etc.). If section does not apply, indicate one of the following with explanation: **NA:** *Not Applicable*, **NR:** *Not Required*, **NP:** *Not Permitted*
3. Provide your facilities "Actual" value for each required standard as per applicable code section.

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
1	Use & Occupancy Classification	302.1 - 312		Use & occupancy of this facility. Identify all applicable materials, class and quantities regarding Table 307.1.	Existing Use: A-2/Assembly (Restaurant)	New: B/Business

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
2	Combustible Storage	413	FC Chapter 23	All combustible storage areas and rooms, as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA - No rack storage within facility will exceed 12' height	NA
3	Hazardous Materials	414		All hazardous materials stored or used as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA	NA
4	Hazardous Materials Control Areas	414.2		Provide additional information indicating number, size, materials stored, and quantity of each material.	NR	NA
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	See attachment; Item 5	See attachment; Item 5
6	Incidental Use Areas	508.2	Table BC508.2	Identify all Incidental Use Areas and required fire separation of occupancies on Building Plans.	NR	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	See attachment; Item 7	See attachment; Item 7
8	Nonseparated Uses	508.3.2		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
9	Separated Uses (Ratio < 1)	508.3.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	See attachment; Item 10	See attachment; Item 10
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	See attachment; Item 11	See attachment; Item 11

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	See attachment; Item 12	See attachment; Item 12
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	See attachment; Item 13	See attachment; Item 13
14	Fire Walls	705		Provide code information and identify all applicable required Fire Wall(s) and fire resistance requirement on Building Plans.	NR	NA
15	Fire Barriers	706		Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	NR	NA
16	Shaft Enclosures	707		Provide code information and identify all applicable required Shaft Wall(s) and fire resistance requirement on Building Plans.	NA - 1-story building	NA
17	Fire Partitions	708		Provide code information and identify all applicable required Fire Partition(s) and fire resistance requirement on Building Plans.	NR	NR

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
18	Horizontal Assemblies	711		Provide code information and identify all applicable required Horizontal Assemblies and fire resistance requirement on Building Plans.	NA - 1-story building	NA
19	Fire Protection: Sprinkler System	903		Indicate Type of Sprinkler System: ☐ NFPA 13 ☐ NFPA 13 R ☐ NFPA 13D Provide code information of all applicable requirements for Automatic Sprinkler Systems with code section cited.	Sprinklers not required for B occupancy	NR
20	Alt. Fire Extinguishing System	904		Provide code information of all applicable requirements for Alternative Automatic Fire-Extinguishing Systems with code section(s) cited.	NR	NR
21	Standpipe System	905		Provide code information of all applicable requirements for Standpipe Systems with code section(s) cited.	NR	NR
22	Fire Alarm & Detection Systems	907		Provide code information of all applicable requirements for Fire Alarm System(s) with code section cited. Indicate Type of Fire Alarm System ☐ Addressable ☐ Hardwired (zoned)	Fire Alarm not required for B occupancy with occupant load < 100 persons	NR

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
23	Emergency Alarm System	908		Provide code information of all applicable requirements for Emergency Alarm Systems with code section cited.	NR - no H occupancies	NA
24	Fire Department Connections	912		Identify Fire Department connections in accordance with NFPA applicable standard.	NR	NA
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	See attachment; Item 25	See attachment; Item 25
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	See attachment; Item 26	See attachment; Item 26
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	See attachment; Item 27	See attachment; Item 27
28	Accessible Means of Egress	1007.1		Provide accessible means of egress as per Section 1007 & cite applicable code section(s) and requirement(s) on the Building Plans.	NR per EBC605.1, Exception 2	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	See attachment; Item 29	See attachment; Item 29
30	Interior Stairs	1009		Identify the following information for each stairway on the Building Plan(s): the width of stairways; the height, width, depth and number of risers and treads; dimensions of landings; stairway construction type; and handrail height.	NA - 1-story building	NA
31	Ramps	1010.1		Identify the following information of each ramp, on the Building Plan(s): width; total vertical rise; length of ramp; and handrail height.	NR	NA
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	See attachment; Item 32	See attachment; Item 32
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	See attachment; Item 33	See attachment; Item 33
34	Corridor Fire Rating	1017.1		Identify, on the Building Plan(s): all corridors with required fire resistance and the applicable fire rating.	NR - no corridors	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
35	Corridor Width	1017.2		Identify on the Building Plan(s): the width of all corridors. Provide applicable code section(s) and requirement(s).	NR - no corridors	NA
36	Dead End Corridor	1017.3		Corridors shall not exceed the maximum dead end corridor length as per applicable code.	NR - no corridors	NA
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	See attachment; Item 37	See attachment; Item 37
38	Vertical Exit Enclosures	1020		Identify on the Building Plan(s): all applicable code requirements for each Vertical Exit Enclosure.	NA - 1-story building	NA
39	Exit Passageways	1021		Identify on the Building Plan(s): all applicable code requirements for each Exit Passageway.	NR	NA
40	Horizontal Exits	1022		Identify on the Building Plan(s): all applicable code requirements for each Horizontal Exit.	NR	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
41	Exterior Exit Ramps & Stairways	1023		Identify on the Building Plan(s): all applicable code requirements for each exterior exit ramps and stairways.	NR	NA
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	See attachment; Item 42	See attachment; Item 42
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	See attachment; Item 43	See attachment; Item 43
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	See attachment; Item 44	See attachment; Item 44
45	Emergency & Standby Power	2702.1		Identify emergency & Standby Power locations and specifications of the system to be provided.	NR	30 KW natural gas generator provided, powers security and lighting
46	Smoke Control Systems	2702.2.2		Identify the Standby power for smoke control systems in accordance with Section 909.11 of NYS Building Code.	NR	NA

Appendix B – Architectural Program

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	See attachment; Item 47	See attachment; Item 47
48	Available Street Water Pressure			Provide the available street or well water pressure.	30+ psi	30+ psi
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	See attachment; Item 49	See attachment; Item 49

Architectural Program Form
Code Compliance Review Section

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	EBC 912.5.2: the height and area of a building with lesser or equal hazard category is deemed acceptable	EBCT912.5: New B Occupancy is lesser hazard category, so the height and area of the building is deemed acceptable
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	Entire building is a B occupancy with accessory assembly spaces (under 750 sf each)
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	Type VB construction: all building elements of any material permitted by the code	Exg building is of wood frame construction
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	Type VB: 0-hour fire rating req'd on all building elements	0-hour rating presumed on all wood frame elements
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	EBC912.6.2: when a change of occupancy is made to an equal or lesser hazard category per table 912.6, existing exterior walls, including openings, shall be accepted	Existing exterior walls are accepted per EBC (0-hour fire-rating presumed)
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	EBC912.6.2: when a change of occupancy is made to an equal or lesser hazard category per table 912.6, existing exterior walls, including openings, shall be accepted	Existing exterior walls are accepted per EBC (0-hour fire-rating presumed)

25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	Means of egress to comply with BC Chapter 10	Complies – All doors are 3'x7' and meet egress requirements. All have Hollow Metal doors and frames. See plans for add'l info.
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	BC Table 1004.1.1: Business = 100 gross Assembly (tables & chairs) = 15 net Accessory Storage & Mechanical = 300 gross	Total Gross Business area = 1138 sf = 11.4 occ.; Total Net Assembly area is 437 sf = 29.1 occ.; Total Accessory storage/mechanical is 74 sf = 0.25 occ.; Total Occupants for the entire building = 40.74 occ. – see code plan for occupancy of each individual room
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	BC Table 1005: Other egress components without sprinkler system = 0.2" per occupant	All egress doors are 36" and exceed egress width requirements
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	Min clear width = 32" Max door leaf = 48"	All doors are side-hinge swinging and have 36" door leaf
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	Common Path of Egress Travel shall not exceed 100' for B occupancy with < 30 occupants	All CPoT distances have been shown on Code Plan. CPoT distances do not exceed maximum distance per BC
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	2 means of egress req'd in Group B occupancies with occupant load >49. Exit separation must be ½ the diagonal distance of the area	No other areas require 2 means of egress.
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	For a total occupant load of 41 persons, a min of 2 exits are required	A total of 2 exterior exits have been provided
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	Exits shall discharge directly to the exterior	Both of the building's exits discharge directly to the exterior

43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	EBC912.8 Req'd elements: At least 1 acc. building entrance, At least 1 acc. Route from entrance to primary function, Acc. signage, Acc. parking (2 for 50 total spaces), At least 1 acc. passenger loading zone (NR), At least 1 acc. route connecting parking to acc. entrance, At least 1 acc. toilet room.	All required elements have been provided and have been indicated on building plans. (Passenger loading zone not required)
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	IECC C101.4.3 Unaltered systems do not need to meet energy code. IECC Table C402.2: (Zone 5, All Other) Roof insulation in attics = existing (NR) Wood frame walls = existing (NR) Walls below grade = existing (NR) Unheated S.O.G floors = existing (NR) Opaque doors, swinging = U-0.37 Opaque doors, roll-up = R-4.75	Existing roof and exterior walls will be unaltered, so systems do not need to meet energy code. New opaque doors will have a max U-value of U-0.37; new roll-up doors will have a value of R-4.75 min
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	Plumbing Fixtures Calculated Per Table 2902.1: Req'd fixtures are: 1 men's WC; 1 women's WC; 1 sink each men and women; 1 drinking fountain; 1 service sink	Provided: 1 men's WC; 1 women's WC; 1 sink each men and women; 1 drinking fountain; 1 service sink
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	Fire access required within 150' of all exterior walls of a non-sprinklered building	Complies – see site plan

Appendix B: Architectural Program

A SEPARATE "APPENDIX B" SHALL BE COMPLETED FOR EACH SEPARATE BUILDING AND/OR FACILITY INCLUDED IN THE ORGANIZATION'S BUSINESS PLAN

COMPANY INFORMATION	
Business Name:	New York Canna
Facility Type:	Manufacturing Facility ☑ Dispensing Facility ☐
Use and Occupancy Classification:	Mixed Use - F-1 / S-1 (Other Tenant) w/ Accessory B and A-2
Building Construction Type and Classification:	Type IIB Noncombustible
Facility Address:	241 Farrell Road, Syracuse, New York 13209
Primary Contact Telephone number:	(315) 214-7632 Bob Garner, VIP Structures
Primary Contact Fax number:	(315) 471-6222
PART I – ARCHITECTURAL PROGRAM & CONSTRUCTION TIMELINE: Applicant shall identify planning requirements, including but not limited to:	
☑	TOWN BOARD APPROVAL
☐	PLANNING BOARD APPROVAL
☐	ZONING BOARD OF APPEALS APPROVAL
☑	PREPARATION OF CONSTRUCTION DOCUMENTS
☑	BUILDING PERMIT
☑	BIDDING PHASE
☑	CONTRACT AWARD PHASE PER EACH APPLICABLE CONTRACTOR (Identify all that apply)
☑	COMMENCEMENT OF CONSTRUCTION
☑	COMPLETION OF CONSTRUCTION

Appendix B – Architectural Program

PART II – SITE PLAN(S)

Applicant shall provide the appropriate details for each of the following by identifying the location and dimension on the Site Plan attached to the application for each building location.

	☑ Entrance and Exits	☐ Fire Lane and/or Fire Apparatus Road
	☐ Public Parking Spaces	☐ Percentage of Green Space
	☑ Staff Parking Spaces	☑ Location of Emergency Power Systems
	☑ Accessible Parking Spaces	☑ Loading & Unloading
	☑ Accessible Route(s)	☑ Security Gates & Fences

PART III – ENERGY SOURCES & ENGINEERING SYSTEMS:

Applicant shall provide the following minimum information to outline the specifications relating to the energy sources and engineering systems of each building included in the application.

Energy Source:

☑ Natural Gas ☐ Oil ☑ Electric
☐ Solar ☐ Other _____

Engineering Systems:

☑ Heating System: Type HW, Size 4,850MBH Efficiency 92%,
Ventilation Requirements 37,000 CFM

☑ Cooling System: Type CHW, Size 1900 TON Efficiency .54KW/T,
Ventilation Requirements 37,000 CFM

☑ Ventilation & Humidification Systems:
Type RTU, Size 912K CFM, Efficiency 9.7 eer,
Ventilation Requirements 37,000 CFM

☑ Electrical Distribution Available 9,960 KVA/480V 3 phase

☑ Water Supply: Municipal Water Service yes or Private Well Water _____

☑ Sewage: Municipal Sewer System yes or Private Septic System _____

☑ Emergency Power System:
Type Diesel, Size 2,500 KW Efficiency 96.7%,

Appendix B – Architectural Program

PART IV – BUILDING CODE COMPLIANCE: (pages 3-13)	
CHECK ALL APPLICABLE CODES FOR THE FACILITY	
☑	2010 BUILDING CODE OF NYS
☑	2010 FIRE CODE OF NYS
☑	2010 PLUMBING CODE OF NYS
☑	2010 MECHANICAL CODE OF NYS
☑	2010 FUEL GAS CODE OF NYS
☑	2010 PROPERTY MAINTENANCE CODE OF NYS
☑	2010 ENERGY CONSERVATION CONSTRUCTION CODE OF NYS
☑	2012 IECC COMMERCIAL PROVISIONS
☑	2010 EXISTING BUILDING CODE OF NYS
☑	NEC NATIONAL ELECTRIC CODE, (Specify Applicable Version)
☐	2014 NY CITY CONSTRUCTION CODE
☐	2008 NY CITY CONSTRUCTION CODE
☐	1968 NY CITY CONSTRUCTION CODE
☐	NFPA 101-06 LIFE SAFETY CODE
☑	ICC/ANSI A117.1-03 ACCESSIBLE AND USABLE BUILDINGS AND FACILITIES
☐	OTHER

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Select Project Type: Check all that apply. Refer to the Existing Building Code for definitions.	☐ New Building ☑ Repair ☑ Alteration Level 1 ☑ Alteration Level 2	☑ Alteration Level 3 ☑ Change of Occupancy ☐ Addition ☐ Historic Building	☑ Demolition ☐ Chapter 3. Prescriptive Compliance Method ☐ Chapter 13. Performance Compliance Method
Select Work Involved: Check all that apply.	☑ General Construction ☑ Roofing ☐ Asbestos Abatement/Environmental ☑ Fire Alarm	☐ Structural ☑ Mechanical ☑ Plumbing ☑ Electrical	☑ Site Work ☑ Sprinkler ☐ Elevators ☑ Other: Security/Access Control

CODE COMPLIANCE REVIEW

Applicant shall provide all applicable information in regards to the code topic and section listed below.

1. Code Compliance Review is based on the 2010 NY State Building Code for New Construction. If any other building code applies to the location or type of construction, provide applicable code and sections that most closely relates and references the code topic and information in the code sections listed below. Provide appropriate abbreviations for other applicable codes, such as: **FC:** ***Fire Code*****, PC:** ***Plumbing Code*****, MC:** ***Mechanical Code*****, FGC:** ***Fuel Gas Code*****, ECCC:** ***Energy Conservation Code.***
2. Provide the Required standard for each applicable code section. (i.e.: area, quantity, classification type, materials, hourly separation, etc.). If section does not apply, indicate one of the following with explanation: **NA:** *Not Applicable*, **NR:** *Not Required*, **NP:** *Not Permitted*
3. Provide your facilities "Actual" value for each required standard as per applicable code section.

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
1	Use & Occupancy Classification	302.1 - 312		Use & occupancy of this facility. Identify all applicable materials, class and quantities regarding Table 307.1.	See attachment; Item 1	See attachment; Item 1

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
2	Combustible Storage	413	FC Chapter 23	All combustible storage areas and rooms, as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	NA - No rack storage within facility will exceed 12' height.	NA
3	Hazardous Materials	414		All hazardous materials stored or used as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements.	See attachment; Item 3	See attachment; Item 3
4	Hazardous Materials Control Areas	414.2		Provide additional information indicating number, size, materials stored, and quantity of each material.	See attachment; Item 4	See attachment; Item 4
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	See attachment; Item 5	See attachment; Item 5
6	Incidental Use Areas	508.2	Table BC508.2	Identify all Incidental Use Areas and required fire separation of occupancies on Building Plans.	See attachment; Item 6	See attachment: Item 6

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
7	Mixed Occupancies	508.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	Each portion of building shall be individually classified	Proposed new classifications: F-1, B, and A-2
8	Nonseparated Uses	508.3.2		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	NA	NA
9	Separated Uses (Ratio < 1)	508.3.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	See attachment; Item 9	See attachment; Item 9
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	See attachment; Item 10	See attachment; Item 10
11	Fire Resistance Rating Reqm't for Building Elements	Table 601		Provide Fire Resistance Rating per each building element as per Table 601. Identify rating & elements on Building Plans.	Type IIB; 0-hour fire-rating for all building elements	0-hour actual

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	See attachment; Item 12	See attachment; Item 12
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	See attachment; Item 13	See attachment: Item 13
14	Fire Walls	705		Provide code information and identify all applicable required Fire Wall(s) and fire resistance requirement on Building Plans.	NR	NA
15	Fire Barriers	706		Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	See attachment; Item 15	See attachment: Item 15
16	Shaft Enclosures	707		Provide code information and identify all applicable required Shaft Wall(s) and fire resistance requirement on Building Plans.	NA - 1-story building	NA
17	Fire Partitions	708		Provide code information and identify all applicable required Fire Partition(s) and fire resistance requirement on Building Plans.	NR	NR

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
18	Horizontal Assemblies	711		Provide code information and identify all applicable required Horizontal Assemblies and fire resistance requirement on Building Plans.	NA - 1-story building	NA
19	Fire Protection: Sprinkler System	903		Indicate Type of Sprinkler System: ☑ NFPA 13 ☐ NFPA 13 R ☐ NFPA 13D Provide code information of all applicable requirements for Automatic Sprinkler Systems with code section cited.	See attachment; Item 19	See attachment; Item 19
20	Alt. Fire Extinguishing System	904		Provide code information of all applicable requirements for Alternative Automatic Fire-Extinguishing Systems with code section(s) cited.	NR	NR
21	Standpipe System	905		Provide code information of all applicable requirements for Standpipe Systems with code section(s) cited.	NR	NR
22	Fire Alarm & Detection Systems	907		Provide code information of all applicable requirements for Fire Alarm System(s) with code section cited. Indicate Type of Fire Alarm System ☑ Addressable ☐ Hardwired (zoned)	See attachment; Item 22	See attachment; Item 22

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
23	Emergency Alarm System	908		Provide code information of all applicable requirements for Emergency Alarm Systems with code section cited.	NR - no H occupancies	NA
24	Fire Department Connections	912		Identify Fire Department connections in accordance with NFPA applicable standard.	See attachment; Item 24	See attachment; Item 24
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	See attachment; Item 25	See attachment; Item 25
26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	See attachment; Item 26	See attachment: Item 26
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	See attachment; Item 27	See attachment; Item 27
28	Accessible Means of Egress	1007.1		Provide accessible means of egress as per Section 1007 & cite applicable code section(s) and requirement(s) on the Building Plans.	NR per EBC605.1	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	See attachment; Item 29	See attachment; Item 29
30	Interior Stairs	1009		Identify the following information for each stairway on the Building Plan(s): the width of stairways; the height, width, depth and number of risers and treads; dimensions of landings; stairway construction type; and handrail height.	NA - 1-story building	NA
31	Ramps	1010.1		Identify the following information of each ramp, on the Building Plan(s): width; total vertical rise; length of ramp; and handrail height.	NR	NA
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the "Common Path of Travel" per each room as per applicable building code requirements.	See attachment; Item 32	See attachment; Item 32
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	See attachment; Item 33	See attachment; Item 33
34	Corridor Fire Rating	1017.1		Identify, on the Building Plan(s): all corridors with required fire resistance and the applicable fire rating.	See attachment; Item 34	See attachment; Item 34

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
35	Corridor Width	1017.2		Identify on the Building Plan(s): the width of all corridors. Provide applicable code section(s) and requirement(s).	See attachment; Item 35	See attachment; Item 35
36	Dead End Corridor	1017.3		Corridors shall not exceed the maximum dead end corridor length as per applicable code.	See attachment; Item 36	See attachment; Item 36
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	See attachment; Item 37	See attachment; Item 37
38	Vertical Exit Enclosures	1020		Identify on the Building Plan(s): all applicable code requirements for each Vertical Exit Enclosure.	NA - 1-story building	NA
39	Exit Passageways	1021		Identify on the Building Plan(s): all applicable code requirements for each Exit Passageway.	See attachment; Item 39	See attachment; Item 39
40	Horizontal Exits	1022		Identify on the Building Plan(s): all applicable code requirements for each Horizontal Exit.	NR - no horizontal exits	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
41	Exterior Exit Ramps & Stairways	1023		Identify on the Building Plan(s): all applicable code requirements for each exterior exit ramps and stairways.	See attachment; Item 41	See attachment; Item 41
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	See attachment; Item 42	See attachment; Item 42
43	Accessibility	1101.1 - 1110 & ICC/A117. 1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	See attachment; Item 43	See attachment; Item 43
44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	See attachment; Item 44	See attachment; Item 44
45	Emergency & Standby Power	2702.1		Identify emergency & Standby Power locations and specifications of the system to be provided.	See attachment; Item 45	See attachment; Item 45
46	Smoke Control Systems	2702.2.2		Identify the Standby power for smoke control systems in accordance with Section 909.11 of NYS Building Code.	NR - no smoke control systems	NA

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No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	See attachment; Item 47	See attachment; Item 47
48	Available Street Water Pressure			Provide the available street or well water pressure.	30+ psi	92 psi
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	See attachment; Item 49	See attachment; Item 49

Architectural Program Form
Code Compliance Review Section

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
1	Use & Occupancy Classification	302.1 – 312		Use & occupancy of this facility. Identify all applicable materials, class and quantities regarding Table 307.1	Existing Use: S-1/Storage	New: F-1/Factory w/ Accessory B/Business and separated A-2 occupancies. No H/Hazard Use proposed
3	Hazardous Materials	414		All hazardous materials stored or used as per applicable Building and Fire Codes. Identify all combustible stored materials, area and room dimensions, all required fire separations, and exit requirements	Materials being used and stored on site: CO2 and Ethanol	CO2 (compressed non-flammable gas) will be stored in approved and labeled containers. Ethanol will be stored and used within a single Control Area inside the building, with additional material stored outside, adjacent to the building. And an additional Control Area has been provided for materials used in the irrigation system. See item #4 for Control Area requirements.
4	Hazardous Materials Control Areas	414.2		Provide additional information indicating number, size, materials stored, and quantity of each material.	BCT414.2.2 allows on ground floor up to 4 Control Areas, with max allowable quantity per Control Area, separated with 1-hour fire barriers. Per BCT307.1 – Class IB Flammable Liquid (Ethanol): a combined total of up to 360 liquid gallons may be stored and in use (if stored in approved cabinets in a sprinklered building); of the 360 total gallons, up to 240 liquid gallons may be in use in a closed system (in a sprinklered building); and of the total, up to 60 liquid gallons may be in use in an open system. Per FC 3404.4.2.4 up to 1,100 liquid gallons of flammable and	A Control Area with 1-hour fire barrier separation (about 2,500 sf) has been created for the storage and use of Ethanol. Within that Control Area, a combined total of about 50 liquid gallons of Ethanol will be stored and in use (stored material will be in approved cabinets). Of the total, about 10 gallons will be in use in an open system, and about 5 gallons will be in use in a closed system. CO2 will also be in use within the same Control Area and will be stored in approved containers. Additional Ethanol will be stored in closed containers in a secured area adjacent to the building. Total

No.	Topic	NYS Building Code Section	Other Code[1] (as Stated Above) & Section	Minimum Information Required to be Identified for this building/facility on the Building or Site Plan(s)	Required Code Value[2] /Allowed Code Value	Facility's Actual Value[3]
	Hazardous Materials Control Areas (continued)				combustible liquids may be stored in closed containers and portable tanks adjacent to a building on the same premises and under the same management Per BCT307.1 – Class 2 Oxidizer: A combined total of up to 750 solid or liquid pounds may be stored and in use (if stored in approved cabinets in a sprinklered building); of the 750 total pounds, up to 500 pounds may be in use in a closed system (in a sprinklered building); and of the total, up to 100 pounds may be in use in an open system.	quantity will not exceed 1,100 liquid gallons. A second Control Area with 1-hour fire barrier separation (about 3,400 sf) has been created for the storage and use of Oxidizers in the irrigation system. Quantity of materials stored and in use in the Control Area will be below the max limits in BCT307.1.
5	Building Area & Height	501-507		Provide the building area & height Provide all calculations and cite applicable code sections for increased Building Area & Heights allowed per building code(s).	EBC 912.5.2: the height and area of F-1 and B occupancies is deemed acceptable (equal hazard category in Table 912.5) EBC912.5.1: the height and area of A-2 occupancy must comply with heights and areas shown in BC Table 503: A-2 occupancy & Type IIB construction = 2 stories and 9,500 sf / story allowed. Area modification for sprinkler system increase= 9,500 x 3 = 28,500 sf allowed	Existing area of building with new F-1, B, and S-2 occupancies is deemed acceptable per code. Actual area of separated A-2 occupancy is 1 story and 8,564 sf.
6	Incidental Use Areas	508.2	Table BC508.2	Identify all Incidental Use Areas and required fire separation of occupancies on Building Plans.	Furnace/Boiler room = 1-hour separation or SPS. Parking garage = 1-hour separation and SPS. Storage rooms over 100 sf = 1-hour separation or SPS.	NFPA13 SPS provided throughout building plus 1-hour separation at parking garage

9	Separated Uses (Ratio < 1)	508.3.3		Provide analysis with code cited, and required fire separation of occupancies. Identify required fire separation of occupancies on Building Plan(s).	BC Table 508.3.3: Areas of F-1, B, and S-2 occupancies need not be separated; Area of A-2 occupancy must be separated from F-1 and B occupancies with 1-hour fire barrier in sprinklered building	1-hour fire barrier provided around A-2 occupancy
10	Construction Classification	602		Provide Construction Classification per each building included in Application.	Type IIB construction: all noncombustible materials except as permitted by BC603.1	Exg building has steel frame, conc. s.o.g. and exterior walls of CMU/ brick and metal panel on steel frame
12	Exterior Wall Fire-Resistance Rating	Table 602		Identify required fire resistance rating of exterior walls on Building Plan(s).	EBC912.6.2: when a change of occupancy is made to an equal or lesser hazard category per table 912.6, existing exterior walls, including openings, shall be accepted	Existing exterior walls are accepted per EBC (0-hour fire-rating presumed)
13	Exterior Fire Separation Distance	Table 602		Identify required fire separation distance of exterior walls between Buildings on Plan.	0-hour fire rating required for Type IIB construction with Use Groups F-1, (S-1), A, B, S-2 with fire separation distance >= 10'	All separation distances exceed 10' minimum required, so no fire rating required on exterior walls
15	Fire Barriers	706	BC T414.2.2	Provide code information and identify all applicable required Fire Barrier(s) and fire resistance requirement on Building Plans.	Exit passageways per BC1021.3: 1-hour fire-rating required. Separation of A-2 Occupancy per BC Table 508.3.3: 1-hour fire-rating required with NFPA13 SPS. Incidental Use separation for S-2 parking garage per BC Table 508.2: 1-hour fire-rating required with NFPA13 SPS. In accordance with BC 414.2.4, 1-hour FBW for Control Areas are required for 1S building	1-hour fire barriers provided around exit passageways, area of A-2 Occupancy, parking garage and Control Areas as required

19	Fire Protection: Sprinkler System	903		Indicate Type of Sprinkler System: NFPA 13. Provide code information of all applicable requirements for Automatic Sprinkler Systems with code section cited.	EBC912.2.1: Sprinklers are required in areas undergoing a change of occupancy, where required by BC for new occupancy. BC903.2.1.2: Automatic Sprinkler System required in A-2 occupancies with occupant load > 100. BC903.2.3: Automatic Sprinkler System required in F-1 occupancies with fire area > 12,000 sf.	An Automatic Sprinkler System will be provided throughout the building, in all occupancies.
22	Fire Alarm & Detection Systems	907		Provide code information of all applicable requirements for Fire Alarm System(s) with code section cited. Indicate Type of Fire Alarm System: Addressable	EBC912.2.2: A fire alarm and detection system is required in areas undergoing a change of occupancy, where required by BC for new occupancy. BC907.2.1: A manual fire alarm system, automatic fire detection system, and emergency voice/alarm communication system w/ emergency power source required in Group A occupancies. BC907.2.2: A manual fire alarm system required in Group B occupancies with occupant load > 500. BC907.2.4: A manual fire alarm system required in Group F occupancies with occupant load > 100	A manual fire alarm system will be provided throughout the building. Additionally, an automatic fire detection system and an emergency voice/alarm communication system will be provided within the separated A-2 area.
24	Fire Department Connections	912		Identify Fire Department connections in accordance with NFPA applicable standard.	Existing fire department connections can be utilized with additional signage, as needed	Existing connection will be utilized
25	Exits	1001.1 &2		Identify on the Building Plans and documents, per each door, the following information: door width, door height, direction of swing, type of construction, hourly rating, and door closures.	Means of egress to comply with BC Chapter 10	Complies – All doors are 3'x7' and meet egress requirements. All have Hollow Metal doors and frames. Double doors (pair of 3'x7') are provided for convenience only. See A-107 and A-107A for add'l info.

26	Occupant Load	1004 & Table 1004.1.1		Identify the use/name of each room, dimensions of each room, and Occupant Loads per each room on the Building Plans.	BC Table 1004.1.1: Agricultural Building = 300 gross Assembly (tables & chairs) = 15 net Business = 100 gross Accessory Storage & Mechanical = 300 gross Parking Garage = 200 net Commercial Kitchen = 200 gross Locker Rooms = 50 gross	Total gross Agricultural area is 189,998 = 633.3 occ.; Total Net Assembly area is 3,707 = 247.2 occ.; Total Gross Business area = 3,459 sf = 34.59 occ.; Total gross Factory/Industrial area = 5,105 sf = 51 occ.; Total Access-storage/mechanical is 12,729 sf 42.4 occ.; Total Net Parking Garage is 2,271 sf = 11.4 occ; Total Kitchen area is 1,598 sf = 8 occ.; Total Locker Room area is 363 sf = 7.3 occ.; Total Occupants for the building = 1035.2 occ. – see A-106, A-106A and A-106 B for occupancy of individual building areas
27	Egress Width	1005		Provide egress widths & cite applicable code section(s) and requirement(s) on the Building Plans	BC Table 1005: Other egress components with sprinkler system = 0.15” per occupant	Max calculated egress width for any door is 32.6” - All doors are 36” wide. Max calculated egress width for any corridor is 27.9” - All corridors are 44” wide min. See A-107 for individual calculations.
29	Doors, Gates, and Turnstiles	1008		Means of egress doors shall meet the requirements of this section.	Min clear width = 32" Max door leaf = 48"	All doors are side-hinge swinging and have 36” door leaf (or pair of leaves)
32	Common Path of Travel	1014.3		Identify on the Building Plan(s): the length of the “Common Path of Travel” per each room as per applicable building code requirements.	For Groups B, F, and S in a sprinklered building max CPoT=100'; Group A max CPoT=75'	All CPoT distances have been shown on Code Plan A-106. CPoT distances do not exceed maximum distance per BC
33	Exit Doorway Arrangement	1015		Identify on the Building Plan(s): applicable building code requirements for all Exits and Exit Access Doorways per each room and required exits in all buildings.	2 means of egress req'd in Groups A, B, and F with occupant load >49 and >29 in Group S occupancies. Exit separation is 1/3 the diagonal distance in a sprinklered building	The assembly (cafeteria) space has an occupant load of 248 persons and requires 2 means of egress; 2 have been provided with min 1/3 diagonal distance separation. The flowering rooms also require 2 means of egress; 2 have been provided
34	Corridor Fire Rating	1017.1		Identify, on the Building Plan(s): all corridors with required fire resistance and the applicable fire rating.	No rating required on corridor walls in occupancy groups A, B, F, and S in a sprinklered building	NR

35	Corridor Width	1017.2		Identify on the Building Plan(s): the width of all corridors. Provide applicable code section(s) and requirement(s).	Minimum corridor width = 44”, or per BC Table 1005.1	Max calculated egress width for any corridor is 27.9” - all corridors are 44” wide min. See A-107 for individual calculations.
36	Dead End Corridor	1017.3		Corridors shall not exceed the maximum dead end corridor length as per applicable code.	Max Dead End = 20’. Exception 2: Occupancy Groups B & F with automatic sprinkler system max dead end = 50’.	Plan has only 1 dead end corridor: Located near cafeteria (Occ. Group A) with length of 19’-6”
37	Number of Exits and Continuity	1019		Identify on the Building Plan(s): required number of exits, continuity and arrangement as per the applicable code requirements.	For a total occupant load of 1,030 persons, a min of 4 exits are required	A total of 8 exterior exits have been provided
39	Exit Passageways	1021		Identify on the Building Plan(s): all applicable code requirements for each Exit Passageway.	Min width 44", or per section 1005.1, with 1-hour fire rated enclosure	Max calculated egress width for any exit passageway is 20.1” - all exit passageways are 44” wide min. See A-107 for individual calculations.
41	Exterior Exit Ramps & Stairways	1023		Identify on the Building Plan(s): all applicable code requirements for each exterior exit ramps and stairways.	Exterior stairs must be open on at least 1 side, must be located at least 10’ from lot lines and adjacent buildings, and must be separated from the interior of the building except for openings required for egress.	One exterior stair is shown on the plans adjacent to loading dock – stair is open on both sides, is more than 60’ from lot lines and adjacent buildings, and is separated from the interior of the building
42	Exit Discharge	1024		Identify on the Building Plan(s): all applicable code requirements for each Exit Discharge.	Exits shall discharge directly to the exterior	All 8 of the building’s exits discharge directly to the exterior
43	Accessibility	1101.1 -1110 & ICC/A117.1(03)		Identify on the Building Plan(s): all applicable code requirements such that the design and construction of each building/facility provides accessibility to physically disabled persons.	EBC912.8 Req’d elements: At least 1 acc. building entrance, At least 1 acc. Route from entrance to primary function, Acc. signage, Acc. parking (2 for 50 total spaces), At least 1 acc. passenger loading zone (NR), At least 1 acc. route connecting parking to acc. entrance, At least 1 acc. toilet room.	All required elements have been provided and have been indicated on building plans. (Passenger loading zone not required)

44	Energy Conservation	2010 NYS ECCC & IECC 2012		Identify the R-Value and U-Value of each construction component and assembly of the building envelope as required in the applicable energy and building code(s).	IECC Table C402.2: (Zone 5, All Other) Roof insulation entirely above deck = R-25 ci Mass walls above grade = R-11.4 ci Metal Framed walls above grade = R-13 + R-7.5 ci Walls below grade = existing (NR) Unheated S.O.G floors = existing (NR) Opaque doors, swinging = U-0.37 Opaque doors, roll-up = R-4.75	New roof will be installed with a min average of R-25 ci entirely above deck; Existing brick/block mass walls will be insulated on the interior with min R-11.4 ci; Existing metal frame/metal panel walls will be insulated with min R-13 + R-7.5 ci; New opaque doors will have a max U-value of U-0.37; new roll-up doors will have a value of R-4.75 min
45	Emergency & Standby Power	2702.1		Identify emergency & Standby Power locations and specifications of the system to be provided.	Emergency power is required for voice communication systems in Group A occupancies, for all exit signs, and for all means of egress illumination	An emergency generator will be provided for emergency power.
47	Plumbing Fixture Count	2902.1		Identify on the Building Plan(s): the minimum plumbing facilities as per applicable plumbing code(s).	Plumbing Fixtures Calculated Per Table 2902.1: Req'd fixtures are: 3 urinals & 4 men's WC; 7 women's WC; 6 sinks each men and women; 4 drinking fountains; 1 service sink	Provided: 3 urinals & 4 men's WC; 7 women's WC; 6 sinks each men and women; 4 drinking fountains; 1 service sink
49	Fire Apparatus Access Road	FC503.1		Identify on the Site Plan: Fire Apparatus Road, Fire Lane and other Fire Service requirements per applicable Building and Fire Codes.	Fire access required within 300’ of all exterior walls of a sprinklered building	Complies – see site plan

NYC

NEW YORK CANNA

Attachment D

Section 1

Manufacturing Processes

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- Returns, Complaints, Adverse Events, and Recall Plan
- Return, Complaint and Adverse Event –Internal Investigation Form
- Patient Return and/or Complaint Form

Section 9 – Product Quality Assurance

- Section 9 – Product Quality Assurance Program
- Mold Remediation in Schools and Commercial Buildings

Section 10 – Recordkeeping

- Section 10 – Recordkeeping, Record Retention & Inventory Control
- BioTrackTHC University Core Systems Training Manual
- Record Keeping and Inventory Control Standard Operating Procedures

Section 11 – Forms Library

Section 12 – Employee Training

- Section 12. Employee Training
- Bud-Tender Training – Seed to Sales Series
- Seed to Sale Series – METRC and Inventory Control Module~ Dispensary
- Seed to Sale Series – METRC and Inventory Control Module~ Cultivation

Section 1 – The Manufacturing Processes

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Section 1 – Table of Contents:

Section 1(a) – Cultivation Plan

Section 1(b) – Harvest Plan

Section 1(c) – Proposed Approved Medical Marihuana Products

Section 1(d) – Proposed Approved Medical Marihuana Forms

Section 1 (e) – Extraction and Infusion Production Plan

Section 1(f) – Labeling and Packaging Plan

Section 1(g) – Management of Cultivation Center/Manufacturing

Section 1 – Introduction:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. Section 1(a) – Cultivation Plan:

[redacted]

A. Technique:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[1] See the attached résumés of key personnel (Appendix D1(a))

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Propagation Plan – Substantial Reliance on Tissue Culture Protocols:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **Rooted Cutting/Clone to Adolescent Transplant Plan.**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

D. Vegetative Specimen Grow Plan.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

E. Bloom Specimen Grow Plan. [redacted]

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

F. Good Agricultural Practices (GAP).

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Section 1(b) – Harvest Plan:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

III. Section 1(c) – Proposed Approved Medical Marihuana - Brands

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. Section 1(d) – Proposed Medical Marihuana Form - Approved

[redacted]

A. Oromucosal/Sublingual Administration:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Metered Liquid/Oil for Vaporization: [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. Capsule for Oral Administration:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

V. Section 1(d) – Request for Approval of Additional Forms of Medical Marihuana

[redacted]

A. Transdermal Patch: [redacted]

B. Tablet for Oral Administration: [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **Thin-film Delivery System:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. **Infused Edible Products:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

V. Section 1(d) – Extraction and Final Product Manufacturing Plan

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

A. **Pre-Processing:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Equipment Used: Dry mulch Grinding.

B. **Extraction:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **Post Extraction Process (For Certain Forms):**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. **Decarboxylation (For Certain Forms):**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. **Final Product Manufacturing – Approved Forms:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **Final Product Manufacturing – Forms Pending Approval:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. **Consistency of Medicine:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

E. Third-Party Testing:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

VI. Section 1(f) –Labeling and Packaging Plan

Redacted pursuant to N.Y. Public Officers Law, Art. 6

A. Labeling Plan. [redacted]

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Packaging Plan:

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

VII. Conclusion to Operations Plan – Manufacturing Processes

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Question 83

Attachment D - Operating Plan

Section 1

Appendix (a)

Key Personnel Resumés

Scott Bergin [redacted]

Profile

[redacted] led me to develop a high quality and successful line of marijuana infused edibles under my brand, EdiPure. My products are currently in the legal medical marijuana marketplaces in California, Washington, Colorado, and soon Nevada.

Experience

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Education

Southern Illinois University - Majored in Music Theory, Minor in Mass Communication

Skills

Entrepreneurship, business management, medical marijuana extraction, food product development, and large scale database development.

Eric M. Bremiller

[redacted]

Education:

Morrisville State College, Morrisville, New York
Bachelor of Technology Degree, May 2010
Major: *Horticulture Business Management*
Academic Honors: Summa Cum Laude; President's List; 3.94 GPA

Mohawk Valley Community College, Utica, New York
Associate in Science: Liberal Arts and Sciences Degree, August 2006
Major: *Math and Science*

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Skills:

-Design and construction of hydroponic systems.
-Management of greenhouse crops including tomatoes, lettuce, herbs, greens, bedding plants, poinsettias, hanging baskets.
-Good Agricultural Practices and biosecurity procedures.
-Plant propagation including: seed, cutting and grafting.
-Fertilizer management including nutrient solution preparation and calculation
-Integrated Pest and Disease Management, specializing in biological controls
-Greenhouse Environmental Control
-Horticultural lighting systems
-Combined systems management (Aquaponics)
-Education and training of students in horticultural practices

Work Experience:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Ian Stacishin de Queiroz

[redacted]

SUMMARY

[redacted] driven entrepreneurial professional dedicated to sustainable business practices that embolden and uplift communities, protect resources, and increase global cultural awareness while having resided in [redacted] and the [redacted] with extensive travel through [redacted] and [redacted] and [redacted] Highly experienced in international marketing, export, distribution, and an effective leader and project manager able to create productive teams and establish cooperative relationships.

PROFESSIONAL EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

DINO DIXIE

[redacted]

[redacted]

PROFESSIONAL SUMMARY

I have ten years' experience in Central New York's construction management industry; six as a business owner. [redacted]

EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EDUCATION

[redacted]

Syracuse University, Syracuse, NY, 1986-1988.

DENNIS TODD DUVAL

[redacted]

PROFESSIONAL SUMMARY

My management experience is extensive, encompassing my employment as a public servant in criminal justice, the [redacted] and my current executive leadership role in the food manufacturing industry. After obtaining a Bachelor's degree from Syracuse University, I spent the majority of my career as an officer in the Syracuse Police Department, retiring in 2004 as the Chief of Police, where I was responsible for the all of the Police Department's management, operations and budgets. [redacted]

EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Syracuse Police Department, Syracuse, New York September 1978 – September 2004
Chief of Police
Responsibilities: As Chief of Police, was responsible for all operations of the Police Department of the City of Syracuse, NY.

EDUCATION

[redacted]

Syracuse University, Syracuse, NY, BA, Sociology. 1996

JAMES ESPOSITO

[redacted] [redacted]

PROFESSIONAL SUMMARY

I am a highly experienced and successful businessman with expertise in every phase of business development, including contract negotiation, talent acquisition, marketing/public relations, design, launch and operations. I work with highly sought-after partners, assembling solid teams with proven track records of success, to meet a diverse array of business challenges and goals.

EXPERIENCE

Veteran, United States Army and former intelligence asset
Served in numerous capacities in support of the country's missions domestically and internationally. Career highlights include completing a join assignment with the NYPD's Intelligence Division as a liaison after the attacks of September 11, 2001.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

DOMINIC FALCONE

[redacted]

PROFESSIONAL SUMMARY

I have been a licensed Master Plumber in two New York counties for over 25 years and a successful [redacted]. I continuously upgrade my skills to ensure that I remain at the top of the industry as evidenced by my specialized training in solar thermal installation, my EPA Lead Certification for Residential Housing and my NYS Universal Air Conditioning and Refrigeration license. [redacted]

EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EDUCATION AND TRAINING

[redacted]

Plumber's Union Local #2 (merged with Local #1). Union Local #1, Long Island City, NY. Pipe Tradesman. 1985.
Plumber's Union Local #545, Los Angeles, CA. Journeyman Plumber. 1989.

LICENSES AND CERTIFICATIONS

Westchester County Master Plumber. #932/1290, 09/1998 – 12/31/2015.
Putnam County Master Plumber. #514, 02/2002 – 12/31/2015.
State of CT Plumbing & Piping Unlimited Contractor. #PLM.0282225-P1, 02/2004 – 10/31/2015.
State of CT Heating, Piping & Cooling Lmtd, Journeyperson. #HTG.0390366-S8, 03/2005 – 08/31/2015.
State of New York Type Universal HVAC. #119-62-8172, 04/1996.

State of CT Statewide Certification for Solar Thermal, 2010.
EPA Lead Certification for Residential Housing for New York State. # NAT-53976-1, 06/2010 – June 22, 2015.

VOLUNTEERISM

- [redacted]
- [redacted]
- [redacted]

PHILLIP HAGUE

[redacted]

STRENGTHS

I posses a lifetime of horticultural knowledge encompassing large scale commercial greenhouse production and extensive knowledge of commercial farming practices, including good agricultural practices (GAP). My vast plant knowledge and genetic stock covers the world and has resulted in industry-wide recognition.

MEDICAL CANNABIS AWARDS

[redacted]

EDUCATION

Texas Master Certified Nursery Professional (TMCNP), February 2000
World of Concrete Master Certificate, January 2006
Butterfield Color – American Institute of Architects (AIA) Continuing Education, July 2009

EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Memberships:
Member- Texas Nursery and Landscape Association (TNLA)
Charter Member – Texas Organic Farmers and Gardeners Association (TOFGA)

MEDIA/NEWS:

PATRICK CHARLES HARVEY
[redacted]

PROFESSIONAL SUMMARY

I am a licensed pharmacist and have worked in the retail pharmacy business for 13 years. My Bachelor's degree in Pharmacy is from St. John's University College of Pharmacy and Allied Health in Queens, New York. As a certified Compounding Pharmacist, I am trained to prepare and manufacture [redacted]

EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EDUCATION

St. John's University College of Pharmacy and Health Sciences, Queens, New York
Bachelor's in Pharmacy. 2002.

LICENSES AND CERTIFICATIONS

Pharmacist. Connecticut License # PCT.0009780, 02/03/2014 – 01/31/2016.
Pharmacist, New York State License pending

VOLUNTEERISM

- Treasurer, Yonkers, NY City Councilman. Manage campaign funding and finance, documentation, and regulatory reports for Councilman.
- Chairman, New York Safety ID Program. Sponsored by Grand Masonic Lodge of NYS. Endorsed by New York State Police and Amber Alert. Led implementation of outreach for voluntary child and senior citizen finger printing and photo identification/biographical information delivered on a CD for parents or caregivers to utilize if a loved one is missing or lost
- [redacted]
- [redacted]

Malcolm Morrison

[redacted]

OVERVIEW

- Over 25 years of experience in managing various aspects of medical cannabis, vineyard and commercial agriculture systems
- Sought after consultant on nutrient design, bio-stimulant delivery and manufacturing, bacterial and fungal extractions, and hardware design
- Noted Speaker at farming, medical, naturopathic, and educational conferences and symposiums
- Over 17 years of experience in education and consulting on medical cannabis cultivation facilities.

PROFESSIONAL EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EDUCATION

Humboldt State University, Arcata, CA
Bachelor of Science in Microbiology 1995

College of the Redwoods, Eureka, CA
Associate of Arts in Business 1993

CONSULTANT EXPERIENCE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

TECHNICAL SKILLS

- Platforms: PC and Windows 2000, XP, Vista, Windows 7, and Apple OSX
- Applications: Microsoft Word, Excel, PowerPoint, Outlook, Adobe Photoshop, QuickBooks, Pages, Numbers, Peachtree Inventory, Microsoft Access data
- Database: Microsoft Access
- Internet: HTML

CERTIFICATIONS

- Certified Crop Advisor (California 2003-Present)
- Pest Control Applicator (California 2003-2009)
- CPR
- Wilderness EMT

JOHN M. VAVALO
[redacted]

PROFESSIONAL SUMMARY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Specialties:

- Expansive knowledge and understanding of the biofuels and feedstock industries and markets
- Process engineering and development
- Personnel management – all levels of personnel

EXPERIENCE

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EDUCATION

Rochester Institute of Technology - Rochester, NY
M.S. Environmental Management and Health and Safety, 2011

Rochester Institute of Technology – Rochester, NY
B.S. Environmental Management and Health and Safety, 2005

[redacted]

Table of Contents

Section D - Attachments:

I. FDA – Field Operations and Harvesting
II. Produce GAP's Harmonized Food Safety Standards
III. NYCanna Brand Labels
IIII. National Geographic Feature on NYCanna Cultivator

FDA

Field Operations and Harvesting
Harmonized Food Safety Standard

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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FDA

Post-Harvest Operations Harmonized Food Safety Standard

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

USDA

Produce GAPs Harmonized Food Safety Standard
Field Operations & Operations – USDA Checklist

Produce GAPs Harmonized Food Safety Standard
Field Operations & Harvesting - USDA Checklist

AUDITEE INFORMATION

Company Name: _____

Audited Location Address GPS (Optional): _____

Street: _____ City, State, Zip: _____

Multiple sites covered by this audit? (If Yes, provide details in Additional Comments) ☐ Yes ☐ No

Mailing/Business Address ☐ Same as above

Street: _____ City, State, Zip: _____

Company Contact: _____ Contact Title: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____

Company uses USDA GAP&GHP Logo on packaging or marketing materials? ☐ Yes ☐ No

AUDIT INFORMATION

Date and Time of Audit Beginning Date: _____ Time: _____

Ending Date: _____ Time: _____

Description of Operation: _____

Harvest Company Name (if applicable): _____

Other Contractors: _____

Commodities Covered by Audit: _____

Commodities Produced During Audit: _____

Total Acres Covered by Audit: _____

Send Certificate to: (choose) ☐ Inspection Office (list office) _____

☐ Directly to auditee above

AUDITOR INFORMATION

United States Department of Agriculture
Agricultural Marketing Service
Fruit and Vegetable Programs
Specialty Crops Inspection Division

Field Office: _____

Auditor Name(s): _____

Auditor Signature(s): _____

OTHER INFORMATION

Person(s) Interviewed:	
Audit Requested by:	
Distribute Audit Report to*(if known):	

*Supplying names of retail and food service buyers is not mandatory, however it is useful to know in the event the buyer requires USDA-AMS to send a copy of the audit report directly. No audit results are sent to a 3rd party without the written consent of the auditee.

ADDITIONAL COMMENTS

INTERNAL USE ONLY

Reviewing Official Name:	
Signature:	
Date:	
Audit Results Meets USDA Acceptance Criteria	☐ Yes ☐ No

AUDITOR COMPLETION INSTRUCTIONS

All questions on the Produce GAPs Harmonized Food Safety Standard, Field Operations and Harvesting - USDA Checklist shall be assessed according to the Verification Instructions outlined in the Produce GAPs Harmonized Food Safety Standard. Auditors shall have a copy of the Standard with them when performing audits to verify questions are assessed appropriately. All questions shall be assessed using one of the following:

Compliant (C) - The operation meets the requirements of the Harmonized GAP Standard.

Corrective Action Needed (CAN) - The operation does not meet the requirement(s) of the Harmonized GAP Standard, however the non-conformance is not considered to be an immediate food safety risk.

Immediate Action Required (IAR) - The operation does not meet the requirement(s) of the Harmonized GAP Standard and the non-conformance is considered an imminent food safety risk. An imminent food safety risk is present when produce is grown, processed, packed or held under conditions that promote or cause the produce to become contaminated. Observation of employee practices (personal or hygienic) that jeopardize, or may jeopardize, the safety of the produce are considered an "IAR". The presence or evidence of rodents and an excessive amount of insects or pests are also considered an "IAR".

Not Applicable (N/A) - The question is not applicable to the operation.

Auditor Comments: The auditor shall document the findings associated with any question answered "CAN" or "IAR" in the auditor comment section of the checklist. Auditors may also document observations associated with any question on the checklist whether or not the question is a non-conformity if the explanation clarifies why a question was answered compliant. The auditor shall write a comment for each question answered "N/A" addressing why the question was answered "N/A".

Tallying the Audit: Once the auditor finishes the audit, the score sheet shall be filled out by recording the number of C, CAN, IAR, and NA's for each section of the audit. The question number of any question answered as CAN or IAR for each section shall be noted in the last column of the score sheet.

Corrective Action Reports: The auditor shall fill out a Corrective Action Report for each question that has been answered "CAR" or "IAR". Auditor shall refer to the *GAP&GHP Audit Verification Program - Policy and Instructions* for further guidance on Corrective Action Reports.

Global Markets Addendum: The auditor shall only assess the Global Markets addendum at the specific request of the auditee. This portion of the audit is not an official part of the Produce GAPs Harmonized Food Safety Standard.

AUDITEE INFORMATION

Auditees should download the complete Produce GAPs Harmonized Food Safety Standard which provides more complete & detailed information regarding the specific questions covered by this audit checklist. The complete Standard is available on the USDA website at www.ams.usda.gov/gapghp.

The acceptance criteria to meet USDA-AMS requirements are outlined on the Audit Summary Page, however be aware that depending on who the client(s) requiring the audit are, their specific acceptance criteria may vary from the USDA-AMS criteria.

It is intended that the entire Field Operations and Harvesting checklist be completed, and the audit not restricted to one specific section. However, at the auditees request, the audit may be split to accommodate scheduling; however, if this is done, the audit is not complete and no certificate or web posting will be issued until the audit is finalized.

Packinghouse operations are covered by a separate standard and audit checklist. Please visit the USDA website at www.ams.usda.gov/gapghp to download a copy of the Produce GAPs Harmonized Post-harvest Operations standard and checklist.

To schedule an audit, please go to the USDA-AMS website at www.ams.usda.gov/gapghp and click on the "Request an Audit" link. This will list out the local contacts across the country who can be contacted to schedule an audit. For auditees without internet access, please contact your local Federal or Federal-State Fruit and Vegetable Inspection office, or the Specialty Crops Inspection Division at 202-720-5021.

USDA Acceptance Criteria for the Produce GAPs Harmonized Food Safety Standard Field Operations and Harvesting

1	No questions are assessed as an "IAR", Immediate Action Required.
2	Falsification of records is considered an "IAR".
3	Questions 1.1.1; 1.1.2; 1.2.1; 1.6.1; 1.7.1; and 2.3.1 must be assessed as "compliant".
4	If the auditee has been audited against the Produce GAPs Harmonized Food Safety Standard previously, the auditee must have addressed all associated CANs or IARs, following their established corrective action procedure.
5	Operation must have performed a risk assessment as addressed in Questions 2.1.1, 2.4.2.1, 2.5.1, 2.6.1, and 3.1.1 in the Harmonized Standard as well as Question 5.1.11 in the Global Markets section, if this section is covered by scope of audit.
6	In each major section (1 through 4) of the audit, at least 80% of the questions not answered as "N/A" must be answered as compliant.
7	If a major section has less than 5 questions, one "CAN" can be assessed and still meet the minimum acceptance criteria.

If an operation meets the acceptance criteria as outlined above, the operation will receive a certificate stating its conformance to the Harmonized Standard as well as being posted to the USDA website. Corrective action reports will still be supplied to the auditee for all nonconformances.

If an operation does not meet the acceptance criteria as outlined above, a corrective action report form will be issued for each nonconformance noted on the audit. The operation has the opportunity to take measures in order to address the issue and schedule a new audit in order to show compliance to the acceptance criteria.

Acceptance Criteria for the Global Markets Program for Primary Production Basic or Intermediate Level Assessment

In addition to the USDA acceptance criteria, growers utilizing this audit to meet Global Markets Program for Primary Production Basic or Intermediate Level Assessment requirements must meet the following additional criteria, which are listed as major elements within the Global Markets Capacity Building Program for Primary Production.

Audit Element(s)	Criteria
1.3	Documentation and Recordkeeping (includes all 3 sub-questions).
1.4	Worker Training.
2.1.1	Field History and Assessment (pre-planting).
2.2.1	Hygienic Procedure for All Activities Which Take Place on the Farm.
2.2.2	Hygienic Practices are Effectively Implemented.
2.2.4 & 2.2.5	Access to Clean Toilets and Hand Washing Facilities.
2.3.1	Agricultural Chemicals are Registered.
2.3.2	If Exporting - Agriculture Chemicals Registered or Permitted for use in the Destination Country
2.3.4	Water Used for Plant Protection Products does not Present a Food Safety Risk.
2.3.5	Agricultural Chemical Disposal.
2.4.3.1	No Untreated Sewage Water Used for Irrigation.
2.4.3.1, 2.5.1, 2.6.1, 2.7.2	Where Food Safety Hazards have been Identified - Records to Demonstrate that They are Effectively Managed (water, animals, soil amendments, equipment).
2.5	Animal Control (includes all 3 sub-questions).
2.6	Soil Amendments (includes 2 sub-questions).
2.7.2	Documented Cleaning and Sanitation Procedures.
3.2.2	Water Used on Harvested Crops is Potable.
3.3	Containers, Bins & Packing Material (includes all 4 sub-questions).
3.5.3	Storage of Harvested Product.
5.1.1 & 5.1.2	Awareness and Compliance to Customer Specific Food Safety Specifications.
5.1.7	Food Safety Incidents Recorded and Assessed.
5.3.1	No Untreated Human Sewage is Used.
5.5.2	Operation Keeps List of Agricultural Chemicals Used on the Crops being Grown.
5.5.6	Operations Demonstrate Knowledge of Calculating and Preparing Application Mix.

Audit Summary		Name of Auditee:					
		Date of audit:					
Section	**Questions**	**Total # in Section**	**# of C**	**# of CAN**	**# of IAR**	**# of NA**	**Question # of any CAN or IAR**
1.0	**General Questions**	**20**					
1.1	Management Responsibility	3					
1.2	Food Safety Plan	2					
1.3	Documentation & Recordkeeping	3					
1.4	Worker Education & Training	3					
1.5	Sampling & Testing	4					
1.6	Traceability	2					
1.7	Recall Program	1					
1.8	Corrective Actions	1					
1.9	Self Audits	1					
2.0	**Field Production**	**46**					
2.1	Field History & Assessment	2					
2.2	Worker Health/Hygiene and Toilet/Hand washing Facilities	21					
2.3	Agricultural Chemicals/Plant Protection Products	5					
2.4	Agricultural Water	7					
2.5	Animal Control	3					
2.6	Soil Amendments	2					
2.7	Vehicles, Equipment, Tools and Utensils	6					
3.0	**Harvesting**	**20**					
3.1	Pre-harvest Assessment	1					
3.2	Water/Ice	5					

Audit Summary		Name of Auditee:					
		Date of audit:					
Section	**Questions**	**Total # in Section**	**# of C**	**# of CAN**	**# of IAR**	**# of NA**	**Question # of any CAN or IAR**
3.3	Containers, Bins and Packaging Materials	4					
3.4	Field Packaging and Handling	7					
3.5	Postharvest Handling	3					
4.0	**Transportation (Field to Packinghouse)**	**3**					
4.1	Equipment Sanitation & Maintenance	3					
5.0	**Global Markets Primary Production Addendum**	**33**					
5.1	Food Safety Plan and Documentation	11					
5.2	Propagation Material	3					
5.3	Fertilizers & Biosolids	4					
5.4	Harvesting	1					
5.5	Agricultural Chemicals	9					
5.6	Waste Management	2					
5.7	Food Defense	3					

C, Compliant with requirement; CAN, Corrective action needed to address nonconformance; IAR, Immediate action required because of imminent food safety risk; N/A, not applicable or not needed.

NOTE:	Section 5 is not a component of the Produce GAPs Harmonized Food Safety Standard and is offered only as a service to those auditees who need to conform to the Global Markets Primary Production Assessment

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1	**General Questions**						
1.1	**Management Responsibility**						
1.1.1.	A food safety policy shall be in place.	**WP**					
1.1.2.	Management has designated individual(s) with roles, responsibilities, and resources for food safety functions.	**WP**					
1.1.3.	There is a disciplinary policy for food safety violations.						
1.2	**Food Safety Plan**						
1.2.1.	There shall be a written food safety plan that covers the operation.	**WP**					
1.2.2.	The food safety plan shall be reviewed at least annually.	**R**					
1.3	**Documentation and Recordkeeping**						
1.3.1	Documentation shall be kept that demonstrates the food safety plan is being followed.	**R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.3.2.	Documentation shall be readily available for inspection.						
1.3.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulations.						
1.4	**Worker Education and Training**						
1.4.1.	All personnel shall receive food safety training.	**R**					
1.4.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.						
1.4.3.	Subcontractors are held to the relevant food safety standards as they would be as employees.	**R**					
1.5	**Sampling and Testing**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.5.1.	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	**R**					
1.5.2.	Where microbiological analysis is required in the food safety plan, samples shall be drawn in accordance with an established sampling procedure.	**WP**					
1.5.3.	Tests, their results and actions taken must be documented.	**R**					
1.5.4.	All required testing shall include test procedures and actions to be taken based on the results.	**WP**					
1.6	**Traceability**						
1.6.1.	A documented traceability program shall be established.	**WP, R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.6.2.	A trace back and trace forward exercise shall be performed at least annually.						
1.7	**Recall Program**						
1.7.1.	A documented recall program, including written procedures, shall be established.	**WP, R**					
1.8	**Corrective Actions**						
1.8.1.	The operation shall have documented corrective action procedures.	**WP, R**					
1.9	**Self Audits**						
1.9.1.	The operation shall have documented self-audit procedures.	**R**					

2	**Field Production**
2.1	**Field History and Assessment**

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.1.1.	The food safety plan shall, initially and at least annually thereafter, evaluate and document the risks associated with land use history and adjacent land use, including equipment and structures.	**R**					
2.1.2	For indoor growing and field storage facilities, facility shall be designed, constructed and maintained in a manner that prevents contamination of produce.						
2.2	**Worker Health/Hygiene and Toilet/Hand washing Facilities**						
2.2.1	Operation shall have policies addressing worker health and hygiene practices as well as restroom facilities.	**WP**					
2.2.2	Employees and visitors shall follow all personal hygiene practices as designated by the operation.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.2.3	Toilet facilities shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.						
2.2.4	Toilet facilities shall be of adequate number, easily accessible to employees and in compliance with applicable regulation.						
2.2.5	Toilet and wash stations shall be maintained in a clean and sanitary condition.						
2.2.6	Personnel shall wash their hands at any time when their hands may be a source of contamination.						
2.2.7	Signage requiring hand washing is posted.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.2.8	Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination.						
2.2.9	If gloves are used, the operation shall have a glove use policy.						
2.2.10	Protective clothing, when required, shall be maintained, stored, laundered and worn so as to protect product from risk of contamination.						
2.2.11	When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by field employees shall be provided.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.2.12	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.						
2.2.13	The use of hair coverings shall be in compliance with company policy and applicable regulations.						
2.2.14	Employees' personal belongings shall be stored in designated areas.						
2.2.15	Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing areas.						
2.2.16	Operation shall have a written policy that break areas are located so as to not be a source of product contamination.	**WP**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.2.17	Drinking water shall be available to all field employees.	R					
2.2.18	Workers and field personnel who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.	WP					
2.2.19	Personnel with exposed cuts, sores, or lesions shall not be engaged in handling product.						
2.2.20	Operation shall have a blood and bodily fluids policy.	WP					
2.2.21	First Aid Kits shall be accessible to all personnel.						
2.3	**Agricultural Chemicals/Plant Protection Products**						
2.3.1	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	R					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.3.2	If product is intended for export, agricultural chemical use, including post-harvest chemicals, shall consider requirements in the intended country of destination.						
2.3.3	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulations.	R					
2.3.4	Water (mixed with) used for solutions containing agricultural chemicals shall not be a source of product or field contamination.						
2.3.5	Agricultural chemical disposal shall not be a source of product or field contamination.						
2.4	**Agricultural Water**						
2.4.1	**Water System Description**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.4.1.1	A water system description shall be available for review.	**WP**					
2.4.1.2	The water source shall be in compliance with prevailing regulations.						
2.4.1.3	Agricultural water systems shall not be cross-connected with human or animal waste systems.						
2.4.2	**Water System Risk Assessment**						
2.4.2.1	An initial risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.	**R**					
2.4.3	**Water Management Plan**						
2.4.3.1	There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.	**WP**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.4.3.2	Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or prevailing regulations for the commodities being grown.	**WP**					
2.4.3.3	The testing program shall be implemented consistent with the water management plan.	**R**					
2.5	**Animal Control**						
2.5.1	The operation has a written risk assessment on animal activity in and around the production area.	**WP**					
2.5.2	The operation routinely monitors for animal activity in and around the growing area during the growing season.	**R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.5.3	Based on the risk assessment, there shall be measures to prevent or minimize the potential for contamination from animals, including domestic animals used in farming operations.	R					
2.6	**Soil Amendments**						
2.6.1	The food safety plan shall address soil amendment risk, preparation, use, and storage.	R					
2.6.2	If a soil amendment containing raw or incompletely treated manure is used, it shall be used in a manner so as not to serve as a source of contamination of produce.	R					
2.7	**Vehicles, Equipment, Tools and Utensils**						
2.7.1	Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified.	R					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.7.2	Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, and are not a source of contamination of produce.	**R**					
2.7.3	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.						
2.7.4	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards.						
2.7.5	Cleaning and sanitizing procedures do not pose a risk of product contamination.						
2.7.6	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.	**WP**					

3	**Harvesting**

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
3.1	**Preharvest Assessment**						
3.1.1.	A preharvest risk assessment shall be performed.	**WP. R**					
3.2	**Water/Ice**						
3.2.1.	Operation has procedures for water used in contact with product or food contact surfaces.	**R**					
3.2.2.	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food- contact surfaces.	**R**					
3.2.3.	Water use SOPs address treatment of re-circulated water, if used.	**R**					
3.2.4.	Water use SOPs address condition and maintenance of water-delivery system.						
3.2.5.	If applicable to the specific commodity, water use SOPs address control of wash water temperature.						
3.3	**Containers, Bins and Packaging Materials**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
3.3.1.	Operation has written policy regarding storage of harvesting containers.	**WP**					
3.3.2.	Operation has written policy regarding inspection of food contact containers prior to use.	**WP**					
3.3.3.	Operation has written policy regarding acceptable harvesting containers.	**WP**					
3.3.4.	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	**WP**					
3.4	**Field Packing and Handling**						
3.4.1.	Operation shall have a written policy that damaged or decayed produce is not harvested, or is culled.	**WP**					
3.4.2.	Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.	**WP**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
3.4.3.	Harvest procedures shall include measures to inspect for and remove physical hazards.						
3.4.4.	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.						
3.4.5.	Packaging materials shall be appropriate for their intended use.						
3.4.6.	Packaging shall be stored in a manner that prevents contamination.						
3.4.7.	Operation has written policy regarding whether packing materials are permitted in direct contact with the soil.	**WP**					
3.5	**Post Harvest Handling and Storage**						
3.5.1.	Harvested produce is handled in a manner such that it is not likely to become contaminated.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
3.5.2.	Materials that come in contact with the produce shall be clean and in good repair.						
3.5.3.	Harvested produce shall be stored separately from chemicals which may pose a food safety hazard.						

4	**Transportation (Field to Storage or Packinghouse)**						
4.1	**Equipment Sanitation and Maintenance**						
4.1.1.	The operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	**WP, R**					
4.1.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.						
4.1.3.	Trash shall not come in contact with produce.						

Code Key: WP = Written Policy/Procedure; R = Record

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
Additional Auditor Comments:							

Name of Auditee:	
Date of Audit:	

Note: The questions in this section are not official questions associated with the Produce GAPs Harmonized Food Safety Standard. These additional questions are used to show conformance to the Global Markets Program for Primary Production Basic or Intermediate Level Assessment. Farming or packinghouse operations should check with their buyers to verify whether or not conformance with these questions is necessary in order to be an approved supplier. **This addendum will only be assessed at the specific request of the auditee.** Several of the questions in this section are similar to questions in the Harmonized Audit, however due to slight differences in the requirements of the two standards, the Global Markets questions shown below were developed to verify conformance to the Global Markets Assessment.

The Global Markets Capacity Building Program for Primary Production has two levels, Basic and Intermediate. For the Basic level audit, only those questions identified as basic need to be answered (Intermediate level questions should be marked N/A). For the Intermediate level audit both the basic AND intermediate questions must be answered. A copy of the complete Global Markets Primary Production Assessment can be obtained on the Global Food Safety Initiative website at www.mygfsi.com.

Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments	Basic or Intermediate Level
5	**Additional Questions required to meet Global Markets Primary Production Assessment**							
5.1	**Food Safety Plan & Documentation**							
5.1.1	If applicable, the food safety plan addresses customers' food safety specifications.	**R**						**Basic**
5.1.2	The operation can demonstrate compliance to customers' food safety specifications (if applicable).	**R**						**Basic**

Name of Auditee:								
Date of Audit:								
5.1.3	A reference system for each field, orchard, greenhouse, plot and other production area has been established.	**R**						**Basic**
5.1.4	Documentation shall include records of all agronomic activities undertaken at each production unit.	**R**						**Basic**
5.1.5	Corrective action procedures shall include a procedure to evaluate complaints.	**WP**						**Basic**
5.1.6	The operation shall record any food safety related non-conformances and complaints.	**R**						**Basic**
5.1.7	Food safety incidents are recorded and assessed to determine its severity and risk and addressed accordingly.	**R**						**Intermediate**

Name of Auditee:								
Date of Audit:								
5.1.8	The incident management procedure is reviewed, tested and verified at least once a year.	**R**						**Intermediate**
5.1.9	Operation has an approved supplier program for all inputs including contractors.	**WP, R**						**Intermediate**
5.1.10	Operation has performed and documented a risk assessment of the production area.	**R**						**Basic**
5.1.11	Operation has identified control measures to all significant hazards identified during risk assessment.	**R**						**Intermediate**
5.2	**Propagation Material**							
5.2.1	Operation keeps records of agricultural chemical applications used on nursery stock, transplants and other propagation material produced on site.							**Basic**

Name of Auditee:								
Date of Audit:								
5.2.2	If nursery stock, transplants or other propagation material is purchased from an outside source, records of ag chemical use are obtained.	R						Basic
5.2.3	The Operation has certificates/records showing the seed or other propagation material is free of injurious pests, diseases, viruses, etc.	R						Basic
5.3	**Fertilizers and Biosolids**							
5.3.1	Operation does not use untreated human sewage.	WP						Basic
5.3.2	All applications of fertilizers, both organic and inorganic shall be recorded.	R						Basic
5.3.3	Application equipment used to apply fertilizers are checked and calibrated on a scheduled basis.	R						Intermediate

Name of Auditee:								
Date of Audit:								
5.3.4	Fertilizers are stored separately from agricultural chemicals.							**Basic**
5.4	**Harvesting**							
5.4.1	When product is field packed, collection, storage, and distribution points are maintained in a clean and hygienic contamination.							**Basic**
5.5	**Agricultural Chemicals**							
5.5.1	The operation shall have a documented crop protection policy.	**WP**						**Basic**
5.5.2	The operation has a current list of agricultural chemicals that are used and approved for the crops being grown.	**R**						**Intermediate**
5.5.3	Agricultural chemical records include the target organism(s) and justification for application.	**R**						**Intermediate**
5.5.4	Agricultural chemical records include the application equipment used to apply the chemicals.	**R**						**Intermediate**

Name of Auditee:								
Date of Audit:								
5.5.5	Equipment used to apply agricultural chemicals shall be kept in good condition and verified annually to ensure accurate application.	R						Intermediate
5.5.6	Operator demonstrates knowledge of preparing and calculating agricultural chemical mixes.							Intermediate
5.5.7	The operation provides evidence of annual residue testing or participation in a third party plant protection product residue monitoring system.	R						Intermediate
5.5.8	Agricultural chemicals approved for use on the crops being grown are stored separately from agricultural chemicals used for other purposes.							Intermediate

Name of Auditee:								
Date of Audit:								
5.5.9	Records of post-harvest biocides, waxes and plant protection products include the identity of the harvested crop, location, application dates, treatment, product name and dose rate.	R						Basic
5.6	**Waste Management**							
5.6.1	Operation has implemented a waste management plan.	R						Intermediate
5.6.2	Operation has identified all sources of waste products and pollution created by the farm operation which pose a risk of food safety.	R						Intermediate
5.7	**Food Defense**							
5.7.1	Have the threats to the produce as a result of intentional contamination been assessed?	R						Intermediate
5.7.2	Have those points in the process which are vulnerable to intentional contamination been identified and subjected to additional access control?	WP, R						Intermediate

Name of Auditee:								
Date of Audit:								
5.7.3	Are measures in place, if prohibited access took place and food may have been sabotaged?	**WP**						**Intermediate**

Code Key: WP = Written Policy/Procedure; R = Record

Additional Auditor Comments:

Produce GAPs Harmonized Food Safety Standard
Field Operations & Harvesting - USDA Checklist

USDA, AMS, Fruit and Vegetable Program Good Agricultural Practice & Good Handling Practices CORRECTIVE ACTION REPORT	Report #: _____ of _____
Company Name/Farm:	**Date:**
Lead Auditor:	
Crop(s):	
Description of Non Conformity:	
Notified company staff at time of finding non-conformity (Yes or No):	
Checklist question number and/or section of auditee food safety plan associated with non-conformity:	
Corrective Action Proposed and Time Frame for Implementation: *(Attach separate sheet if necessary)*	
Company Representative Signature: *Signature affirms statements concerning Non-Conformity, Corrective Action, and Implementation are correct.*	
Auditor signature for acceptance of proposed corrective action and timetable for implementation:	

Top portion for AUDITOR USE ONLY; bottom portion for Company and Auditor use.

Produce GAPs Harmonized Food Safety Standard
Post-harvest Operations - USDA Checklist

AUDITEE INFORMATION

Company Name: _____

Audited Location Address GPS (Optional): _____

Street: _____ City, State, Zip: _____

Multiple sites covered by this audit? (If Yes, provide details in Additional Comments) ☐ Yes ☐ No

Mailing/Business Address ☐ Same as above

Street: _____ City, State, Zip: _____

Company Contact: _____ Contact Title: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____

Company uses USDA GAP&GHP Logo on packaging or marketing materials? ☐ Yes ☐ No

AUDIT INFORMATION

Date and Time of Audit Beginning Date: _____ Time: _____

Ending Date: _____ Time: _____

Description of Operation: _____

Contractors used by Packinghouse (if applicable): _____

Commodities Covered by Audit: _____

Commodities Produced During Audit: _____

Send Certificate to: (choose) ☐ Inspection Office (list office) _____

☐ Directly to auditee above

AUDITOR INFORMATION

United States Department of Agriculture
Agricultural Marketing Service
Fruit and Vegetable Programs
Specialty Crops Inspection Division

Field Office: _____

Auditor Name(s): _____

Auditor Signature(s): _____

OTHER INFORMATION

Person(s) Interviewed:	
Audit Requested by:	
Distribute Audit Report to*(if known):	

*Supplying names of retail and food service buyers is not mandatory, however it is useful to know in the event the buyer requires USDA-AMS to send a copy of the audit report directly. No audit results are sent to a 3rd party without the written consent of the auditee.

ADDITIONAL COMMENTS

INTERNAL USE ONLY

Reviewing Official Name:	
Signature:	
Date:	
Audit Results Meets USDA Acceptance Criteria	☐ Yes ☐ No

AUDITOR COMPLETION INSTRUCTIONS

All questions on the Produce GAPs Harmonized Food Safety Standard, Post-harvest Operations - USDA Checklist shall be assessed according to the Verification Instructions outlined in the Produce GAPs Harmonized Food Safety Standard. Auditors shall have a copy of the Standard with them when performing audits to verify questions are assessed appropriately. All questions shall be assessed using one of the following:

Compliant (C) - The operation meets the requirements of the Harmonized GAP Standard.

Corrective Action Needed (CAN) - The operation does not meet the requirement(s) of the Harmonized GAP Standard, however the non-conformance is not considered to be an immediate food safety risk.

Immediate Action Required (IAR) - The operation does not meet the requirement(s) of the Harmonized GAP Standard and the non-conformance is considered an imminent food safety risk. An imminent food safety risk is present when produce is grown, processed, packed or held under conditions that promote or cause the produce to become contaminated. Observation of employee practices (personal or hygienic) that jeopardize, or may jeopardize, the safety of the produce are considered an "IAR". The presence or evidence of rodents and an excessive amount of insects or pests are also considered an "IAR".

Not Applicable (N/A) - The question is not applicable to the operation.

Auditor Comments: The auditor shall document the findings associated with any question answered "CAN" or "IAR" in the auditor comment section of the checklist. Auditors may also document observations associated with any question on the checklist whether or not the question is a non-conformity if the explanation clarifies why a question was answered compliant. The auditor shall write a comment for each question answered "N/A" addressing why the question was answered "N/A".

Tallying the Audit: Once the auditor finishes the audit, the score sheet shall be filled out by recording the number of C, CAN, IAR, and NA's for each section of the audit. The question number of any question answered as CAN or IAR for each section shall be noted in the last column of the score sheet.

Corrective Action Reports: The auditor shall fill out a Corrective Action Report for each question that has been answered "CAR" or "IAR". Auditor shall refer to the *GAP&GHP Audit Verification Program - Policy and Instructions* for further guidance on Corrective Action Reports.

Global Markets Addendum: The auditor shall only assess the Global Markets addendum at the specific request of the auditee. This portion of the audit is not an official part of the Produce GAPs Harmonized Food Safety Standard.

AUDITEE INFORMATION

Auditees should download the complete Produce GAPs Harmonized Food Safety Standard which provides more complete & detailed information regarding the specific questions covered by this audit checklist. The complete Standard is available on the USDA website at www.ams.usda.gov/gapghp.

The acceptance criteria to meet USDA-AMS requirements are outlined on the Audit Summary Page, however be aware that depending on who the client(s) requiring the audit are, their specific acceptance criteria may vary from the USDA-AMS criteria.

It is intended that the entire Post-harvest checklist be completed, and the audit not restricted to one specific section. However at the auditees request, the audit may be split to accommodate scheduling; however if this is done, the audit is not complete and no certificate or web posting will be issued until the audit is finalized.

Field Operations and Harvesting are covered by a separate standard and audit checklist. Please visit the USDA website at www.ams.usda.gov/gapghp to download a copy of the Produce GAPs Harmonized Field Operations and Harvesting standard and checklist.

To schedule an audit, please go to the USDA-AMS website at www.ams.usda.gov/gapghp and click on the "Request an Audit" link. This will list out the local contacts across the country who can be contacted to schedule an audit. For auditees without internet access, please contact your local Federal or Federal-State Fruit and Vegetable Inspection office, or the Specialty Crops Inspection Division at 202-720-5021.

USDA ACCEPTANCE CRITERIA FOR THE Produce GAPs Harmonized Food Safety Standard Post-harvest Operations

1	No questions are assessed as an "IAR", Immediate Action Required.
2	Falsification of records is considered an "IAR".
3	Questions 1.1.1; 1.1.2; 1.2.1; 1.6.1; 1.7.1; and 1.10.1 must be assessed as "compliant".
4	If the auditee has been audited against the Produce GAPs Harmonized Food Safety Standard previously, the auditee must have addressed all associated CANs or IARs, following their established corrective action procedure.
5	Operation must have performed a risk assessment as addressed in Questions 1.2.1, 1.23.1, and 2.1 in the Harmonized Standard, as well as Question 4.1.2 in the Global Markets Addendum section, if this section is covered by scope of audit.
6	In each major section (1 through 3) of the audit, at least 80% of the questions not answered as "NA" must be answered as compliant.
7	If a major section has less than 5 questions, one "CAN" can be assessed and still meet the minimum acceptance criteria.

If an operation meets the acceptance criteria as outlined above, the operation will receive a certificate stating its conformance to the Harmonized Standard as well as being posted to the USDA website. Corrective action reports will still be supplied to the auditee for all nonconformances.

If an operation does not meet the acceptance criteria as outlined above, a corrective action report form will be issued for each nonconformance noted on the audit. The operation has the opportunity to take measures in order to address the issue and schedule a new audit in order to show compliance to the acceptance criteria.

Acceptance Criteria for the Global Markets Program for Primary Production Basic or Intermediate Level Assessment

In addition to the USDA acceptance criteria, growers utilizing this audit to meet Global Markets Program for Primary Production Basic or Intermediate Level Assessment requirements must meet the following additional criteria, which are listed as major elements within the Global Markets Capacity Building Program for Primary Production.

Audit Element (s)	Criteria
1.3.1	Raw Material Sourcing
1.4.1	Documentation & Recordkeeping
1.5.1	Worker Training
1.9.1	Self Audits
1.10.2	Ag Chemicals, Biocides, Plant Protection Products
1.11.1	Water Use
1.11.3	Water System Assessment
1.13.2 & 1.13.5	Master Sanitation Schedule
1.14.1, 1.14.3 & 1.14.4	Storage Areas
1.18.1	Lubrication
1.21.1, 1.21.2	Toilet Facilities
1.21.7 & 1.21.8	Employee Hygienic Practices
1.24	Pest & Animal Control (includes all 3 sub-questions)
2.3, 2.4 & 2.5	Water Treatment Procedures
4.1.1	Customer Specifications
4.1.2	Risk Assessment of Packinghouse
4.1.3	Critical Control Points, HACCP Plan
4.1.6, 4.1.7 & 4.1.8	Record of Food Safety Non-conformances, Complaints, and Corrective Actions

Audit Summary		Name of Auditee:					
		Date of audit:					
Section	Questions	Total # in Section	# of C	#of CAN	# of IAR	# of NA	Question # of any CAN or IAR
1.0	**General Questions**	**88**					
1.1	Management Responsibility	3					
1.2	Food Safety Plan or Risk Assessment	2					
1.3	Raw Material Sourcing	2					
1.4	Documentation & Recordkeeping	3					
1.5	Worker Education & Training	2					
1.6	Traceability	2					
1.7	Recall Program	1					
1.8	Corrective Actions	1					
1.9	Self Audits	1					
1.10	Agricultural Chemicals/Plant Protection Products	3					
1.11	Water/Ice	8					
1.12	Containers, Bins	6					
1.13	Facility, Equipment, Tools	11					
1.14	Storage	6					
1.15	Waste Material	1					
1.16	Outside Grounds	1					
1.17	Glass Control	1					
1.18	Leaks/Lubricants	1					
1.19	Equipment and Utensil Construction	3					
1.20	Temporary Repairs	1					
1.21	Worker Health/Hygiene and Toilet/Handwashing Facilities	19					

Audit Summary		Name of Auditee:					
		Date of audit:					
Section	**Questions**	**Total # in Section**	**# of C**	**#of CAN**	**# of IAR**	**# of NA**	**Question # of any CAN or IAR**
1.22	Temperature Control	1					
1.23	Packing and Handling	2					
1.24	Pest and Animal Control	3					
1.25	Sampling/Testing	4					
2.0	**Packinghouse**	**6**					
3.0	**Transportation (Packinghouse to Customer)**	**7**					
3.1	Temperature Control	4					
3.2	Equipment Sanitation and Maintenance	3					
4.0	**Global Markets Addendum**	**14**					
4.1	Food Safety Plan & Documentation	11					
4.2	Food Defense	3					
5.0	**USDA Logo Use Addendum**	**8**					
5.1	Active and Effective Traceability and Recall Program	2					
5.2	Approved Suppliers	3					
5.3	Food Safety Plan or Quality Manual	1					
5.4	Containers or Labels with GAP&GHP logo	2					

C, Compliant with requirement; CAN, Corrective action needed to address nonconformance; IAR, Immediate action required because of imminent food safety risk; N/A, not applicable or not needed.

NOTE:	Section 4 is not a component of the Produce GAPs Harmonized Food Safety Standard and is offered only as a service to those auditees who need to conform to the Global Markets Primary Production Assessment

Audit Summary		Name of Auditee:					
		Date of audit:					
Section	Questions	Total # in Section	# of C	#of CAN	# of IAR	# of NA	Question # of any CAN or IAR
	Section 5 is not a component of the Produce GAPs Harmonized Food Safety Standard and is performed for those operations approved to use the USDA GAP&GHP logo.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1	**General Questions**						
1.1	**Management Responsibility**						
1.1.1.	A food safety policy shall be in place.	**WP**					
1.1.2.	Management has designated individual(s) with roles and responsibilities for food safety functions.	**WP**					
1.1.3.	There is a disciplinary policy for food safety violations.						
1.2	**Food Safety Plan or Risk Assessment**						
1.2.1.	There shall be a written Food Safety Plan. The plan shall cover the operation. The operation and products covered shall be defined.	**WP**					
1.2.2.	The Food Safety Plan shall be reviewed at least annually.	**R**					
1.3	**Raw Material Sourcing**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.3.1.	Operation has an Approved Supplier program for all incoming materials, including packaging.	**WP**					
1.3.2.	The Operation has a policy and takes affirmative steps to ensure that all fresh produce that are packed or stored in the facility are grown following requirements in *Field Operations and Harvesting* harmonized standard.	**R**					
1.4	**Documentation & Recordkeeping**						
1.4.1.	Documentation shall be kept that demonstrates the Food Safety Plan is being followed.	**R**					
1.4.2.	Documentation shall be readily available for inspection.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.4.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulation.						
1.5	**Worker Education & Training**						
1.5.1.	All personnel shall receive food safety training.	**R**					
1.5.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.						
1.6	**Traceability**						
1.6.1.	A documented traceability program shall be established.	**WP, R**					
1.6.2.	A trace back and trace forward exercise shall be performed at least annually.						
1.7	**Recall Program**						
1.7.1.	A documented recall program, including written procedures, shall be established.	**WP, R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.8	**Corrective Actions**						
1.8.1.	The Operation shall have documented corrective action procedures.	**WP, R**					
1.9	**Self Audits**						
1.9.1.	The Operation shall have documented self-audit procedures.	**R**					
1.10	**Agricultural Chemicals/Plant Protection Products**						
1.10.1	Use of agricultural chemicals shall comply with label directions and prevailing regulations.	**R**					
1.10.2	If product is intended for export, pre- and post-harvest agricultural chemical use shall consider requirements in the intended country of destination.						
1.10.3	Agricultural chemicals shall be applied by trained, licensed, or certified application personnel, as required by prevailing regulation	**R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.11	**Water/Ice**						
1.11.1	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces.	**R**					
1.11.2	A water system description shall be prepared.	**WP, R**					
1.11.3	Documented scheduled assessment of water system including delivery equipment shall be performed.	**R**					
1.11.4	The sewage disposal system is adequate for the process and maintained to prevent direct or indirect product contamination.						
1.11.5	Water-change schedules shall be developed for all uses of water where water is re-used.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.11.6	Re-circulated water that contacts product or food contact surfaces shall be treated using an approved antimicrobial process or chemical treatment.	**R**					
1.11.7	If used, water antimicrobial treatments shall be monitored sufficiently to assure continuous control.	**R**					
1.11.8	If applicable to the specific commodity, water use SOPs address control of immersion water temperature.	**R**					
1.12	**Containers, Bins**						
1.12.1	Operation has written policy regarding storage and post-storage handling of product-contact containers.	**WP**					
1.12.2	Operation has written policy regarding whether product-contact containers are permitted in direct contact with the ground.	**WP**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.12.3	Operation has written policy regarding inspection of food contact containers and bins prior to use.	**WP**					
1.12.4	Operation has written policy regarding acceptable product-contact containers.	**WP**					
1.12.5	Operations has written policy prohibiting used of product-contact containers for non-product purposes unless clearly marked or labeled for that purpose.	**WP**					
1.12.6	Pallets shall be kept clean and in good condition as appropriate for their intended use.						
1.13	**Facility, Equipment, Tools**						
1.13.1	Facility shall be designed, constructed and maintained in a manner that prevents contamination of produce during staging and cooling.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.13.2	A Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs, shall be established.	WP, R					
1.13.3	All cleaning agents shall be approved for their intended use on food contact surfaces.						
1.13.4	Cleaning equipment and tools are clean, in working order and stored properly away from product handling areas.						
1.13.5	Food contact surfaces shall be cleaned, sanitized and maintained according to the Food Safety Plan.						
1.13.6	Adequate lighting shall be provided in all areas.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.13.7	Where temperature control is required for food safety, cooling facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device.	R					
1.13.8	Cooling equipment shall be maintained so as not to be a source of product contamination.						
1.13.9	Transporting equipment shall be maintained to prevent contamination of products being transported.						
1.13.10	Outside garbage receptacles/dumpsters are closed and located away from facility entrances and the area around such sites is reasonably clean.						
1.13.11	The plant grounds are reasonably free of litter, vegetation, debris and standing water.						
1.14	**Storage**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.14.1	Product storage areas and conditions shall be appropriate to the commodities stored.						
1.14.2	Iced produce is handled so as not to serve as a source of contamination.						
1.14.3	Non-product storage areas shall be maintained so as not to be a source of product or materials contamination						
1.14.4	Materials and packaging materials shall be protected from contaminants.						
1.14.5	Adequate space shall be maintained between rows of stored materials to allow for cleaning and inspection.						
1.14.6	All chemicals shall be stored in a secure, separate area. All chemicals shall be properly labeled.						
1.15	**Waste Material**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.15.1	Waste materials and their removal are managed to avoid contamination.						
1.16	**Outside Grounds**						
1.16.1	Operation has procedures to prevent pest harborage in any equipment stored near the building.						
1.17	**Glass Control**						
1.17.1	Only essential glass and brittle plastic shall be present in the facility.						
1.18	**Leaks/Lubrication**						
1.18.1	Equipment lubrication is managed so as not to contaminate food products.						
1.19	**Equipment and Utensil Construction**						
1.19.1	All food contact equipment, tools and utensils are designed and made of materials that are easily cleaned and maintained.						
1.19.2	Equipment is installed in a way that provides access for cleaning.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.19.3.	Catwalks above product zones are protected to prevent produce or packaging contamination.						
1.20	**Temporary Repairs**						
1.20.1	Any temporary repairs on food contact surfaces are constructed of food-grade material. Operation has a procedure to ensure that permanent repairs are implemented in a timely manner.						
1.21	**Worker Health/Hygiene and Toilet/Handwashing Facilities**						
1.21.1	Restrooms shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination.						
1.21.2	Toilet facilities shall be of adequate number, easily accessible to employees and in compliance with applicable regulation.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.21.3	The practice of disposing of used toilet tissue on the floor, in trash receptacles, or in boxes is prohibited.						
1.21.4	Toilet and hand wash stations shall be maintained in a clean and sanitary condition.						
1.21.5	Signage requiring hand washing is posted.						
1.21.6	When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by employees shall be provided.						
1.21.7	Employees and visitors shall follow all personal hygiene practices as designated by the Operation.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.21.8	Workers and visitors who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.						
1.21.9	Personnel with exposed cuts, sores or lesions shall not be engaged in handling product.						
1.21.10	First aid kits shall be accessible to all personnel.						
1.21.11	Smoking, chewing, eating, drinking (other than water), chewing gum and using tobacco shall be prohibited except in clearly designated areas.						
1.21.12	Personnel shall be required to wash their hands before beginning or returning to work, after each visit to the toilet and whenever their hands may have become a source of contamination.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.21.13	If gloves are used, the Operation shall have a glove use policy.						
1.21.14	Clothing, including footwear, shall be effectively maintained, stored, laundered and worn so as to protect product from risk of contamination.						
1.21.15	If protective clothing is required by the Operation in product handling areas, it shall be handled in a manner to protect against contamination.						
1.21.16	The use of hair coverings shall be in compliance to company policy and applicable regulation.						
1.21.17	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.21.18	Employees' personal belongings shall be stored in designated areas.						
1.21.19	Break areas shall be designated and located away from food contact/handling zones.						
1.22	**Temperature Control**						
1.22.1	When produce is cooled, it is cooled to temperatures appropriate to the commodity according to current established regulatory or industry standards.						
1.23	**Packing & Handling**						
1.23.1	If applicable, Operation has a written Allergen Control Program	**WP**					
1.23.2	Specifications for all packaging materials that impact on finished product safety and quality shall be provided and comply with prevailing regulations.	**WP**					
1.24	**Pest & Animal Control**						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.24.1	Operation has procedures to manage pests to the extent appropriate to the facility.	**WP, R**					
1.24.2	Operation restricts animals from food handling facilities.						
1.24.3	If used, pest control devices including rodent traps and electrical flying insect devices, are located so as to not contaminate produce or food handling surfaces.						
1.25	**Sampling/Testing**						
1.25.1	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	**R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
1.25.2	Where microbiological analysis is required in the Food Safety Plan, samples shall be in accordance with an established sampling procedure.	**WP**					
1.25.3	Tests, their results and actions taken must be documented.	**R**					
1.25.4	All required testing shall include test procedures and actions to be taken based on the results.	**WP**					

2	**Packinghouse**						
2.1.	Operation Food Safety Plan includes produce washing process, if used.	**WP**					
2.2.	Debris and damaged produce shall be removed from wash areas/dump tanks to the extent possible.						

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
2.3.	Operation has documentation demonstrating regulatory approval of the wash water antimicrobials in use.	**WP**					
2.4.	If wash water antimicrobial is used, it shall be used in accordance with established operational procedure and manufacturer instructions.	**R**					
2.5.	All instruments used to measure temperature, pH, antimicrobial levels and or other important devices used to monitor requirements in this section shall be calibrated at a frequency sufficient to assure continuous accuracy.	**R**					
2.6.	Foreign material control devices are inspected and maintained.	**R**					

3	**Transportation (Packinghouse to Customer)**

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
3.1	**Temperature Control (when refrigerated transport is required for food safety)**						
3.1.1.	There is a written policy for transporters and conveyances to maintain a specified temperature(s) during transit.	**WP**					
3.1.2.	Prior to loading, the vehicle shall be pre-cooled.	**R**					
3.1.3.	The refrigerated transport vehicles shall have properly maintained and fully functional refrigeration equipment.	**WP**					
3.1.4.	Where required, temperatures of product are taken and recorded prior to or upon loading.	**WP, R**					
3.2	**Equipment Sanitation and Maintenance**						
3.2.1.	The Operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	**WP, R**					

Name of Auditee:							
Date of Audit:							
Q #	**Requirement**	**DOC**	**C**	**CAN**	**IAR**	**NA**	**Auditor Comments**
3.2.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.						
3.2.3.	Trash shall not come in contact with produce.						

Code Key: WP = Written Policy/Procedure; R = Record

Additional Auditor Comments:

Name of Auditee:	
Date of Audit:	

Note: The questions in this section are not official questions associated with the Produce GAPs Harmonized Food Safety Standard. These additional questions are used to show conformance to the Global Markets Program for Primary Production Basic or Intermediate Level Assessment. Farming or packinghouse operations should check with their buyers to verify whether or not conformance with these questions is necessary in order to be an approved supplier. **This addendum will only be assessed at the specific request of the auditee.** Several of the questions in this section are similar to questions in the Harmonized Audit, however due to slight differences in the requirements of the two standards, the Global Markets questions shown below were developed to verify conformance to the Global Markets Assessment.

The Global Markets Capacity Building Program for Primary Production has two levels, Basic and Intermediate. For the Basic level audit, only those questions identified as basic need to be answered (Intermediate level questions should be marked N/A). For the Intermediate level audit both the basic AND intermediate questions must be answered. A copy of the complete Global Markets Primary Production Assessment can be obtained on the Global Food Safety Initiative website at www.mygfsi.com.

Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments	Basic or Intermediate Level
4	**Additional Questions required to meet Global Markets Primary Production Assessment**							
4.1	**Food Safety Plan & Documentation.**							
4.1.1	If applicable, the food safety plan addresses customers' food safety specifications.	**R**						**Basic**
4.1.2	Operation has performed and documented a risk assessment of the packinghouse.	**R**						**Basic**

Name of Auditee:								
Date of Audit:								
4.1.3	If the risk assessment shows the need for a critical control point(s) in the packinghouse, a documented HACCP plan or additional procedures addressing monitoring of control points and disposition of non-conforming products must be in place. The HACCP plan or additional policies must be documented and implemented.	**R**						**Intermediate**
4.1.4	A documented hold and release program has been implemented for all non-conforming product and packaging.							**Basic**
4.1.5	Corrective action procedures shall include a procedure to evaluate complaints.	**WP**						**Basic**
4.1.6	The operation shall record any food safety related non-conformances and complaints.	**R**						**Basic**

Name of Auditee:								
Date of Audit:								
4.1.7	Corrective action procedures shall include a procedure to evaluate complaints.	**WP**						**Basic**
4.1.8	Food safety incidents are recorded and assessed to determine its severity and risk and addressed accordingly.	**R**						**Intermediate**
4.1.9	The incident management procedure is reviewed, tested and verified at least once a year.	**R**						**Intermediate**
4.1.10	The operation has an approved supplier program for all agricultural inputs, chemicals, packaging and food safety related services.	**R**						**Intermediate**
4.1.11	Metal detection equipment, if utilized shall be checked at a scheduled frequency as outlined in the operation's food safety/HACCP plan using iron, non-iron and stainless steel test wands.	**R**						**Intermediate**
4.2	**Food Defense**							

Name of Auditee:								
Date of Audit:								
4.2.1	Threats to the produce as a result of intentional contamination been assessed and documented.	**R**						**Intermediate**
4.2.2	Those points in the process which are vulnerable to intentional contamination been identified and subjected to additional access control.	**WP,R**						**Intermediate**
4.2.3	If access to prohibited areas took place, are measures in place to evaluate food for evidence of sabotage/intentional contamination?	**WP**						**Intermediate**

Code Key: WP = Written Policy/Procedure; R = Record

Additional Auditor Comments:

Name of Auditee:	
Date of Audit:	

Note: An official identification logo has been developed in conjunction with the USDA GAP&GHP program which may be used to indicate participation in the program. Participants may use the logo, provided they meet the requirements of the USDA logo use instructions found at www.ams.usda.gov/gapghp and meet the requirements of this audit. Failure to meet the audit will result in steps taken in accordance with the USDA logo use instructions.

The USDA Logo Use Addendum acceptance criteria is as follows:

1 No questions are assessed as an "IAR", Immediate Action Required.

2 Falsification of records is considered an "IAR".

3 All questions not answered as "NA" are answered as compliant.

Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
5	**Additional questions required for operations approved to use the USDA GAP&GHP Logo**						
5.1	**Active and Effective Traceability and Recall Program**						
5.1.1	Questions in Section 1.6 and 1.7 have been marked Compliant.	**WP,R**					
5.1.2	The operation uses the USDA GAP&GHP logo only on packages, containers, or consumer units which are traceable.	**WP**					
5.2	**Approved Suppliers**						
5.2.1	The operation has supplied a list of approved suppliers to the local Federal or State auditor's office.	**R**					

Name of Auditee:							
Date of Audit:							
5.2.2	All suppliers currently in use by the operation are listed on the supplied list of approved suppliers.	**WP, R**					
5.2.3	All suppliers have successfully completed and met the requirements of a USDA approved GAP & GHP audit (USDA GAP&GHP audit, commodity specific audit, or Produce GAPs Harmonized audit performed by USDA) .	**R**					
5.3	**Food Safety Plan or Quality Manual**						
5.3.1	The operation's food safety plan or quality manual contains procedures on how the USDA GAP&GHP logo will be used.	**WP**					
5.4	**Containers or Labels with GAP&GHP Logo**						
5.4.1	All containers or labels, which bear the GAP&GHP logo, are accountable items.	**WP, R**					

Name of Auditee:							
Date of Audit:							
5.4.2	The operation's inventory list of these containers or labels is maintained and current.	R					

Code Key: WP = Written Policy/Procedure; R = Record

Additional Auditor Comments:

Produce GAPs Harmonized Food Safety Standard
Post-harvest - USDA Checklist

USDA, AMS, Fruit and Vegetable Program Good Agricultural Practice & Good Handling Practices CORRECTIVE ACTION REPORT	Report #: _____ of _____
Company Name/Farm:	**Date:**
Lead Auditor:	
Crop(s):	
Description of Non Conformity:	
Notified company staff at time of finding non-conformity (Yes or No):	
Checklist question number and/or section of auditee food safety plan associated with non-conformity:	
Corrective Action Proposed and Time Frame for Implementation: *(Attach separate sheet if necessary)*	
Company Representative Signature: *Signature affirms statements concerning Non-Conformity, Corrective Action, and Implementation are correct.*	
Auditor signature for acceptance of proposed corrective action and timetable for implementation:	

Top portion for AUDITOR USE ONLY; bottom portion for Company and Auditor use.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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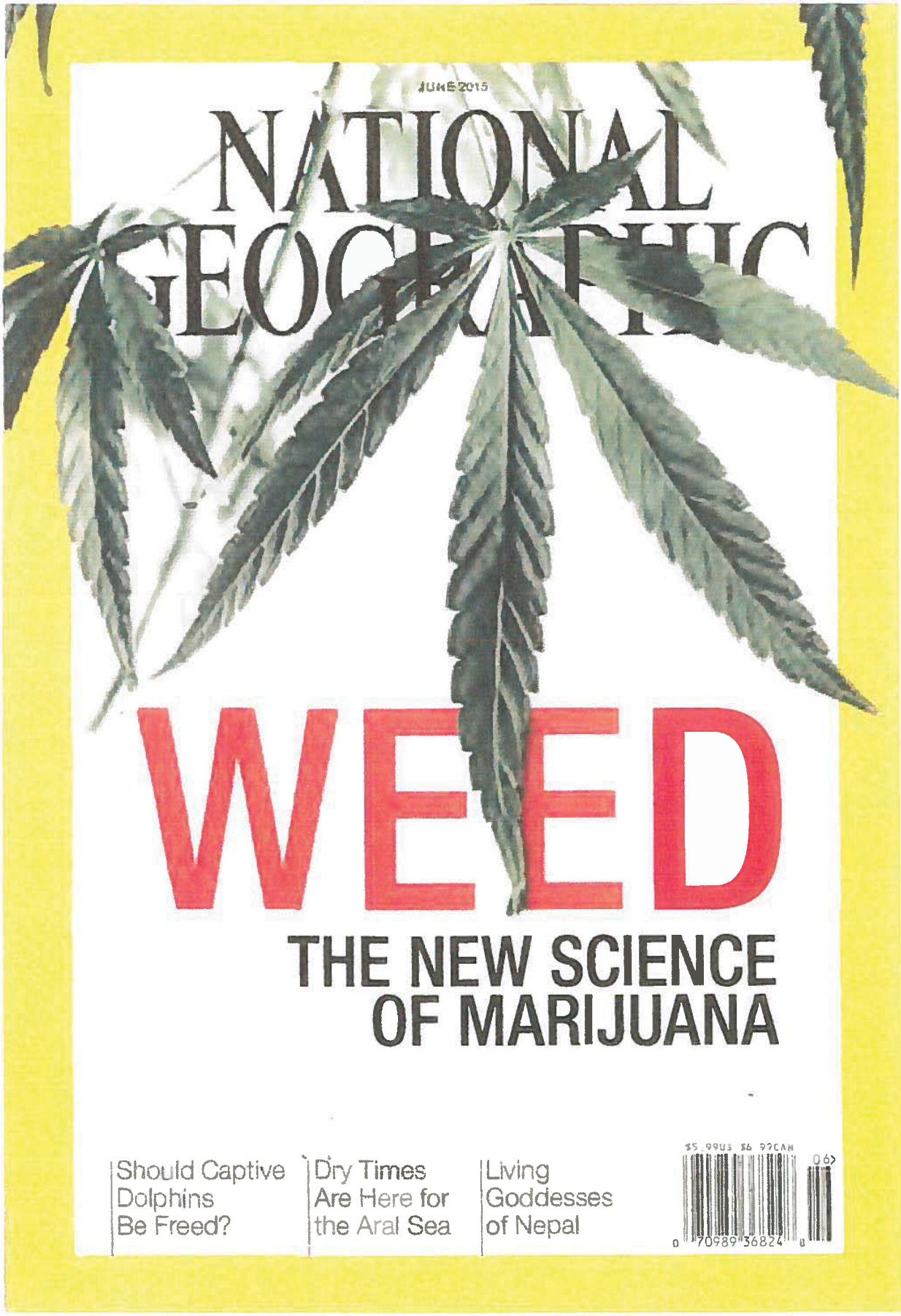
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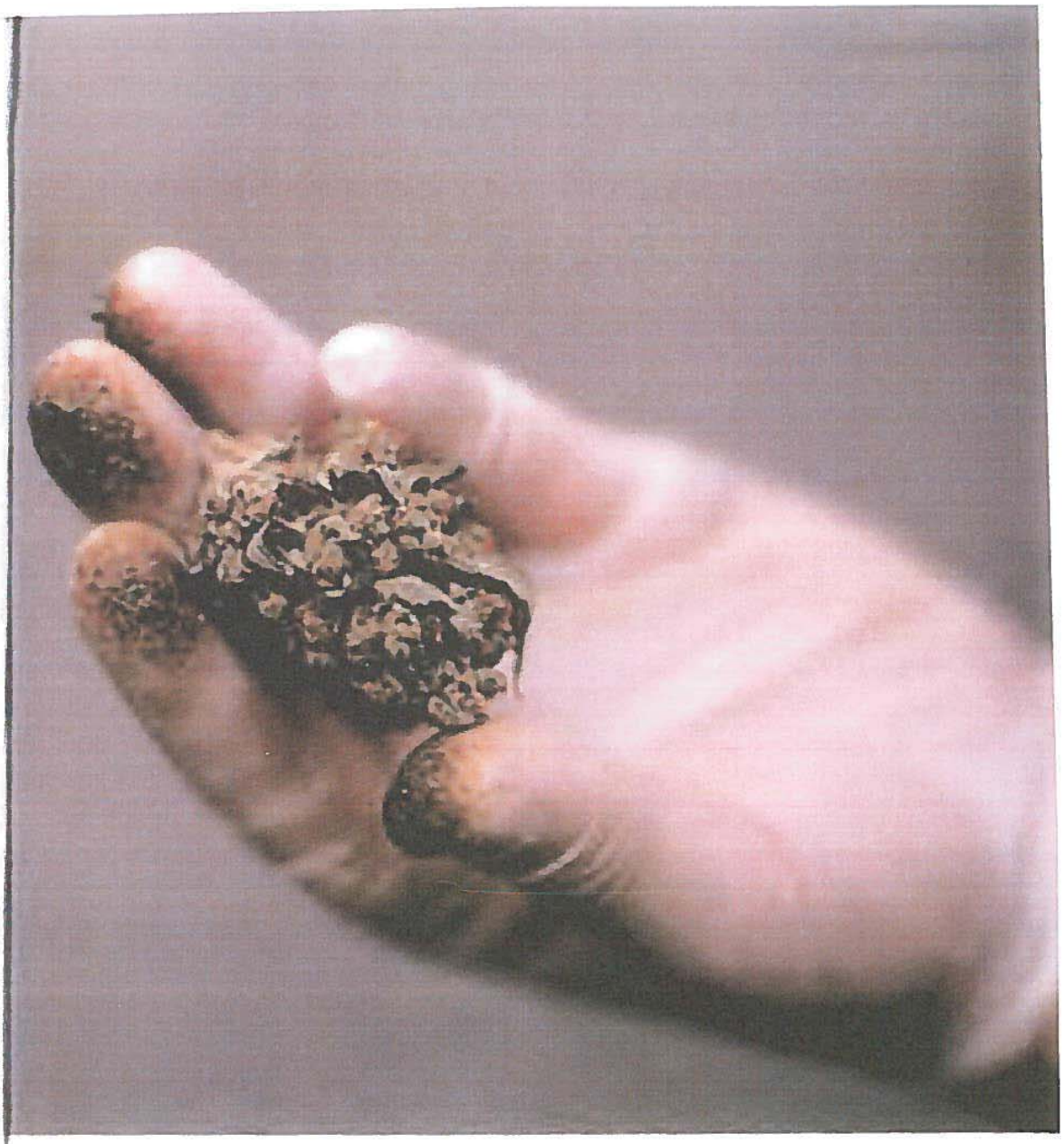
As marijuana goes mainstream, claims about its medical benefits proliferate. But what do we really know?

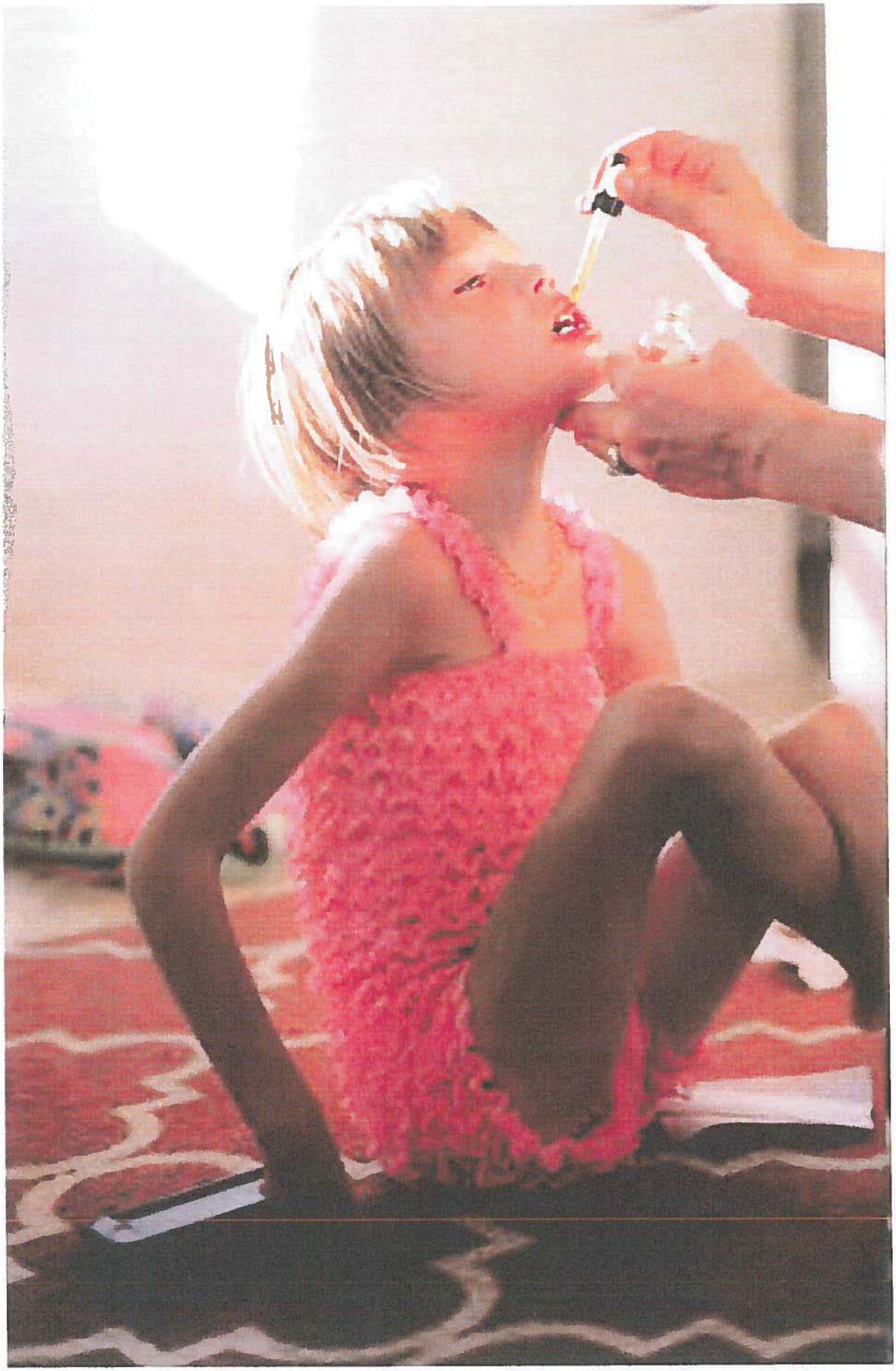
High Scie

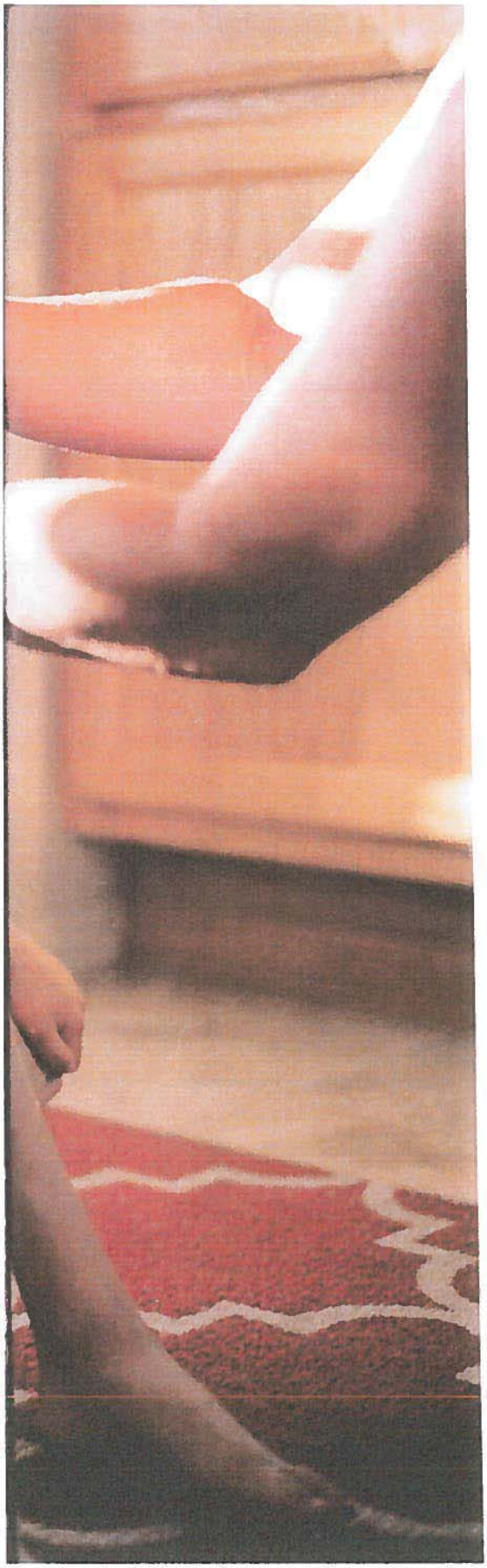
Marijuana's advocates believe the long-maligned plant can enhance life—and help deliver people from sickness and



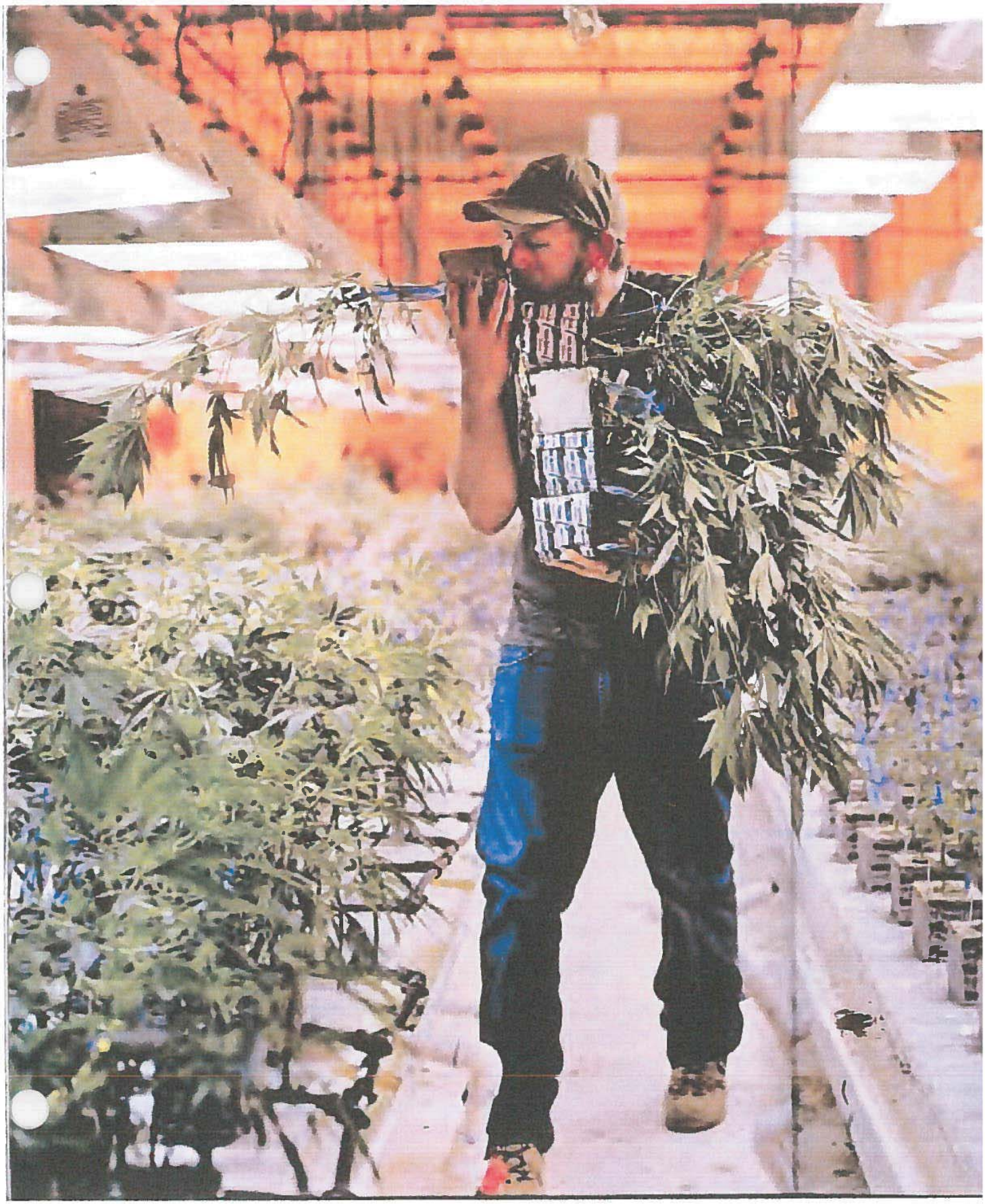
nce

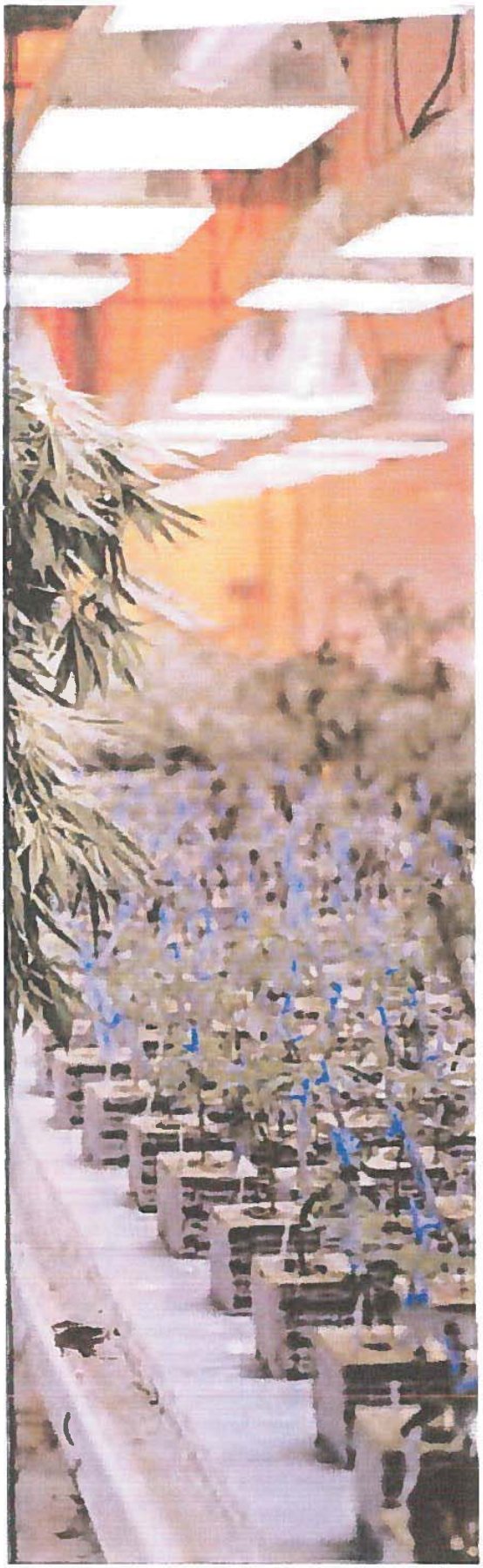
pain. A Seattle cannabis worker cradles the resin-dusted bud of a strain called Blueberry Cheesecake.



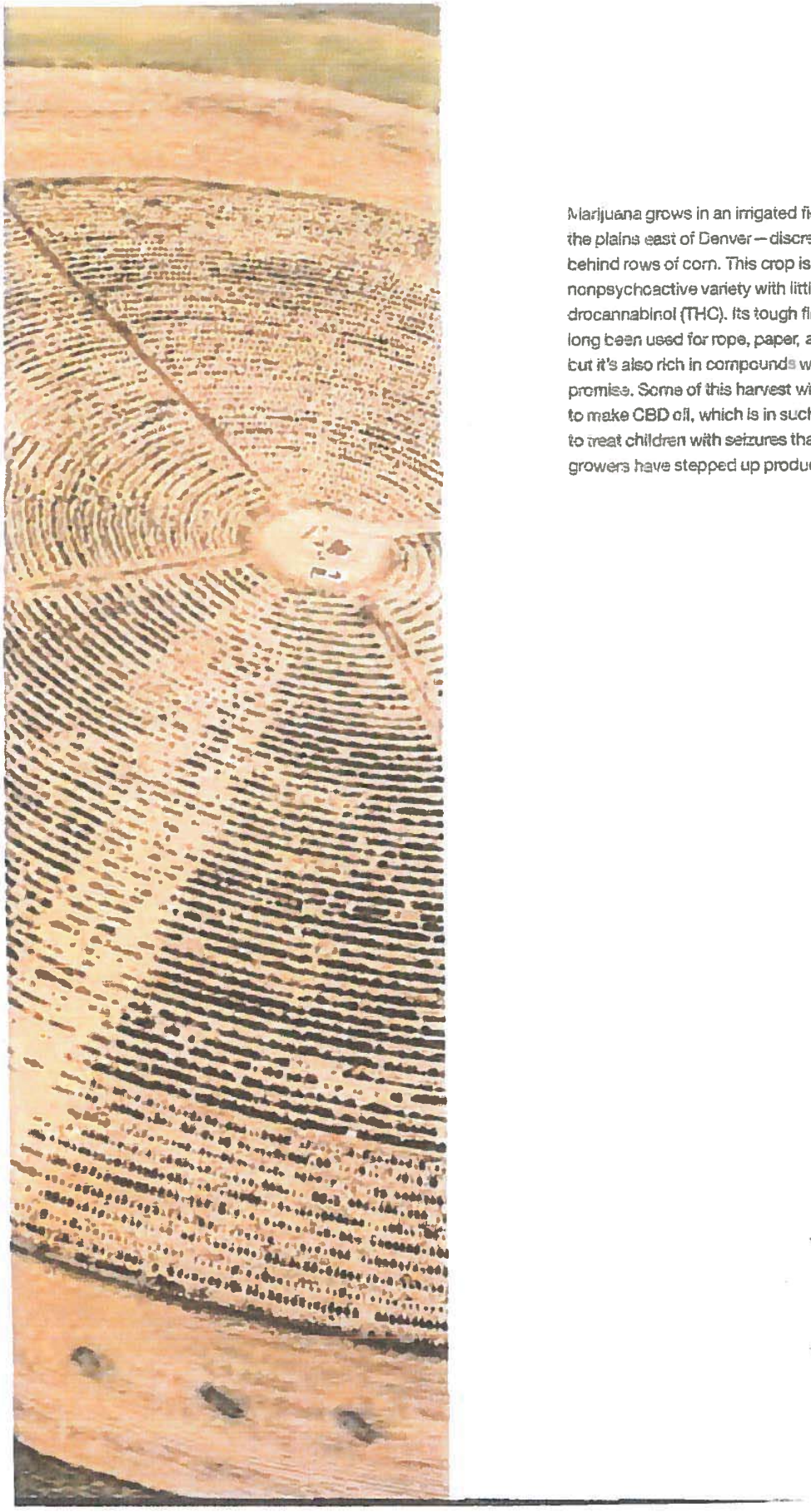


Lily Rowland receives a dose of an oil derived mainly from cannabidiol (CBD) a nonpsychoactive substance in marijuana. She used to suffer hundreds of seizures with violent convulsions every day. Her family moved to Colorado, which voted to legalize marijuana in 2012, so that she could begin a daily regimen. The drug doesn't work for everyone, but today nine-year-old Lily is often seizure free and on her worst days has only one or two.





Phillip Hague, the chief horticulturist at a Denver cannabis company called Mindful, sniffs the roots of a plant to check on their health. He's grown cannabis most of his life and has traveled the world researching its many varieties. He's interested in developing new strains with higher concentrations of marijuana's lesser known compounds that appear to have medical uses. "Cannabis speaks to me," he says.



Marijuana grows in an irrigated field on the plains east of Denver—discreetly hidden behind rows of corn. This crop is hemp, a nonpsychoactive variety with little tetrahydrocannabinol (THC). Its tough fiber has long been used for rope, paper, and fabric, but it's also rich in compounds with medical promise. Some of this harvest will be used to make CBD oil, which is in such demand to treat children with seizures that cannabis growers have stepped up production.

By Hampton Sides
Photographs by Lynn Johnson

There's nothing new about cannabis, of course. It's been around humankind pretty much forever.

In Siberia charred seeds have been found inside burial mounds dating back to 3000 B.C. The Chinese were using cannabis as a medicine thousands of years ago. Marijuana is deeply American too—as American as George Washington, who grew hemp at Mount Vernon. For most of the country's history, cannabis was legal, commonly found in tinctures and extracts.

Then came Reefer Madness. Marijuana, the Assassin of Youth. The Killer Weed. The Gateway Drug. For nearly 70 years the plant went into hiding, and medical research largely stopped. In 1970 the federal government made it even harder to study marijuana, classifying it as a Schedule I drug—a dangerous substance with no valid medical purpose and a high potential for abuse, in the same category as heroin. In America most people expanding knowledge about cannabis were by definition criminals.

But now, as more and more people are turning to the drug to treat ailments, the science of cannabis is experiencing a rebirth. We're finding surprises, and possibly miracles, concealed inside this once forbidden plant. Although marijuana is still classified as a Schedule I drug, Vivek Murthy, the U.S. surgeon general, recently expressed interest in what science will learn about marijuana, noting that preliminary data show that "for certain medical conditions and symptoms" it can be "helpful."

In 23 states and the District of Columbia cannabis is legal for some medical uses, and a majority of Americans favor legalization for recreational use. Other countries are rethinking their relationship to pot too. Uruguay has voted to legalize it. Portugal has decriminalized it. Israel, Canada, and the Netherlands have medical marijuana programs, and in recent years numerous countries have liberalized possession laws.

Ganja is simply around us more, its unmistakable but increasingly unremarkable smell hanging in the air. Yes, smoking it may lead to

temporary laughing sickness, intense shoegazing, amnesia about what happened two seconds ago, and a ravenous yearning for Cheez Doodles. Though there's never been a death reported from an overdose, marijuana—especially today's stout iterations—is also a powerful and in some circumstances harmful drug.

Still, for many, cannabis has become a tonic to dull pain, aid sleep, stimulate appetite, buffer life's thumps and shocks. Pot's champions say it peels back layers of stress. It's also thought to be useful as, among other things, an analgesic, an antiemetic, a bronchodilator, and an anti-inflammatory. It's even been found to help cure a bad case of the hiccups. Compounds in the plant, some scientists contend, may help the body regulate vital functions—such as protecting the brain against trauma, boosting the immune system, and aiding in "memory extinction" after catastrophic events.

In the apparent rush to accept weed into the mainstream, to tax and regulate it, to legitimize and commodify it, important questions arise. What's going on inside this plant? How does marijuana really affect our bodies and our brains? What might the chemicals in it tell us about how our neurological systems function? Could those chemicals lead us to beneficial new pharmaceuticals?

If cannabis has something to tell us, what's it saying?

THE CHEMIST

Treasure Trove

Even into the middle of the 20th century, science still didn't understand the first thing about marijuana. What was inside it and how it worked remained a mystery. Because of its illegality and tainted image, few serious scientists wanted to besmirch their reputations by studying it.

Then one day in 1963 a young organic chemist in Israel named Raphael Mechoulam, working at the Weizmann Institute of Science outside Tel Aviv, decided to peer into the plant's chemical composition. It struck him as odd that even though morphine had been teased from opium in 1805 and cocaine from coca leaves in 1855, scientists had no idea what the principal psychoactive ingredient was in marijuana. "It was just a plant," says Mechoulam, now 84. "It was a mess, a mélange of unidentified compounds."

So Mechoulam called the Israeli national police and scored five kilos of confiscated Lebanese hashish. He and his research group isolated—and in some cases also synthesized—an array of substances, which he injected separately into rhesus monkeys. Only one had any observable effect. "Normally the rhesus monkey is quite an aggressive individual," he says. But when injected with this compound, the monkeys became emphatically calm. "Sedated, I would say," he recalls with a chuckle.

Further testing found what the world now knows: This compound is the plant's principal active ingredient, its mind-altering essence—the stuff that makes you high. Mechoulam, along with a colleague, had discovered tetrahydrocannabinol (THC). He and his team also elucidated the chemical structure of cannabidiol (CBD), another key ingredient in marijuana, one that has many potential medical uses but no psychoactive effect on humans.

For these breakthroughs and many others, Mechoulam is widely known as the patriarch of cannabis science. Born in Bulgaria, he is a decorous man with wispy white hair and watery eyes who wears natty tweeds, silk scarves, and crisp dress slacks. He's a respected member of the Israel Academy of Sciences and Humanities and an emeritus professor at Hebrew University's Hadassah Medical School, where he still runs a lab. The author of more than 400 scientific papers and the holder of about 25 patents, this kindly grandfather has spent a lifetime studying cannabis, which he calls a "medicinal treasure trove waiting to be discovered." His work has spawned a subculture of cannabis research around the globe. Though he says he's never smoked the stuff, he's a celebrity in the pot world and receives prodigious amounts of fan mail.

"It's all your fault," I say to him when we meet in his book-lined, award-crammed office

to discuss the explosion of interest in the science of marijuana.

"Mea culpa!" he replies with a smile.

Israel has one of the world's most advanced medical marijuana programs. Mechoulam played an active role in setting it up, and he's proud of the results. More than 20,000 patients have a license to use cannabis to treat such conditions as glaucoma, Crohn's disease, inflammation, appetite loss, Tourette's syndrome, and asthma.

Despite that, he's not particularly in favor of legalizing cannabis for recreational use. He doesn't think anyone should go to jail for possessing it, but he insists that marijuana is "not an innocuous substance"—especially for young people. He cites studies showing that the prolonged use of high-THC strains of marijuana can change the way the developing brain grows. He notes that in some people cannabis can provoke serious and debilitating anxiety attacks. And he points to studies that suggest cannabis may trigger the onset of schizophrenia among those who have a genetic predisposition to the disease.

If he had his way, what Mechoulam regards as the often irresponsible silliness of recreational pot culture would give way to an earnest and enthusiastic embrace of cannabis—but only as a medical substance to be strictly regulated and relentlessly researched. "Right now," he complains, "people don't know what they're getting. For it to work in the medical world, it has to be quantitative. If you can't count it, it's not science."

In 1992 Mechoulam's quest for quantification led him from the plant itself to the inner recesses of the human brain. That year he and several colleagues made an extraordinary discovery. They isolated the chemical made by the human body that binds to the same receptor in the brain that THC does. Mechoulam named it anandamide—from the Sanskrit for "supreme joy." (When asked why he didn't give it a Hebrew name, he replies, "Because in Hebrew there are not so many words for happiness. Jews don't like being happy.")

Since then several other so-called endocannabinoids and their receptors have been discovered. Scientists have come to recognize that endocannabinoids interact with a specific neurological network—much the way that endorphins, serotonin, and dopamine do. Exercise, Mechoulam notes, has been shown to elevate endocannabinoid levels in the brain, and "this probably accounts for what jogging enthusiasts call runner's high." These compounds, he explains, apparently play an important role in such basic functions as memory, balance, movement, immune health, and neuroprotection.

Typically, pharmaceutical companies making cannabis-based medicines have sought to isolate individual compounds from the plant. But Mechoulam strongly suspects that in some cases those chemicals would work much better in concert with other compounds found in marijuana. He calls this the entourage effect, and it's just one of the many cannabis mysteries that he says require further study.

"We have just scratched the surface," he says, "and I greatly regret that I don't have another lifetime to devote to this field, for we may well discover that cannabinoids are involved in some way in all human diseases."

THE BOTANIST

Into the Light

The 44,000-square-foot building hulks across from a police station in an industrial part of Denver, along a gritty stretch of converted warehouses that's come to be known as the Green Mile. There's nothing to indicate the nature of the enterprise. The door buzzes open, and I'm met by the chief horticulturist of Mindful, one of the largest cannabis companies in the world. A druidlike 38-year-old with keen blue eyes, Phillip Hague wears fatigues, hiking boots, and the incredulous grin of someone who—through a confluence of events he never imagined

Hampton Sides, author of In the Kingdom of Ice *and other histories, wrote about Russia's Wrangel Island in May 2013. Lynn Johnson has photographed 23 stories for the magazine; her last was "Healing Soldiers" in February.*

Cash is the norm for many cannabis businesses, even in Colorado, because banks are reluctant to handle money from marijuana-related sales. Jayson "Giddy Up" Emo, who runs a Denver firm that makes machines for extracting chemicals from cannabis, protects his proceeds the old-fashioned way—with firepower.

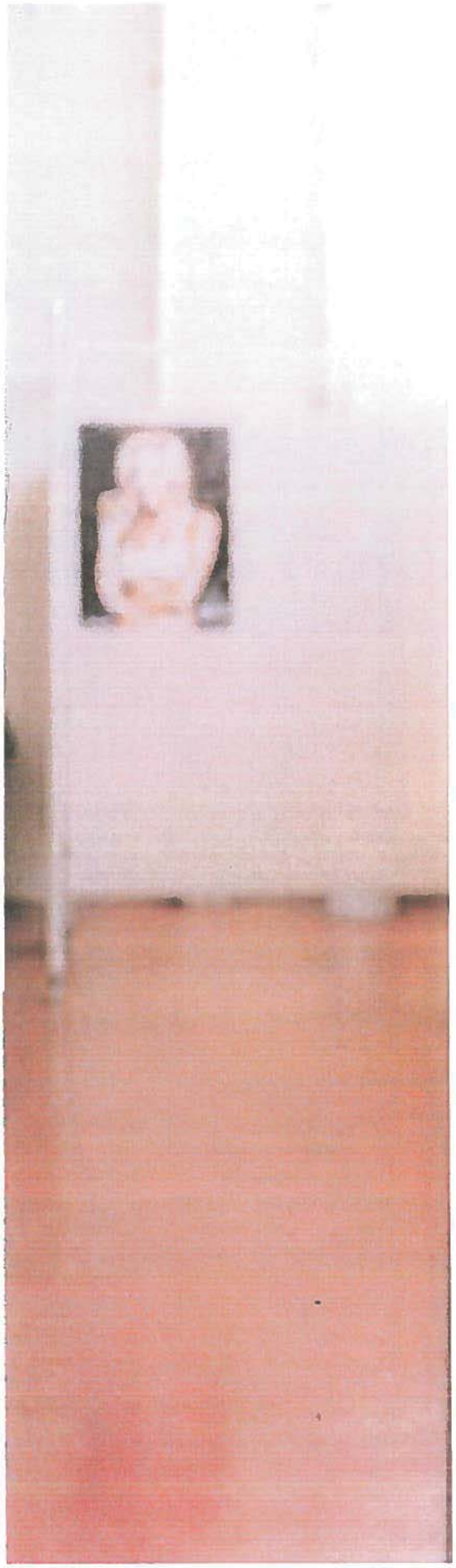
possible—has found his exact life's calling.

Hague is a self-described plantsman, a dirty-thumbed gardener since he was eight and a devotee of the great agricultural scientist Luther Burbank. For years Hague grew poinsettias, caladiums, chrysanthemums, and other plants at his family's nursery in Texas. But now his attentions are lavished on much more lucrative buds.

He leads me through Mindful's bustling front offices and into its interior corridors. In freezers Mindful stores seeds from all over—Asia, India, North Africa, the Caribbean. A world traveler who's become something of a Johnny Appleseed for marijuana, Hague is extremely interested in the plant's historical biodiversity, and his seed bank of rare, wild, and ancient strains is a significant part of Mindful's intellectual property. "We have to recognize that humans evolved with it practically since the dawn of time," he says. "It's older than writing. Cannabis use is part of us, and it always has been. It spread from Central Asia after the last ice age and went out across the planet with man."

Hague joined Colorado's green revolution nearly at the beginning. When the U.S. Justice Department announced *(Continued on page 48)*

At a cannabis competition in Santa Rosa, California, a young enthusiast becomes a human billboard for a company that sells devices to vaporize the drug. California allows marijuana for medical but not recreational use. As "ganjapreneurs" seek to capitalize on the legalization movement, the paraphernalia industry has expanded dramatically, employing a sleek aesthetic—and a certain sex appeal—to market products once confined to head shops.



Marijuana's Moment

More than 20 million Americans used marijuana in 2013. Possession and sale are illegal under federal law, but medical use is legal in 23 states and the District of Columbia. Many states also have reduced or eliminated penalties for recreational use, resulting in a patchwork of restrictions and availability for those seeking medical help or just a casual high.

Medical

Cannabis was a mainstay of healers in ancient China, India, and Greece. Today its status as an illegal drug under federal law hampers scientists who want to study its medical potential. Only two synthetic medicines have been approved by the Food and Drug Administration; a natural derivative is under review.

GLAUCOMA

Researchers are developing a drug that mimics marijuana's ability to reduce pressure in the eye but without the plant's side effects.

MULTIPLE SCLEROSIS

An extract that relieves pain and muscle spasms in MS patients has been approved in Europe and Canada, though not in the U.S.

AIDS

One of the FDA-approved synthetic versions of a substance found in marijuana helps increase appetite and treat weight loss in patients with the disease.

CANCER

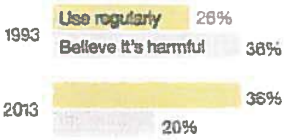
The other synthetic version is used to treat nausea associated with chemotherapy.

Marijuana is rising in popularity...

Recreational users outnumber medical users. Despite the risk to their developing brains, a third of teens say they've used marijuana in the past month.

U.S. marijuana use, 12 and older

U.S. teen marijuana use versus teen perception of harm



tional

The primary psychoactive chemical in marijuana, tetrahydrocannabinol, or THC, acts on the brain to produce the high recreational users crave. Colors, sounds, and skin sensations can intensify, and time may seem to slow. Cannabis can also worsen the symptoms of depression and anxiety.

BRAIN

Many parts of the brain have receptors that react to marijuana. Some regulate food intake and cause cravings. Others regulate dopamine and can cause a sense of euphoria.

[illegible]

Effects are felt seconds after inhalation and peak within 30 minutes. Unfiltered cannabis, inhaled deeply, can expose smokers to more carbon monoxide and tar than cigarettes do.

HEART

Heart rate can double, prompting panic attacks in some users. Studies also show that shortly after use, the risk of a heart attack can increase significantly.

[illegible]

When cannabis is eaten, its effects kick in more slowly and last longer, making it hard to regulate dosage. Feelings of hunger often intensify.

and increasingly available in U.S. states...

As states loosen restrictions, one politically appealing option is cannabidiol (CBD) oil, which has some of marijuana's health effects without the high.

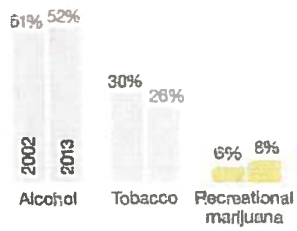
States where medical marijuana is legal

States where recreational marijuana laws have changed

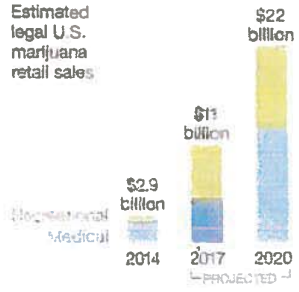
creating a lucrative new market.

Illicit marijuana use is dwarfed by the use of other substances. As demand for legal marijuana grows, businesses are eyeing this new market.

Change in use, share of U.S. population

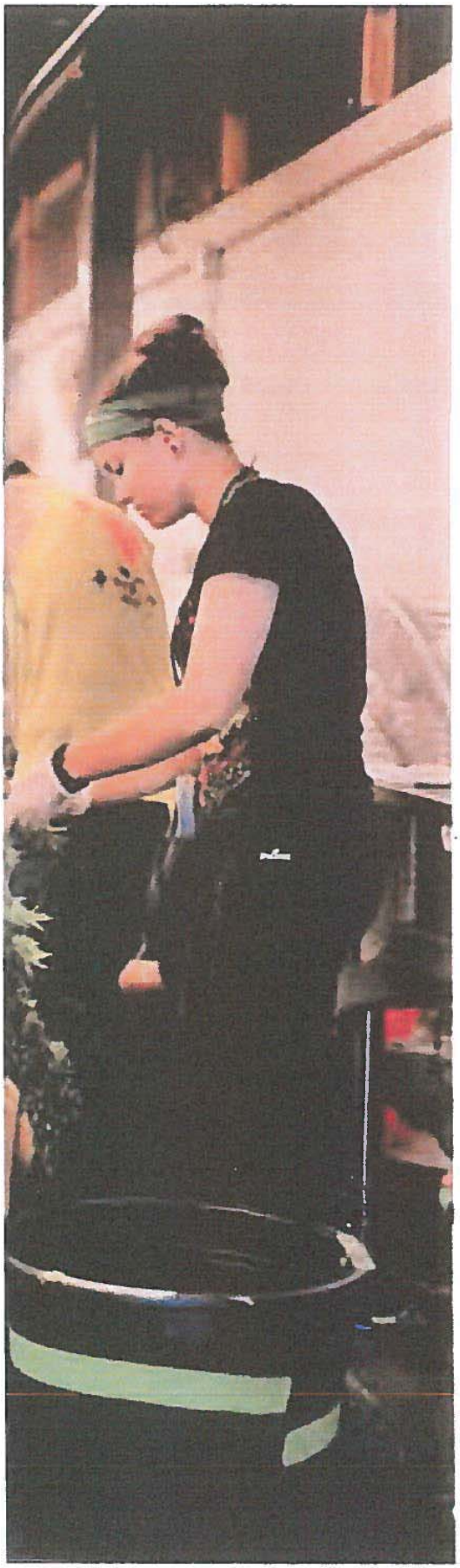


Estimated legal U.S. marijuana retail sales

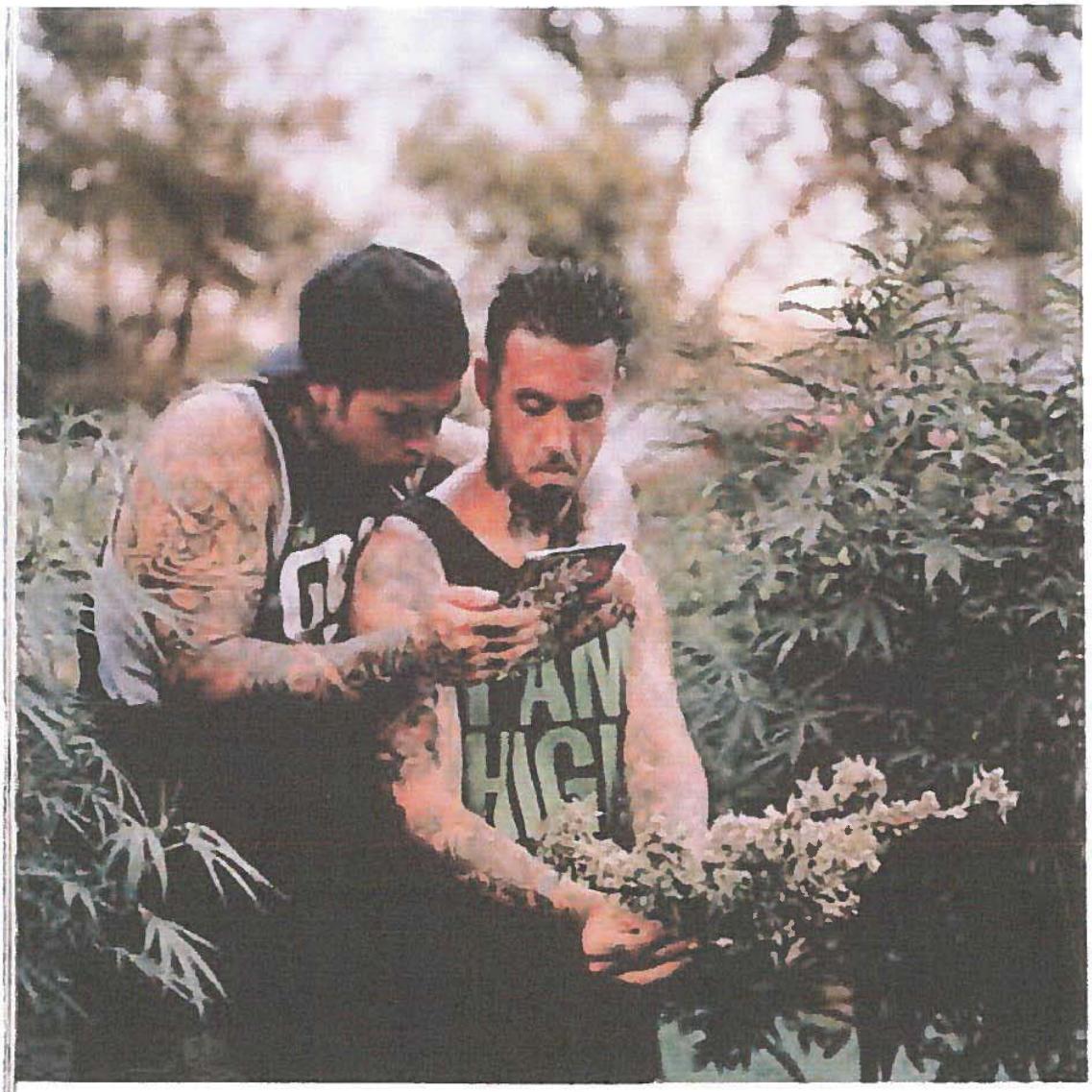


*2002-12 DATA NOT AVAILABLE. **IN OREGON AS OF JULY 1, 2016. †TREATED LIKE A MINOR TRAFFIC VIOLATION

JOHN TOMANIO, NGM STAFF. SHELLEY SPERRY ART. BRYAN CHRISTIE DESIGN. SOURCES: GREENWAVE ADVISORS; MARIJUANA POLICY PROJECT; MONITORING THE FUTURE SURVEY, 2013; NATIONAL SURVEY ON DRUG USE AND HEALTH; IGOR GRANT, UNIVERSITY OF CALIFORNIA, SAN DIEGO; NATIONAL CONFERENCE OF STATE LEGISLATURES



At Denver's LivWell, which has an enormous indoor growing operation, workers remove marijuana leaves before the buds are trimmed, keeping the plants destined for medical use separate from those for recreational use. After Colorado legalized marijuana, thousands of young people from all over the world flocked to the state to participate in the multimillion-dollar business phenomenon that's been called the Green Rush.



In northern California, Nicholas and Richard Lopez take photographs of their harvest to share online. Recovering meth addicts who've served time for drug offenses, the brothers say they've turned over a new leaf. They proudly tend a small garden of pot, which they use to cope with bouts of anxiety caused by years of meth abuse.

in 2009 that it would not focus on prosecuting people who complied with state medical marijuana laws, he looked at his wife and said, "We're moving to Denver." Now he runs one of the world's most prominent "grows," where more than 20,000 cannabis plants thrive.

We file past the curing rooms and down a hallway pulsating with pumps, fans, filters, generators, trimming machines. A forklift trundles by. Surveillance cameras capture everything, as young workers in medical scrubs scurry about, their faces lit with the pressure and promise of an unorthodox business that's boomed beyond comprehension. Mindful has big plans to expand, building similar facilities in other states. "Pot is hot!" Hague says with a laugh that conveys amazement and exhaustion. "I'm blown away by what's happening here every single day."

He throws open an industrial door, and my eyeballs are scalded by a halo of plasma bulbs. We step into an immense, warm room that smells like a hundred Yes concerts. Once my eyes adjust, I can see the crop in all its rippling glory—close to a thousand female plants standing six feet tall, their roots bathed in a soup of nutrients, their spiky leaves nodding in the

breeze of the oscillating fans. Here in a sweep of the eye is more than a half million dollars' worth of artisanal pot.

I lean over to sniff one of the powdery, tightly clustered flower buds, purple-brown and coursing with white wisps. These tiny trichomes fairly ooze with cannabinoid-rich resin. This strain is called Highway Man, after a Willie Nelson song. Hybridized by Hague, it's a variety loaded with THC. The best parts will be trimmed by hand, dried, cured, and packaged for sale at one of Mindful's dispensaries. "This whole room will be ready for harvest in just a few days," Hague notes with the subtle smirk of a competitive breeder who's won international awards for his strains.

But Hague has something else he wants to show me. He leads me into a moist propagation room, where a young crop is taking root in near darkness. These babies, tagged with yellow labels, are being grown strictly for medical purposes. They're all clones, cuttings from a mother plant. Hague is proud of this variety, which contains almost no THC but is rich in CBD and other compounds that have shown at least anecdotal promise in treating such diseases and disorders as multiple sclerosis, psoriasis, post-traumatic stress disorder, dementia, schizophrenia, osteoporosis, and amyotrophic lateral sclerosis (Lou Gehrig's disease).

"It's these low-THC strains that really keep me up at night, dreaming about what they can do," Hague says, noting that marijuana contains numerous substances—cannabinoids, flavonoids, terpenes—that have never been investigated in depth.

"It sounds hokey," he says as he caresses one of the cuttings like a gloating father, "but I believe cannabis has a consciousness. It's tired of being persecuted. It's ready to step out into the light."

THE BIOCHEMIST

Miracle Cure?

By now nearly everyone has heard that cannabis can play a palliative role for cancer sufferers, especially in alleviating some of the nasty side effects of chemotherapy. There's no question that pot can stave off nausea, improve appetite, and help with pain and sleep. But could it cure cancer? Troll the Internet and you'll see hundreds, if not thousands, of such claims. A gullible Googler could easily believe we're on the brink of a miracle cure.

The majority of these claims are anecdotal at best and fraudulent at worst. But there are also mentions of laboratory evidence pointing to cannabinoids as possible anticancer agents, and many of these reports lead to a lab in Spain run by a thoughtful, circumspect man named Manuel Guzmán.

Guzmán is a biochemist who's studied cannabis for about 20 years. I visit him in his office at the Complutense University of Madrid, in a golden, graffiti-splotched building on a tree-lined boulevard. A handsome guy in his early 50s with blue eyes and shaggy brown hair tinged with gray, he speaks rapidly in a soft voice that makes a listener lean forward. "When the headline of a newspaper screams, 'Brain Cancer Is Beaten With Cannabis!' it is not true," he says. "There are many claims on the Internet, but they are very, very weak."

He blinks thoughtfully, then turns to his computer. "However, let me show you something." On his screen flash two MRIs of a rat's brain. The animal has a large mass lodged in the right hemisphere, caused by human brain tumor cells Guzmán's researchers injected. He zooms in. The mass bulges hideously. The rat, I think, is a goner. "This particular animal was treated with THC for one week," Guzmán continues. "And this is what happened afterward." The two images that now fill his screen are normal. The mass has not only shrunk—it's disappeared. "As you can see, no tumor at all."

In this study Guzmán and his colleagues, who've been treating cancer-riddled animals with cannabis compounds for 15 years, found that the tumors in a third of the rats were eradicated and in another third, reduced.

This is the kind of finding that gets the world excited, and Guzmán constantly worries that his breakthrough research may give cancer

Redacted pursuant to N.Y. Public Officers Law, Art. 6

sufferers false hope—and fuel specious Internet claims. "The problem is," he says, "mice are not humans. We do not know if this can be extrapolated to humans at all."

Guzmán leads me around his cramped lab—centrifuges, microscopes, beakers, petri dishes, a postdoc researcher in a white smock extracting tissue from a mouse corpse pinned under bright lights. It's your typical bioresearch lab, except that everything is devoted to the effects of cannabis on the body and brain. The lab focuses not just on cancer but also on neurodegenerative diseases and on how cannabinoids affect early brain development. On this last topic the Guzmán group's research is unequivocal: Mice born of mothers regularly given high doses of THC during pregnancy show pronounced problems. They're uncoordinated, have difficulty with social interactions, and have a low anxiety threshold—they're often paralyzed with fear at stimuli, such as a cat puppet placed near their cage, that don't upset other juvenile mice.

The lab also has studied how the chemicals in cannabis, as well as cannabinoids like the anandamide produced by our bodies, protect our brains against various types of insults, such as physical and emotional trauma. "Our brain needs to remember things, of course," says Guzmán, "but it also needs to forget things—horrific things, unnecessary things. It's much like the memory in your computer—you have to forget what is not necessary, just like you need to periodically delete old files. And you have to forget what is not good for your mental health—a war,

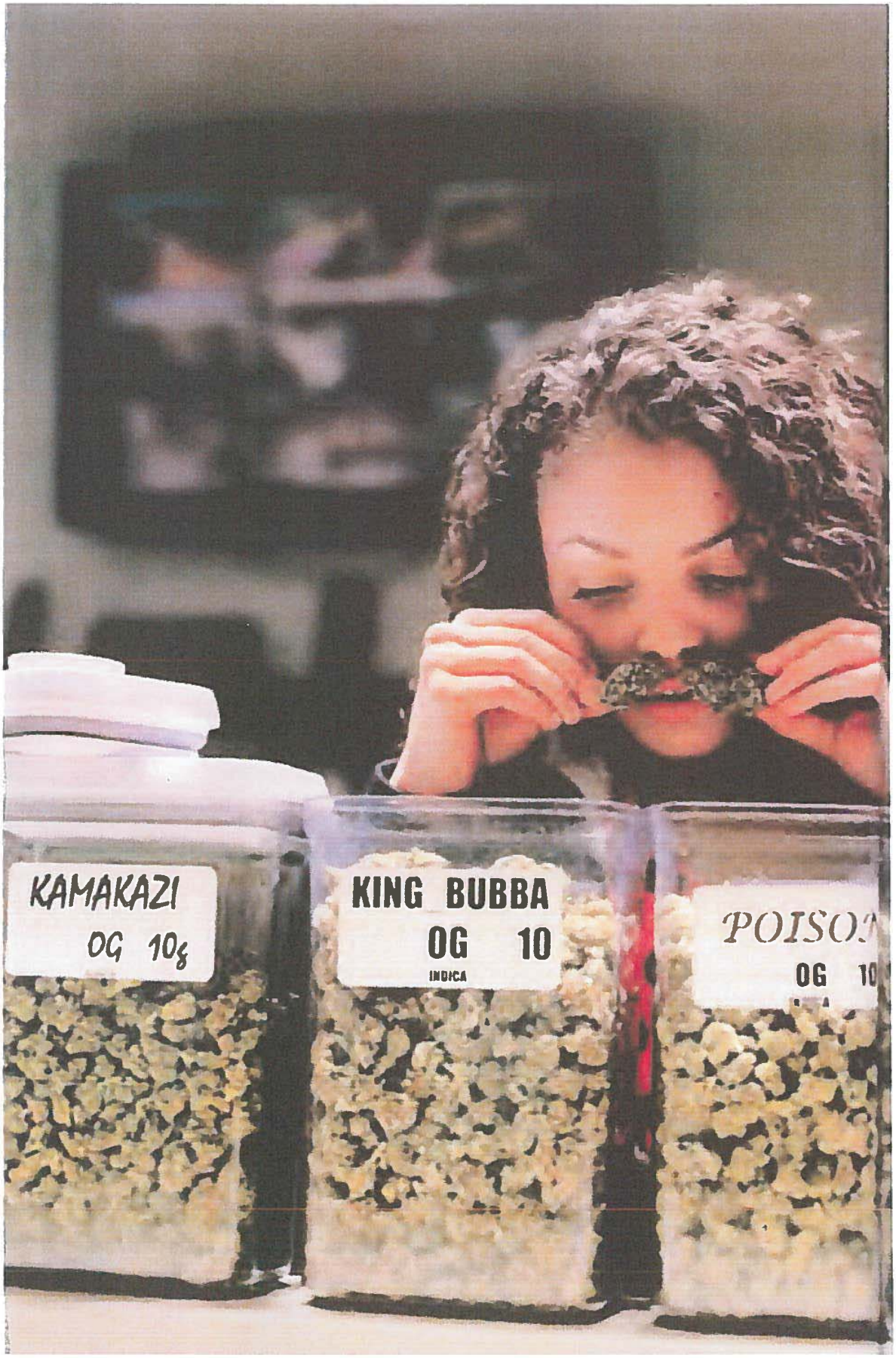
Helped by her granddaughters, Mari Schwarting (opposite) prepares soil for a family business that makes cannabis-based creams and salves in Washington State, which has legalized the drug. Members of a Seattle cannabis business association called Women of Weed (above) gather to share trade secrets—and intoxicating talk.

a trauma, an aversive memory of some kind. The cannabinoid system is crucial in helping us push bad memories away."

But it's Guzmán's brain tumor research that has captured headlines—and the interest of pharmaceutical companies. Through his years of research he has ascertained that a combination of THC, CBD, and temozolomide (a moderately successful conventional drug) works best in treating brain tumors in mice. A cocktail composed of these three compounds appears to attack brain cancer cells in multiple ways, preventing their spread but also triggering them, in effect, to commit suicide.

Now a groundbreaking clinical trial based on Guzmán's work is under way at St. James's University Hospital, in Leeds, England. Neuro-oncologists are treating patients who have aggressive brain tumors with temozolomide and Sativex, a THC-CBD oral spray developed by GW Pharmaceuticals.

Guzmán cautions against overoptimism but welcomes the beginning of human studies. "We have to be objective," he says. "At least the mindset is opening around the world, and funding agencies now know that cannabis, as a drug, is


KAMAKAZI
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At Noho's Finest, a medical marijuana dispensary in the Los Angeles area, Damaris Diaz checks the scent and stickiness of her products. Crossbreeding has yielded powerful new hybrid strains that are much higher in psychoactive THC than those in decades past—a source of concern for health officials, who cite evidence that the prolonged smoking of high-THC varieties can adversely affect the developing brain.

"If they were growing something on Mars that might help

scientifically serious, therapeutically promising, and clinically relevant."

Will cannabis help fight cancer? "I have a gut feeling," he says, "that this is real."

THE CAREGIVER

Medical Migrants

The seizures started in May 2013 when she was six months old. Infantile spasms, they were called. It looked like a startle reflex—her arms rigid at her side, her face a frozen mask of fear, her eyes fluttering from side to side. Addelyn Patrick's little brain raced and surged, as though an electromagnetic storm were sweeping through it. "It's your worst possible nightmare," her mother, Meagan, says. "Just awful, awful, awful to watch your child in pain, in fear, and there's nothing you can do to stop it."

From their small town in southwestern Maine, Meagan and her husband, Ken, took Addy to Boston to consult with neurologists. These epileptic seizures, they concluded, were the result of a congenital brain malformation called schizencephaly. One of the hemispheres of Addy's brain had not developed fully in utero, leaving an abnormal cleft. She also had a related condition called optic nerve hypoplasia, which caused her eyes to wander—and which, further tests revealed, made her all but blind. By summer Addy was having 20 to 30 seizures a day. Then 100 a day. Then 300. "Everything was misfiring all at once," says Meagan. "We were afraid we were going to lose her."

The Patricks followed the advice they'd been given and heavily medicated Addy with anticonvulsants. The powerful meds reduced her seizures, but they also put her to sleep for almost the entire day. "Addy was gone," Meagan says. "She just lay there, sleeping all the time. Like a rag doll."

Meagan quit her job as a third-grade teacher to care for her daughter. Over nine months Addy was hospitalized 20 times.

When Meagan's in-laws suggested they look into medical marijuana, she recoiled. "This is a federally illegal drug we are talking about," she recalls thinking. But she did her own research. A good deal of anecdotal evidence shows that high-CBD strains of cannabis can have a strong antiseizure effect. The medical literature, though scant, goes back surprisingly far. In 1843 a British doctor named William O'Shaughnessy published an article detailing how cannabis oil had arrested an infant's relentless convulsions.

In September 2013 the Patricks met with Elizabeth Thiele, a pediatric neurologist at Boston's Massachusetts General Hospital who's helping lead a study of CBD in treating refractory childhood epilepsy. Legally, Thiele could not prescribe cannabis to Addy or even recommend it. But she strongly advised the Patricks to consider all medical options.

Encouraged, Meagan went to Colorado and met with parents whose epileptic children were taking a strain of cannabis called Charlotte's Web, named for a little girl, Charlotte Figi, who'd responded astonishingly well to the low-THC, high-CBD oil produced near Colorado Springs.

What Meagan saw in Colorado impressed her—the growing knowledge base of cannabis producers, the kinship of parents coping with similar ordeals, the quality of the dispensaries, and the expertise of the test labs in ensuring consistent cannabis-oil formulations. Colorado Springs had become a mecca for a remarkable medical migration. More than a hundred families with children who had life-threatening medical conditions had uprooted themselves and moved. These families, many of them associated with a nonprofit organization called the Realm of Caring, consider themselves "medical refugees." Most couldn't medicate their children with cannabis in their home states without risking arrest for trafficking or even child abuse.

Meagan experimented with high-CBD oil. The seizures all but stopped. She weaned Addy off some of her other meds, and it was as though she'd come back from a coma. "It sounds like a small thing," says Meagan. "But if you have a child who smiles for the first time in many, many months, well, your whole world changes."

By early last year the Patricks had made up

Addy, I'd be in my backyard building a spaceship."

—Meagan Patrick, Addy's mother

their minds. They would move to Colorado to join the movement. "It was a no-brainer," Meagan says. "If they were growing something on Mars that might help Addy, I'd be in my backyard building a spaceship."

When I meet the Patricks in late 2014, they've settled into their new home on the north side of Colorado Springs. Pikes Peak looms in their living room window. Addy is thriving. Since first taking CBD oil, she hasn't been hospitalized. She still has occasional seizures—one or two a day—but they're less intense. Her eyes wander less. She listens more. She laughs. She's learned how to hug and has discovered the power of her vocal cords.

Critics contend that the Realm of Caring parents are using their kids as guinea pigs, that not enough studies have been done, that many, if not most, of the claims can be dismissed as the result of the placebo effect. "It's true, we don't know the long-term effects of CBD, and we should study it," Meagan says. "But I can tell you this. Without it, our Addy would be a sack of potatoes." No one asks, she notes, about the long-term effects of a widely used pharmaceutical that has been routinely prescribed for her two-year-old. "Our insurance pays for it, no questions asked," she says. "But it's highly addictive, highly toxic, turns you into a zombie, and can actually kill you. And yet it's perfectly legal."

Thiele says early results of the CBD study are extremely encouraging. "CBD is not a silver bullet—it doesn't work for everybody," she cautions. "But I'm impressed. It clearly can be a very effective treatment for many people. I have several kids in the study who've been completely seizure free for over a year."

Reports like these only deepen Meagan's frustrations with what she has come to regard as the imbecility of federal marijuana laws that put her at risk of arrest for transporting a drug that "wouldn't get a mouse high" across state lines. "It's unacceptable," she says, "that we're allowing our citizens to suffer like this."

But the Patricks are in a good place now—happier than they've been in years. "We have Addy back again," Meagan says. "If I wasn't living through this, I don't know that I'd believe it myself. I don't feel like cannabis is a miracle cure. But I feel like it should be a tool in every neurologist's toolbox, all around the country."

THE GENETICIST

Building the Map

"It's such an interesting plant, such a valuable plant," says Nolan Kane, who specializes in evolutionary biology. "It's been around for millions of years, and it's one of man's oldest crops. And yet there are so many basic problems that need to be answered. Where did it come from? How and why did it evolve? Why does it make all these suites of compounds? We don't even know how many species there are."

We're standing in a laboratory greenhouse on the campus of the University of Colorado Boulder looking at ten hemp plants that Kane recently procured for research purposes. They're spindly, stalky little things, like gangling teenagers, a far cry from the lascivious crop that Hague had shown me. These plants, like nearly all hemp varieties, carry extremely low levels of THC.

They may not look threatening, but their very presence here, in the confines of a major university lab, represents years of wrangling to win federal and university approval. Right now, Kane's allowed to grow only hemp strains. The rest of his research material is cannabis DNA, which is supplied by Colorado growers who extract it using methods he's taught them.

Kane fingers one of his innocuous-looking plants, expressing mild bemusement at the U.S. ban on commercial hemp cultivation. "Hemp produces fibers of unparalleled quality," he notes.

MORE ONLINE ngm.com/more

VIDEO

Cannabis for Kids: A Growing Debate

After exhausting all other options, some parents are looking to medical marijuana to help their sick children. Follow their stories—and struggles—in this short film.

SPENCER MILLIGAN, NGM STAFF

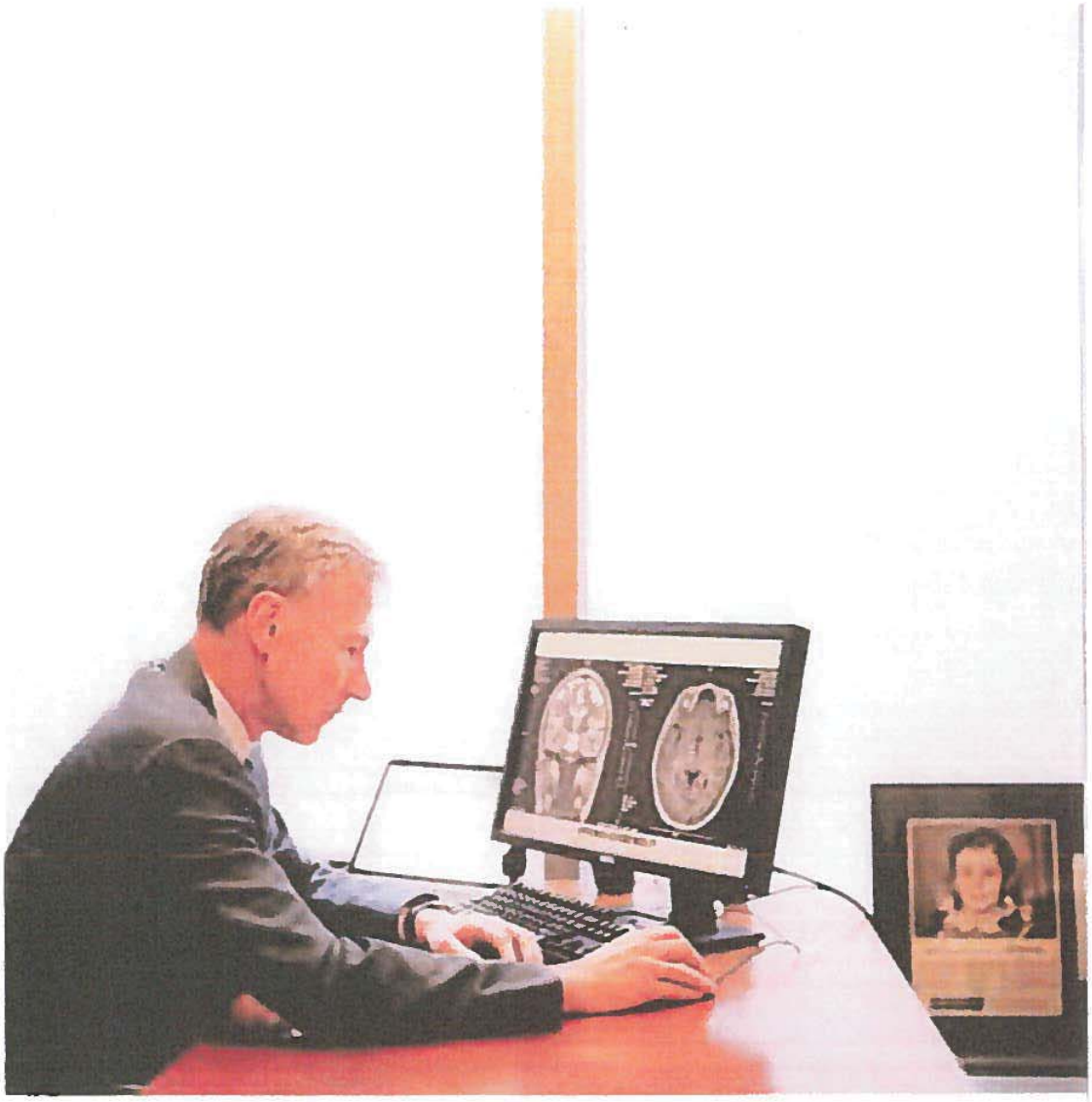
Redacted pursuant to N.Y. Public Officers Law, Art. 6

"It's a tremendously high biomass crop that replenishes the soil and doesn't require much in terms of inputs. We import tons and tons of hemp each year from China and even Canada, yet as a matter of federal policy, we can't legally grow it. There are places where farmers in the U.S. can literally look across the Canadian border and see fields that are yielding huge profits."

A geneticist, Kane studies cannabis from a unique perspective—he probes its DNA. He's an affable, outdoorsy guy with a bright face and eyes that wander and dart inquisitively when he talks. He has studied chocolate and for many years the sunflower, eventually mapping its genome, a sequence of more than three and a half billion nucleotides. Now he's moved on to marijuana. Though its sequence is much shorter, roughly 800 million nucleotides, he considers it a far more intriguing plant.

A sketchy outline of the cannabis genome already exists, but it's highly fragmented, scattered into about 60,000 pieces. Kane's ambitious goal, which will take many years to achieve, is to assemble those fragments in the right order. "The analogy I use is, we have 60,000 pages of what promises to be an excellent book, but they're strewn all over the floor," he says. "We have no idea yet how those pages fit together to make a good story."

Many people are more than a little eager to learn how Kane's story will play out. "There's a certain pressure," he says, "because this work will have huge implications, and anything we do in this lab will be under a lot of scrutiny. You can feel it. People are just wanting this to happen."



Kim Clark (opposite) says CBD oil has worked wonders for her epileptic 11-year-old son, Caden. Orrin Devinsky (above), a neurologist at New York University, is more skeptical. He's leading a clinical trial to test CBD against a placebo in treating forms of epilepsy. "There's real potential," he says, "but we urgently need valid data."

Once the map is complete, enterprising geneticists will be able to use it in myriad ways, such as breeding strains that contain much higher levels of one of the plant's rare compounds with medically important properties. "It's like discovering some hidden motif deep in a piece of music," Kane says. "Through remixing, you can accentuate it and turn it up so that it becomes a prominent feature of the song."

As Kane leads me around his lab, I see the excitement on his face and on the faces of his young staff. The place feels almost like a start-up company. "So much of science is incremental," he says, "but with this cannabis work, the science will not be incremental. It will be transformative. Transformative not just in our understanding of the plant but also of ourselves—our brains, our neurology, our psychology. Transformative in terms of the biochemistry of its compounds. Transformative in terms of its impact across several different industries, including medicine, agriculture, and biofuels. It may even transform part of our diet—hemp seed is known to be a ready source of a very healthy, protein-rich oil."

Cannabis, Kane says, "is an embarrassment of riches." □

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Attachment D, Section 2

Transport and Distribution

Transport and Distribution

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. In-House Security: [redacted]

[redacted]

II. Pre-Transport Notice – Two (2) Days:

[redacted]

III. Transport and Distribution:

[redacted]

[1] New York Division of Licensing Services ID Number: 11000140658.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Surveillance Equipment Maintenance Activity Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Surveillance Equipment User Authorization List

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Alarm Testing Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Inventory Adjustment Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

New Patient Registration Form

Redacted pursuant to N.Y. Public Officers Law, Art. 6

SOP Change Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Product Acquisition Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Product Sale Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Current Employee List

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cleaning Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Material Safety and Data Sheets

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cannabis Waste and Disposal Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Packaging and Labeling Checklist

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Shipping Container Checklist

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC

NEW YORK CANNA

Dispensary Facility Procedures Manual
Volume II

Sample To Be Customized for New York

We Offer This Sample of Detailed Standard Operating Procedures of a Dispensing Facility to Demonstrate Our Immediate Ability to Create Comprehensive and Regulation Specific Practices, Policies and Procedures without our four (4) Dispensing Facilities.

II. General Dispensing Facility Standard Operating Procedures

(Borrowed from Our Dispensing Partners at Denver Consulting)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

How to Use This Manual:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Purpose

- [redacted]

Policy

- [redacted]
- [redacted]

Procedure

- [redacted]
- [redacted]

Limited Access Areas

Standard Operating Procedure

1) **PURPOSE**
   i) [redacted]

2) **POLICY**
   i) [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Restricted Access Area

Standard Operating Procedure

1) **PURPOSE**

i) Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Video Surveillance

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Inventory Tracking System

Standard Operating Procedures

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Business Records

Standard Operating Procedure

1) PURPOSE

[redacted]

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) **PROCEDURE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Plant Count/Member Totals

Standard Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

[redacted]

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Sales

Standard Operating Procedure

1) Purpose

[redacted]

2) Policy M 403 – Medical Marihuana Sales: General Limitations or Prohibited Acts

Redacted pursuant to N.Y. Public Officers Law, Art. 6

M 405 – Acceptable Forms of Identification for Medical Marihuana Sales

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) Procedure

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Acceptable Forms of ID

General

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Proof of Residency (for all Medical Sales or Retail Sales in excess of 7g)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

CSV Files

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

[redacted]

New Member Registration

Standard Operating Procedure

1) PURPOSE

[redacted]

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

[redacted]

Health and Safety Regulations

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cannabis Waste and Disposal

Standard Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

ii) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Labeling and Packaging Requirements

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

ansport of Cannabis and Cannabis Product

andard Operating Procedure

PURPOSE

[redacted]

POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Signage and Advertising

Standard Operating Procedures

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Attachment D, Section 3

Dispensing and Sale

Section 3 – Dispensing and Sale

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. Standard Operating Procedures (SOPs):

[redacted]

II. Storage:

[redacted]

A. Concrete Vault Room (Back of House)

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Front of House (FOH)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. Display Case

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. Note on Diversion

[redacted]

[redacted]

III. Dispensing of Approved Medical Marihuana Product

[redacted]

A. Acceptable Identification:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Certified Patient/Caregiver Verification:

[redacted]

C. Dispensing Procedures:

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

New York Canna - Patient Agreement

(Proposed – Will Be Customized Upon Registration)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Substance Abuse Prevention Plan

HIPAA Information and Consent Form

Notice of Privacy Practices

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Introduction to Medical Marihuana

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Genus of Cannabis:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Pain and Sleep Problems	[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

Product	Best If Used By

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

New Patient Orientation

[redacted]

I. Prohibitions and/or Restrictions on Use

[redacted]

Section 1004.18 of Department's Regulations:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Reporting Requirements

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

III. Proper Disposal of Expired Medical Marijuana Products

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. General Prohibitions of the State of New York

Redacted pursuant to N.Y. Public Officers Law, Art. 6

V. Storage of Approved Medical Marihuana Products

[redacted]

VI. Product Safety Insert

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

PATIENT EDUCATION PLAN

NYC
NEW YORK CANNA

214 FARRELL ROAD, SYRACUSE, NY 13209

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An Introduction to the Patient Education Plan

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Cannabinoids

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[redacted]

Understanding Cannabinoids: Technical Knowledge

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Known Cannabinoids, Endocannabinoids and Synthetic Cannabinoids:

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[1] GWPharma - Cannabinoid Compounds, http://www.gwpharm.com/types-compounds.aspx (accessed April 13, 2015).

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[redacted]

UNDERSTANDING MEDICAL CANNABIS

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Terpenes: Introduction

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[redacted]

Terpenes: Role in Nature

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Terpenes: In Cannabis

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[2] http://www.readbag.com/wiley-vch-de-books-sample-3527317864-c01

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[redacted]

Terpenes: Structure and Biosynthesis

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Terpenes: Psychoactive Modulation

Redacted pursuant to N.Y. Public Officers Law, Art. 6

How to Utilize and Dose Cannabis

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[3] Gardner, Fred. 2011. "Terpenoids, 'Minor' Cannabinoids Contribute to 'Entourage Effect' of Cannabis-Based Medicines." O'Shaughnessy's, pg. 18-21. http://www.beyondthc.com/wp-content/uploads/2012/08/EntourageEffect.pdf

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Cannabis Concentrates

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Progressive Research

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Frequently Asked Questions

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Patient Contact Service

[redacted]

Courses for Patients

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Patient Education Guide

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Patient Education Appendices

Appendix A: Employee Education Checklist

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Appendix B: Patient Education Guide Checklist

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Patient Education Guide

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Possession of Cannabis §80-1.21 (e)

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Requirements for dispensing facilities §80-1.12

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Application for registration as a certified patient §80-1.3

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Designated caregiver registration §80-1. 4

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Proper disposal of medical marijuana products by certified patients or designated caregivers §80-1.20

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General Prohibitions §80-1.21

[redacted]

Cannabinoids

[redacted]

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

[7] Room Robin, Bondy Susan. "A Comparative Appraisal of the Health and Psychological Consequences of Alcohol, Cannabis, Nicotine and Opiate Use." WHO Project on Health Implications of Cannabis Use.
[6] University of California Center for Medicinal Cannabis Research: February 2010

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Known Healing Power Of Cannabinoids

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[7] Guide to Using Medical Marijuana." Americans for Safe Access. Retrieved from: http://www.safeaccessnow.org/using_medical_marijuana

[8] Angelo A. Izzo, Raphael Mechoulam, et al. "Non-psychotropic plant cannabinoids: new therapeutic opportunities from an ancient herb." Trends in pharmacological sciences 30, no. 10 (2009): 515-527.

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Cannabis Strain Variety and Side Effects

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Consuming Cannabis And Cannabis Products

[redacted]

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Inhalation

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[13] Dale Gieringer, Scott Goodrich, et al. "Marijuana vaporizer combines efficient delivery of THC with effective suppression of pyrolytic compounds." Journal of Marijuana Therapeutics 4, no. 1 (2004): 7-27.

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[redacted]

Tinctures, Tonics, Sprays and Sublingual Delivery

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Frequently Asked Questions

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NEW YORK CANNA, INC.
NOTICE OF PRIVACY PRACTICES
May 1, 2015

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HOW THE FACILITY MAY USE AND DISCLOSE YOUR PHI

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FOR ALL OTHER USES AND DISCLOSURES

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REVISIONS TO THE NOTICE OF PRIVACY PRACTICES

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Attachment D

Section 4

Devices

Table of Contents

Pharmaceutical Devices:

- Dosage Exact Capsule
- Oil Filled Syringe, Personal Vaporizer Apparatus
- Oral Mist Sublingual

Standard Operating Procedures for Pharmaceutical Equipment

Manufacturer Technical Data Sheets

Section 4 – Devices

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I. Dosage Exact Capsule

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II. Oil Filled Syringe

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Table of Contents

Pharmaceutical Devices:

- Dosage Exact Capsule
- Oil Filled Syringe, Personal Vaporizer Apparatus
- Oral Mist Sublingual

Standard Operating Procedures for Pharmaceutical Equipment

Manufacturer Technical Data Sheets

Azimuth Pharmaceutics
Standard Operating Procedure
Operation of the Medical Marijuana Capsule Filling and Packaging Line

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PURPOSE:

RESPONSIBILITY:

SOP REFERENCES:

POLICY STATEMENTS:

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

PROCEDURE:

A. Capsule Filling & Banding

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B. Capsule Packaging

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

LF-10 Product Hopper

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LF-10 Pumping Assembly

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Pump Assembly with Capsule Body Ring in place

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LF-10 Control Box

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Closure System

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Two-piece liquid filled capsules

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

G. C. Hanford Manufacturing Company Standard Operating Procedure		
Subpart: D;67(B)(C)(10.7)	OPERATION OF THE TWIN ARENCO FILL MACHINE	APPROVED
Effective: 08/15/11		
Supersedes: 06/01/10		
Page: 1 of 4		

PURPOSE:

RESPONSIBILITY:

SOP REFERENCE:

FUNCTIONS:

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PROCEDURE:

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Subpart: D;67(B)(C)(10.7)	OPERATION OF THE TWIN ARENCO FILL MACHINE	APPROVED
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Page: 2 of 4		

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Subpart: D;67(B)(C)(10.7)	OPERATION OF THE TWIN ARENCO FILL MACHINE	APPROVED
Effective: 08/15/11		
Supersedes: 06/01/10		
Page: 4 of 4		

ADDENDUM

HISTORY OF REVISIONS:
Revisions prior to 07/01/07 can be found in the Compliance archives.

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G. C. Hanford Manufacturing Company Standard Operating Procedure	SOP Reference: D;67(B)(C)(10.7) SOP D;67(B)(C)(10.7) Form 1 Form Version: 005	APPROVED

Pen Mastitis Mixing Verification Form

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New York Canna
Standard Operating Procedure
Operation of the Medical Marijuana Syringe Filling and Packaging Line

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PURPOSE:

RESPONSIBILITY:

SOP REFERENCES:

POLICY STATEMENTS:

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PROCEDURE:

[redacted]

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Technical Data Sheet

BD

Helping all people live healthy lives

Disposable Single-Use Syringes

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CONVENTIONAL SYRINGES

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Technical Data Sheet

BD

Helping all people live healthy lives

Disposable Single-Use Syringes

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New York Canna
Standard Operating Procedure
Operation of the Medical Marijuana Pump Spray Bottle Filling and Packaging Line

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PURPOSE:

RESPONSIBILITY:

SOP REFERENCES:

POLICY STATEMENTS:

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[redacted]

PROCEDURE:

A. Bottle Filling

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B. Bottle Packaging

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M20 SP410 NECK FINISH

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SERVICES

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:: NASAL SPRAY & DISPENSING SYSTEMS

[redacted]

:: EAR SPRAY SYSTEMS

[redacted]

:: ORAL & DERMAL SPRAY SYSTEMS

[redacted]

:: ORAL & DERMAL DISPENSING SYSTEMS

[redacted]

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STI MODEL 10 ver. 4.2
CAPSULE FILLING MACHINE

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LF-10 Oil & Paste Capsule Filling Machine

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CODE ROY348	DATE 2013-11-18	NO E-1330

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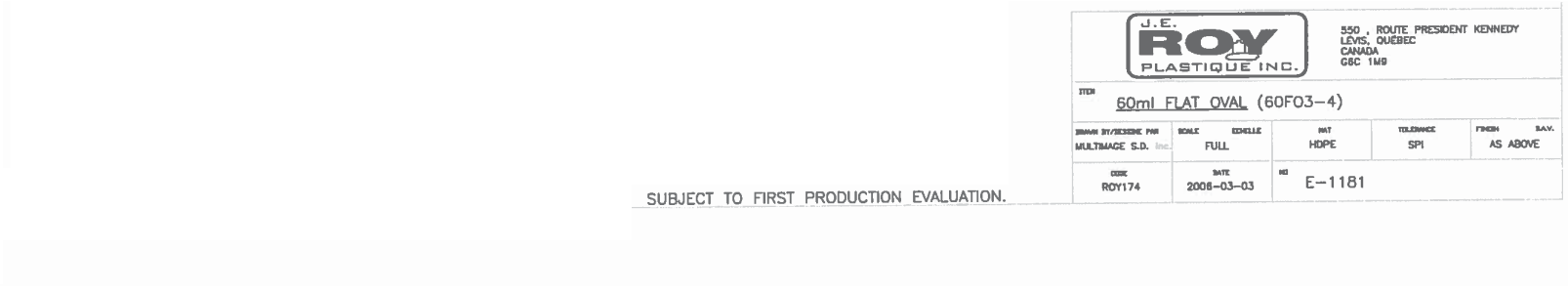
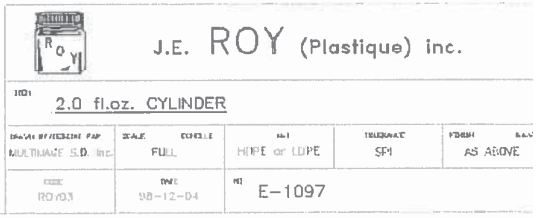
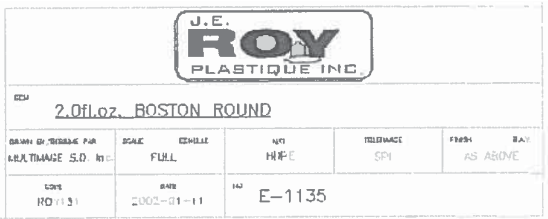


Redacted pursuant to N.Y. Public Officers Law, Art. 6



SUBJECT TO FIRST PRODUCTION EVALUATION.

Redacted pursuant to N.Y. Public Officers Law, Art. 6



SUBJECT TO FIRST PRODUCTION EVALUATION.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

J.E. ROY PLASTIQUE INC.

ITEM 75ml BOSTON ROUND/20-410		
DRAWN BY/DESSINE PAR MULTIMAGE S.D. Inc.	SCALE ECHELLE FULL	
CODE ROY191-148	DATE 2006-09-26	NO E-1152-A

SUBJECT TO CONTINUOUS PRODUCTION EVALUATION.

Candice Vallejos
Redacted pursuant to N.Y. Public Officers Law, Art. 6

Alexis G. Filip Territory Sales Manager
Redacted pursuant to N.Y. Public Officers Law, Art. 6
CapsCanada
Toll-Free: 866 788-2888

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

G. C. Hanford Manufacturing Company Standard Operating Procedure		
Subpart: D;67(B)(C)(3.2)	LABEL-AIRE CLEANING AND THREADING	APPROVED
Effective: 02/15/11		
Supersedes: 08/15/10		
Page: 1 of 5		

Redacted pursuant to N.Y. Public Officers Law, Art. 6

PURPOSE:

RESPONSIBILITY:

SOP REFERENCE:

PROCEDURE:

A. CLEANING

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

B. 1. THREADING Model 3115 (See Attachment No.: 1, attached)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. 2. LABEL-AIRE SETTINGS: Model #3115

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

C. THREADING MODEL 2123 (See Attachment No.: 2)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. HEATING LABELS

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

ADDENDUM

HISTORY OF REVISIONS:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

G. C. Hanford Manufacturing Company Standard Operating Procedure	SOP Reference: D;67(B)(C)(3.2) Attachment No.: 1 Effective Date: 05/15/09	APPROVED

Model 3115

Redacted pursuant to N.Y. Public Officers Law, Art. 6

G. C. Hanford Manufacturing Company Standard Operating Procedure	SOP Reference: D;67(B)(C)(3.2) Attachment No.: 2 Effective Date: 08/15/10	APPROVED

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

COPY

G. C. Hanford Manufacturing Company Standard Operating Procedure		
Subpart: D;67(A)(B)(1.1)	WAUKESHA PUMPS ASSEMBLY/ DISASSEMBLY/CLEANING	APPROVED
Issued: 07/15/13		
Effective: 08/01/13		
Supersedes: 03/01/13		
Page: 1 of 10		

PURPOSE:

RESPONSIBILITY:

SOP REFERENCES:

DESCRIPTION:

POLICY STATEMENTS:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

PROCEDURE:

A. DISASSEMBLY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

G. C. Hanford Manufacturing Company Standard Operating Procedure		
Subpart: D;67(A)(B)(1.1)	WAUKESHA PUMPS ASSEMBLY/ DISASSEMBLY/CLEANING	APPROVED
Issued: 07/15/13		
Effective: 08/01/13		
Supersedes: 03/01/13		
Page: 3 of 10		

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. CLEANING

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. ASSEMBLY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

COPY

G. C. Hanford Manufacturing Company Standard Operating Procedure		
Subpart: D;67(A)(B)(1.1)	WAUKESHA PUMPS ASSEMBLY/ DISASSEMBLY/CLEANING	APPROVED
Issued: 07/15/13		
Effective: 08/01/13		
Supersedes: 03/01/13		
Page: 10 of 10		

ADDENDUM

HISTORY OF REVISIONS:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

New York Canna
Standard Operating Procedure
Operation of the Medical Marijuana Pump Spray Bottle Filling and Packaging Line

Redacted pursuant to N.Y. Public Officers Law, Art. 6

PURPOSE:

RESPONSIBILITY:

SOP REFERENCES:

POLICY STATEMENTS:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

PROCEDURE:

A. Bottle Filling

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Bottle Packaging

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC

NEW YORK CANNA

Section 5

Security and Control

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

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This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

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This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Section 5 - Security and Control

Section 5- Introduction:

A. About This Plan

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Scope of the Plan.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

C. Five Key Principles Driving New York Canna's Approach to Security

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. Strategic Methodology and Approach to Security

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. Section 5(A) - Manufacturing Facility And Company-Wide Security.

A. Security Program Management and Structure.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

B. Core Security Operations.

1. Screening and Search

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2. Monitoring of Facility and Operations.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3. Incident Response.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4. Investigations.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

5. Social Media and Open-Source Monitoring.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **Physical Security.**

1. Overview of Entrances and Exits.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2. Security Controls and Procedures.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3. Systems Maintenance, Inspection and Testing.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4. Physical Barriers and Perimeter Security.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

5. Vehicles and Equipment.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

6. Lighting.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

7. Locks and Key Control.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

8. Signage.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

9. Prohibited Items.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

10. Vault Rooms.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

11. Loading Dock and Delivery.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

12. Trash Collection and Storage.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

13. Utilities.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

14. Uninterrupted Power Supply. [redacted]

15. Backup Generator. [redacted]

16. Counter Surveillance. [redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. Security Policies, Procedures and Processes.

1. Use of Force Policy.

[redacted]

2. Weapons Qualification.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

3. Workplace Violence Mitigation.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4. Threat Assessment.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

5. Employee Suspension and Termination Procedures.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

E. Emergency Management.

1. Planning Principles and Approach.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

2. First Responder Protocols.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3. National Incident Management System (NIMS).

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4. Incident Command System (ICS).

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

5. Active Shooter Plan.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

6. Suspicious Items and Bomb Threats.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Section 5(b) - Security Surveillance System.

A. Methodology and Solution Platform.

1. Security Design Methodology.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2. Security System Solution Platform.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

B. **Platform Components.**

1 Security Surveillance and the Closed-Circuit Television System

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[1] This plan uses the term 'pixels-per-object' when referring to video surveillance coverage areas.

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3. Access Control System.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4. Alarm System.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

5. Gate Entrance Security System.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

[redacted]

6. Intrusion Detection System.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

7. Exterior Detection Devices.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

8. Fire and Life Safety System [redacted]

[redacted]

9. Information and Cyber Security.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

III. Section 5(c) - Dispensing Facility Security.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. Section 5d.- Shipping/Transportation Security.

A. Core Processes and Countermeasures.

1. Shipping Manifests.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

B. Storage Containers and Locks.

1. Cannabis Storage Container

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2. Lock and Key Control. [redacted]

3. GPS Tracking. [redacted]

C. GPS-Equipped Delivery Vehicles and Personnel.

1. Delivery Personnel Responsibilities. [redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2. Tracking Deliveries.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3. Emergency Contingency Plans.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4. Arrivals, Departures and the Sally Port.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

5. Delivery Protocols.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

6. Cash Receipts.

[redacted]

7. Departing the Dispensary.

[redacted]

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

8. Facility Return.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

9. Driver Confidentiality.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

10. Police Traffic Stops.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This Material is Exempt from FOIL Disclosure-Contains Trade Secrets and Critical Infrastructure Information.

NYC

NEW YORK CANNA

Attachment D, Section 6

Standard Operating Procedures

Table of Contents

Extraction Laboratory

Cultivation

Dispensing Facility

Final Product Manufacturing

- Biological Analysis Methodology
- Liquid Chromatography Analytical Methodology
- Gas Chromatography Analytical Methodology
- Operation of the Medical Marijuana Syringe Filling and Packaging Line
- Other

Emergency Operating Procedures

Quality Systems Manual

Radio Frequency Identification "RFID" Standard Operating Procedure

NYC

NEW YORK CANNA

Extraction Laboratory

Standard Operating Procedures

Extraction Laboratory Standard Operating Procedures

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Introduction

Material Reduction and Particle Size Control Standard Operating Procedure

High Flow Extractor Standard Operating Procedure

Finishing Extracts Standard Operating Procedure

Engineer Review

Primary Equipment Specifications

Other Equipment Specifications

Introduction to New York Canna's Extraction SOPs

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[1] This section is the extraction portion of our Attachment D, Section 1, Operating Plan, Manufacturing Processes contained elsewhere in this Application. We include it here not to increase the amount of information you must review, rather for the Department's reference and to provide necessary context for the other documents contained in these Extraction SOPs.

GENERAL DISCRIPTION OF EXTRACTION PROCESS

Redacted pursuant to N.Y. Public Officers Law, Art. 6

SOP-EXTRACTION-INDEX:

[redacted]

EXTRACTION STANDARD OPERATING PROCEDURES INDEX

LOT CONTROL AND SIZING SECTION

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXTRACTION SECTION

[redacted]

Extraction Processes

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. Pre-Processing:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Extraction:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

III. **Post Extraction Process (For Certain Forms):**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. Decarboxylation (For Certain Forms):

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Extraction

Standard Operating Procedures

Material Reduction and Particle Size Control

Warnings and Safety Information

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Bulk Material Handling

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Equipment Outline:

STEP 1: Batch Organization

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 2: Batch Selection and Preparation

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 3: Batch Grinding of Feedstock

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 4: Batch Assembly and Process Queue

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Extraction

Standard Operating Procedures

High Flow Extractor

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Warnings and Safety Information

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Equipment Outline:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Introduction – High Flow Extractor:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Before You Start

[redacted]

STEP 1. Getting Started

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

STEP 2. Loading The Material

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 3. Building Pressure

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 4. Target Pressures

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

STEP 5. Filling the Accumulator

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 6. Recirculating

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 6. Duration

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 7. Flow Path Changes

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 8. Decompression

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 9. Extract Recovery

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

STEP 10. Cleaning and Maintenance

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Extraction

Standard Operating Procedure

Finishing Extracts

Warnings and Safety Information

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Finished Processing of Extracts

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Equipment Outline:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Document #3 SOP-FINISHING 0001

FINISHING PROCESS

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

FINISHING INDEX

	PROCEDURE	DOCUMENT #
	[redacted]	

NYC

NEW YORK CANNA

Attachment D- Section 6

Standard Operating Procedures

Extraction Equipment Specifications

Pressure Safety Inspectors LLC

September 13, 2014

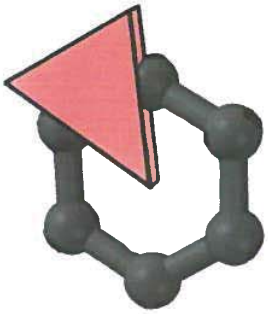
Redacted pursuant to N.Y. Public Officers Law, Art. 6

PO Box 452, Castle Rock, CO 80104
720-557-4212 • info@psinspectors.com • www.psinspectors.com

Engineering Peer Review

for Solvent-Based Extraction Equipment

Prepared for



EDIPURE EPMM, LLC

Review date: April 20, 2015

Pressure Safety Inspectors LLC
PO Box 452
Castle Rock, CO 80104

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Revision History

Revision	Date	Description
0	April 20, 2015	Original Release

Signature Page

This Engineering Peer Review was prepared for:

Original Equipment Manufacturer (OEM): **EdiPure EPMM, LLC**
6623 East Phillips Ave, Centennial, CO 80112

For the following Model Numbers: EA-H

Authored by: Chris Witherell, PE
Date: April 20, 2015
Signature: _____

Checked by: John Andrzejczak, PE
Date: April 20, 2015
Signature: _____

Report Number: **201502007 Rev 0**

State of Colorado

EdiPure EPMM, LLC model number EA-H has been evaluated by a Colorado Professional Engineer and been found suitable for use in the State of Colorado, providing all pressure relief valves are vented to exhaust piping.

State of Washington

EdiPure EPMM, LLC model number EA-H has been evaluated by a Washington Professional Engineer and been found to be professional grade, commercially manufactured, designed and fabricated in accordance with internationally recognized codes and standards as described in (WAC) 314-55-104 (4). These models are suitable for use in the State of Washington, providing all pressure relief valves are vented to exhaust piping.

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Appendix A – OEM Manual 31

Attachment 1 – Design Notebook Rev 0

Executive Summary

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Methodology

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Appendix A – OEM Manual

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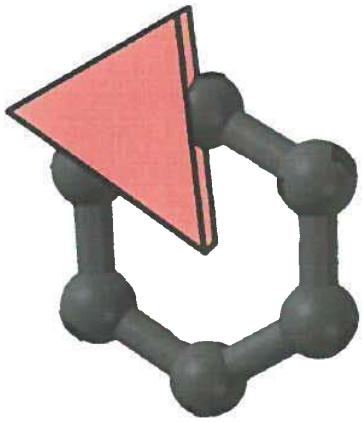
Standard Operating Procedures For CO2 Extracts



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Attachment 1

Design Notebook

Engineering Peer Review

201502007 Revision 0

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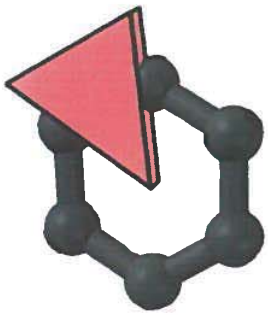

Original Equipment Manufacturer (OEM): **Edipure EPMM, LLC**
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Centennial, CO 80112

For the following Model Numbers: **EA-H**

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From: Andy Joseph
To: Chris Witherell
Subject: RE: Permission to use Drawings
Date: Friday, February 27, 2015 9:24:58 AM

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From: Fritz Chess
To: Chris Witherell
Subject: Re: Permission to use EPR information
Date: Saturday, April 11, 2015 4:08:42 PM

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--
Fritz Chess
Founder, Eden Labs LLC

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This Material is Exempt from FOIL Disclosure-
Contains Trade Secrets and Critical Infrastructure Information
Pressure Safety Inspectors LLC
PO Box 452, Castle Rock, CO 80104

NYC

NEW YORK CANNA

Cultivation Facility

Standard Operating Procedures

Introduction to Cultivation Department

Operations Manual Overview

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Role of the Cultivation Department

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cultivation Department Administration

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cultivation Facility Process and Procedures

I. Propagation Process

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

II. Seeding and Seedling Growth Process

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

III. Cutting/Cloning Process

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. **Stock/Mother Plant Maintenance**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

V. Early Vegetative Growth

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

VI. **Late Vegetative Growth**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

VII. **Early Flower**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

VIII. **Mid Flower**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IX. **Late Flower**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

X. Ripening/Flushing

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XI. Training

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XII. **Off-Site Odors**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XIII. **Prevention of Contamination**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XIV. **Safety**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XV. **Other Standard Operating Procedures**:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Dispensing Facility

Standard Operating Procedures

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Part II. General Dispensing Operation SOP

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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We Offer The Attached Sample of Detailed Standard Operating Procedures of a Dispensing Facility to Demonstrate Our Immediate Ability to Create Comprehensive and Regulation Specific Practices, Policies and Procedures without our four (4) Dispensing Facilities.

I. New York Dispensing Facility Standard Operating Procedures

Introduction:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Absent Pharmacist: [redacted]

Audits: [redacted]

Badges, Employee Identification: [redacted]

Clothing: [redacted]

Consumption of Food and/or Beverages on Premises: [redacted]

Counseling of Certified Patients/Caregivers:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Daily Report - Contents:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Dosing: [redacted]

Delivery of Approved Medical Marihuana Products: [redacted]

Daily Reporting – To the Department:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Dispensing Limits: [redacted]

Employee Exit Interviews: [redacted]

Free Samples [redacted]

HIPAA: [redacted]

[redacted]

Independent Laboratory: [redacted]

Limits on Designated Caregivers: [redacted]

Mandatory Disposal: [redacted]

Manual Check of Patient Certifications: [redacted]

Ordering Medical Marihuana Products: [redacted]

Opening of Packaged Product: [redacted]

Out-of-State Patients: [redacted]

Patient Log: [redacted]

Patient Record Keeping: [redacted]

Patient Records – Audit: [redacted]

"Prescription:" [redacted]

Record Retention/Destruction of Records: [redacted]

Receiving Medical Marihuana Products:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Return of Product - Policy Statement for Certified Patient:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Return of Product - Procedures: [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Suspected Patient Abuse of Medical Marihuana Product:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Suspected Patient Diversion:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Training:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Use of Approved Medical Marihuana Products:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Access to Dispensing Facilities:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Log:

Zero Report:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Log Companion

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Examples of Acceptable Reasons to Admit a Visitor Without Prior Permission:

[redacted]

Examples of Prohibited Reasons to Admit a Visitor:

[redacted]

Limited Access Area Visitor Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Surveillance Equipment Maintenance Activity Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Surveillance Equipment User Authorization List

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Alarm Testing Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Inventory Adjustment Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

New Patient Registration Form

Redacted pursuant to N.Y. Public Officers Law, Art. 6

SOP Change Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Product Acquisition Log

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Product Sale Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Current Employee List

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cleaning Log

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Material Safety and Data Sheets

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cannabis Waste and Disposal Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Packaging and Labeling Checklist

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Shipping Container Checklist

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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NEW YORK CANNA

Dispensary Facility Procedures Manual
Volume II

Sample To Be Customized for New York

We Offer This Sample of Detailed Standard Operating Procedures of a Dispensing Facility to Demonstrate Our Immediate Ability to Create Comprehensive and Regulation Specific Practices, Policies and Procedures without our four (4) Dispensing Facilities.

II. General Dispensing Facility Standard Operating Procedures

(Borrowed from Our Dispensing Partners at Denver Consulting)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

How to Use This Manual:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Purpose

[redacted]

Policy

[redacted]

Procedure

[redacted]

Limited Access Areas

Standard Operating Procedure

1) PURPOSE

[redacted]

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) **PROCEDURE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Restricted Access Area

Standard Operating Procedure

1) **PURPOSE**

i) [redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Video Surveillance

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Inventory Tracking System

Standard Operating Procedures

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Business Records

Standard Operating Procedure

1) PURPOSE

[redacted]

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Plant Count/Member Totals

Standard Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

[redacted]

31 PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Sales

Standard Operating Procedure

1) Purpose

[redacted]

2) Policy M 403 – Medical Marihuana Sales: General Limitations or Prohibited Acts

Redacted pursuant to N.Y. Public Officers Law, Art. 6

M 405 – Acceptable Forms of Identification for Medical Marihuana Sales

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) Procedure

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Acceptable Forms of ID

General

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Proof of Residency (for all Medical Sales or Retail Sales in excess of 7g)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

CSV Files

Standard Operating Procedure

1) PURPOSE

[redacted]

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

New Member Registration

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) **PROCEDURE**

[redacted]

Health and Safety Regulations

Standard Operating Procedure

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cannabis Waste and Disposal

Standard Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

ii) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Labeling and Packaging Requirements

Standard Operating Procedure

1) **PURPOSE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Transport of Cannabis and Cannabis Product

Standard Operating Procedure

1) PURPOSE

[redacted]

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Signage and Advertising

Standard Operating Procedures

1) **PURPOSE**

[redacted]

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Final Product Manufacturing

Standard Operating Procedure

NYC

NEW YORK CANNA

Biological Analysis Methodology

Standard Operating Procedures

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I. Biological Analysis Methodology

Standard Operating Procedure

Overview:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Materials required:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Primary Microbiological and Physiological Assessment (Qualitative):

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Qualitative analysis for foreign materials, pests, microbiological agents and plant physiology:

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

The Screening of Medical Marijuana Plant Samples for Trichome Quality:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Aseptic Technique & Working with Microorganisms:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Learning Objectives:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Background Science

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Common Techniques for the Isolation of Microorganisms:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Quantitative Microbiological Analysis:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Quantitative Analysis of Microbiological agents:

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Cultivation Facility

Standard Operating Procedures

Introduction to Cultivation Department

Operations Manual Overview

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Role of the Cultivation Department

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Cultivation Department Administration

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Cultivation Facility Process and Procedures

I. Propagation Process

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Seeding and Seedling Growth Process

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

III. Cutting/Cloning Process

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. **Stock/Mother Plant Maintenance**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

V. Early Vegetative Growth

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

VI. **Late Vegetative Growth**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

VII. **Early Flower**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

VIII. **Mid Flower**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IX. **Late Flower**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

X. **Ripening/Flushing**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XI. **Training**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XII. **Off-Site Odors**

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XIII. **Prevention of Contamination**

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

XIV. **Safety**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

XV. **Other Standard Operating Procedures:**

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Dispensing Facility

Standard Operating Procedures

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Part II. General Dispensing Operation SOP

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I. New York Dispensing Facility Standard Operating Procedures

Introduction:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Absent Pharmacist: [redacted]

Audits: [redacted]

Badges, Employee Identification: [redacted]

Clothing: [redacted]

Consumption of Food and/or Beverages on Premises: [redacted]

Counseling of Certified Patients/Caregivers:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Daily Report - Contents

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Dosing: [redacted]

Delivery of Approved Medical Marihuana Products:
Redacted pursuant to N.Y. Public Officers Law, Art. 6

Daily Reporting – To the Department:
Redacted pursuant to N.Y. Public Officers Law, Art. 6

Dispensing Limits: [redacted]

Employee Exit Interviews: [redacted]

Free Samples: [redacted]

HIPAA: [redacted]

[redacted]

Independent Laboratory: [redacted]

Limits on Designated Caregivers: [redacted]

Mandatory Disposal: [redacted]

Manual Check of Patient Certifications: [redacted]

Ordering Medical Marihuana Products: [redacted]

Opening of Packaged Product: [redacted]

Out-of-State Patients: [redacted]

Patient Log: [redacted]

Patient Record Keeping [redacted]

Patient Records – Audit: [redacted]

"Prescription:" [redacted]

Record Retention/Destruction of Records: [redacted]

Receiving Medical Marihuana Products:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Return of Product - Policy Statement for Certified Patient:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Return of Product - Procedures [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Suspected Patient Abuse of Medical Marihuana Product:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Suspected Patient Diversion:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Training:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Use of Approved Medical Marihuana Products:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Access to Dispensing Facilities:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Log [redacted]

Zero Report: [redacted]

[redacted]

Visitor Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Visitor Log Companion

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Examples of Acceptable Reasons to Admit a Visitor Without Prior Permission:

[redacted]

Examples of Prohibited Reasons to Admit a Visitor:

[redacted]

Limited Access Area Visitor Log

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Final Product Manufacturing

Standard Operating Procedure

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NEW YORK CANNA

Biological Analysis Methodology

Standard Operating Procedures

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Quantitative Analysis of Microbiological Agents	7
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I. Biological Analysis Methodology

Standard Operating Procedure

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Aseptic Technique & Working with Microorganisms:

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Background Science

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Common Techniques for the Isolation of Microorganisms:

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Quantitative Analysis of Microbiological agents:

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Liquid Chromatography Analytical Methodology

Standard Operating Procedures

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I. Liquid Chromatography Analytical Methodology

Standard Operating Procedure

Overview:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Materials required:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Stock Solutions:

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HPLC Sample Preparation:

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Sonication:

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Sedimentation:

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HPLC Operation:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Calibration:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Sample Injection:

[redacted]

HPLC Analysis:

[redacted]

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HPLC Results:

Sample Preparation Addendum:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Gas Chromatography Analytical Methodology

Standard Operating Procedures

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I. Gas Chromatography Analytical Methodology

Standard Operating Procedure

Overview:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Materials required:

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Quality Control:

[redacted]

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Stock Solutions:

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GC Sample Preparation:

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Aseptic technique in sample preparation:

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Sample preparation method:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Table 1. Sample preparation table

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Table 2. Cannabinoids stock solutions

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Quality Control:

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Operation of the Medical Marijuana Syringe Filling and Packaging Line

Standard Operating Procedures

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I. Operation of the Medical Marijuana Capsule Filling and Packaging Line

Standard Operating Procedure

Purpose:

[redacted]

Responsibility:

[redacted]

SOP References:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Policy Statements:

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Procedures:

A. Syringe Filling

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Labeling

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. Packaging

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Medical Marihuana Waste and Disposal

Standard Operating Procedures

Medical Marihuana Waste and Disposal Standard Operating Procedure

PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

WASTE DISPOSAL POLICY

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

PROCEDURES FOR DISPOSAL:

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EMERGENCY OPERATING PROCEDURES

NYC
NEW YORK CANNA

214 FARRELL ROAD, SYRACUSE, NY 13209

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Developing Your Emergency Operations Plan (EOP)

Emergency Operating Procedure

1) **PURPOSE:**

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2) **PLAN**

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

"Go-Kit" Supplies

Emergency Operating Procedure

1) **PURPOSE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Evacuation

Emergency Operating Procedure

1) **PURPOSE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) **PLAN**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Sheltering In Place

Emergency Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) PLAN

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURES

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Emergency Contact information

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Tornadoes

Emergency Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) PLAN

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Severe Weather or Blizzard

Emergency Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) PLAN/PREPARE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURES

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Bomb Threat

Emergency Operating Procedure

1) **PURPOSE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) **PLAN**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) **PROCEDURE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Bomb Threat Sheet

INSTRUCTIONS FOR TALKING WITH CALLER WARNING OF A BOMB THREAT

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

DESCRIPTION OF CALLER

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Hold-up and Robbery Alarms

Emergency Operating Procedure

1) **PURPOSE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) **POLICY**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) **PROCEDURE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Chemical Spills

Standard Operating Procedure

1) **PURPOSE**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) **PLAN**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Mercury and Fluorescent Bulb Spills and Recycling

Standard Operating Procedure

1) PURPOSE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

2) POLICY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

3) PROCEDURE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

4) PROCEDURE: General Spill

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

5) PROCEDURE[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

6) **PROCEDURE:** [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

7) PROCEDURE:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

8) PROCEDURE:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

(Summary of Forthcoming)

Quality Systems Manual

Manual Implementing NYC Product Quality Assurance Program

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

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RFID-Use: Product Security and Tracking

Standard Operating Procedures

This Material is Exempt from FOIL Disclosure- Contains Trade Secrets & Critical Infrastructure Information

RFID USE – Product Security and Tracking

Standard Operating Procedures

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This Material is Exempt from FOIL Disclosure- Contains Trade Secrets & Critical Infrastructure Information

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This Material is Exempt from FOIL Disclosure- Contains Trade Secrets & Critical Infrastructure Information

Redacted pursuant to N.Y. Public Officers Law, Art. 6

A. **Phase One: RFID Inventory Tracking:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. **Phase Two: Plant Material - Extracted/Infused Material – Packaged Retail Material:**

[redacted]

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C. **Phase Three: Environmental/Fertigation Tracking:**

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Attachment D, Section 7

Quality Assurance Plan

Section 7 – (Dispensing) Quality Assurance Plan

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. Dispensing Quality Medical Marihuana:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Errors Related to Dispensing Medical Marihuana:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

A. Prescribing Errors:

[redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Dispensing Errors:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Investigation of Possible Dispensing Errors:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Dispensing Error Investigation Form

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Attachment D, Section 8

Returns, Complaints, Adverse Events and Recalls

Section 8 – Returns, Complaints, Adverse Events and Recall Plan

[redacted]

I. Returns and Complaints

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[redacted]

II. Recalls and Adverse Events

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

III. Storage and Disposal of Adulterated Products

[redacted]

IV. Storage of Finished Product for Future Testing

[redacted]

V. Disposal of Waste Materials

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Return, Complaint and Adverse Event

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Patient Return and/or Complaint Form

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Attachment D, Section 9

Product Quality Assurance

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Mold Remediation in schools and Commercial Buildings

Section 9 – Product Quality Assurance Program

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I. Product Quality Assurance Program

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Product Quality System

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[1] All products and materials will be licensed and registered under appropriate governing bodies including, but not limited to, the EPA, OSHA, USDA, OMRI, and the New York Department of Agriculture.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

IV. Contaminant Protocols:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

[redacted]

V. Contamination Investigation:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Contamination Investigation

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

(Summary of Forthcoming)

Quality Systems Manual

Manual Implementing NYC Product Quality Assurance Program

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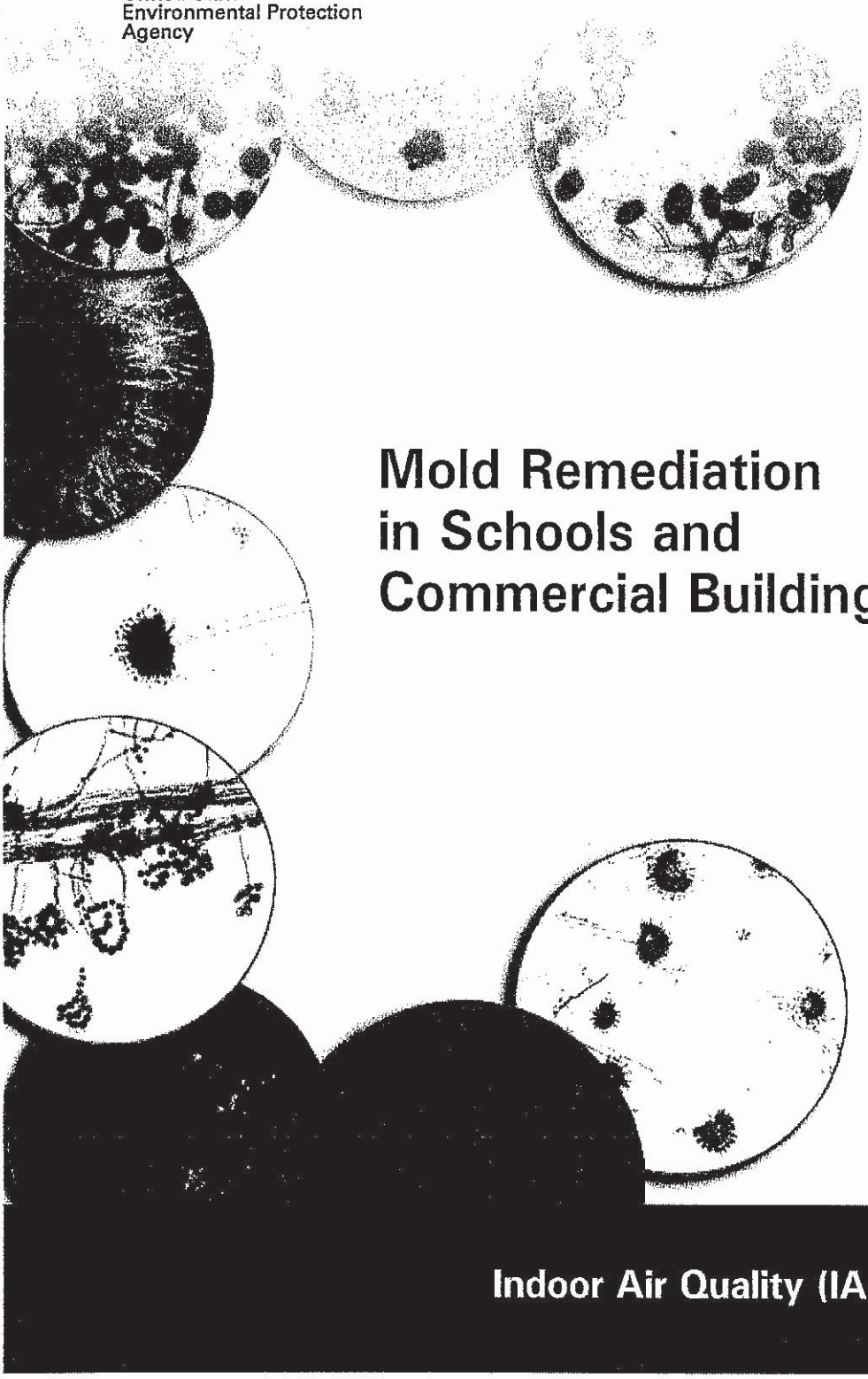
Redacted pursuant to N.Y. Public Officers Law, Art. 6

EPA 402-K-01-001 | September 2008 | www.epa.gov/mold

EPA
United States
Environmental Protection
Agency



Mold Remediation in Schools and Commercial Buildings

Indoor Air Quality (IAQ)

Acknowledgements

This document was prepared by the Indoor Environments Division (IED) of the U.S. Environmental Protection Agency. IED would like to thank the reviewers of this document who provided many valuable and insightful comments, and the contractors who provided support during the development of this document.

EPA would also like to thank those who provided photos: Terry Brennan (Photo #2, Photo #3A, Photo #4A, Photo #6, Photo #8, Photo #9); Paul Ellringer (Photo #4C); Stephen Vesper, Ph.D. (Photo #3B); and Chin Yang, Ph.D. (cover photos, Photo #4B, Photo #5, Photo #7).

Please note that this document presents *recommendations* on mold remediation. EPA does not regulate mold or mold spores in indoor air.

Cover Photos: Magnified photos of different species of mold

Mold Remediation in Schools and Commercial Buildings

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Introduction

Concern about indoor exposure to mold has been increasing as the public becomes aware that exposure to mold can cause a variety of health effects and symptoms, including allergic reactions. This document presents guidelines for the remediation/cleanup of mold and moisture problems in schools and commercial buildings; these guidelines include measures designed to protect the health of building occupants and remediators. It has been designed primarily for building managers, custodians, and others who are responsible for commercial building and school maintenance. It should serve as a reference for potential mold and moisture remediators. Using this document, individuals with little or no experience with mold remediation should be able to make a reasonable judgment as to whether the situation can be handled in-house. It will help those in charge of maintenance to evaluate an in-house remediation plan or a remediation plan submitted by an outside contractor.[1] Contractors and other professionals who respond to mold and moisture situations in commercial buildings and schools may also want to refer to these guidelines.

Molds gradually destroy the things they grow on. Prevent damage to building materials and furnishings, save money, and avoid potential health risks by controlling moisture and eliminating mold growth.

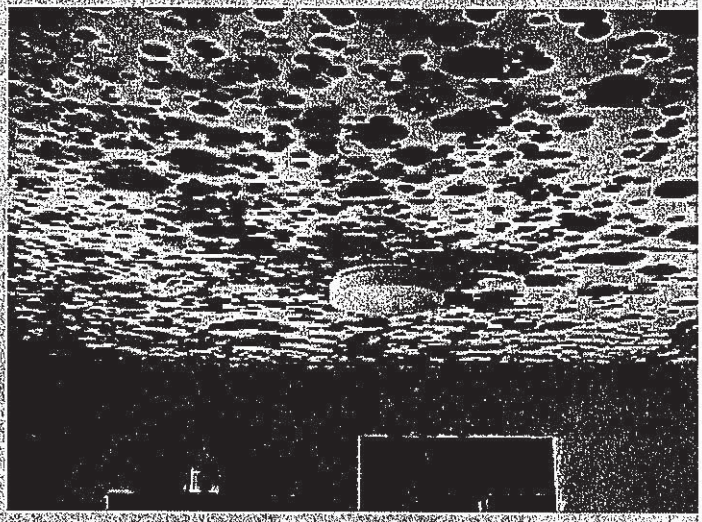


Photo 2: Extensive mold contamination of ceiling and walls

[1] If you choose to use outside contractors or professionals, make sure they have experience cleaning up mold, check their references, and have them follow the recommendations presented in this document, the guidelines of the American Conference of Government Industrial Hygienists (ACGIH) (see Resources List), and/or guidelines from other professional organizations.

Molds can be found almost anywhere; they can grow on virtually any organic substance, as long as moisture and oxygen are present. There are molds that can grow on wood, paper, carpet, foods, and insulation. When excessive moisture accumulates in buildings or on building materials, mold growth will often occur, particularly if the moisture problem remains undiscovered or unaddressed. It is impossible to eliminate all mold and mold spores in the indoor environment. However, mold growth can be controlled indoors by controlling moisture indoors.

Molds reproduce by making spores that usually cannot be seen without magnification. Mold spores waft through the indoor and outdoor air continually. When mold spores land on a damp spot indoors, they may begin growing and digesting whatever they are growing on in order to survive. Molds gradually destroy the things they grow on.

Many types of molds exist. All molds have the potential to cause health effects. Molds can produce allergens that can trigger allergic reactions or even asthma attacks in people allergic to mold. Others are known to produce potent toxins and/or irritants. Potential health concerns are an important reason to prevent mold growth and to remediate/clean up any existing indoor mold growth.

Since mold requires water to grow, it is important to prevent moisture problems in buildings. Moisture problems can have many causes, including uncontrolled humidity. Some moisture problems in buildings have been linked to changes in building construction practices during the 1970s, '80s, and '90s. Some of these changes have resulted in buildings that are tightly sealed, but may lack adequate ventilation, potentially leading to moisture buildup. Building materials, such as drywall, may not allow moisture to escape easily. Moisture problems may include roof leaks, landscaping or gutters that direct water into or under the building, and unvented combustion appliances. Delayed maintenance or insufficient maintenance are also associated with moisture problems in schools and large buildings. Moisture problems in portable classrooms and other temporary structures have frequently been associated with mold problems.

When mold growth occurs in buildings, adverse health problems may be reported by some building occupants, particularly those with allergies or respiratory problems. Remediators should avoid exposing themselves and others to mold-laden dusts as they conduct their cleanup activities. Caution should be used to prevent mold and mold spores from being dispersed throughout the air where they can be inhaled by building occupants.

Prevention

The key to mold control is moisture control. Solve moisture problems before they become mold problems!

Mold Prevention Tips

- Fix leaky plumbing and leaks in the building envelope as soon as possible.
- Watch for condensation and wet spots. Fix source(s) of moisture problem(s) as soon as possible.
- Prevent moisture due to condensation by increasing surface temperature or reducing the moisture level in air (humidity). To increase surface temperature, insulate or increase air circulation. To reduce the moisture level in air, repair leaks, increase ventilation (if outside air is cold and dry), or dehumidify (if outdoor air is warm and humid).
- Keep heating, ventilation, and air conditioning (HVAC) drip pans clean, flowing properly, and unobstructed.
- Vent moisture-generating appliances, such as dryers, to the outside where possible.
- Maintain low indoor humidity, below 60% relative humidity (RH), ideally 30 – 50%, if possible.
- Perform regular building/HVAC inspections and maintenance as scheduled.
- Clean and dry wet or damp spots within 48 hours.
- Don't let foundations stay wet. Provide drainage and slope the ground away from the foundation.

Investigating, Evaluating, and Remediating Moisture and Mold Problems

Safety Tips While Investigating and Evaluating Mold and Moisture Problems

- Do not touch mold or moldy items with bare hands.
- Do not get mold or mold spores in your eyes.
- Do not breathe in mold or mold spores.
- Consult Table 2 and text for Personal Protective Equipment (PPE) and containment guidelines.
- Consider using PPE when disturbing mold. The minimum PPE is an N-95 respirator, gloves, and eye protection.

Moldy Areas Encountered During an Investigation

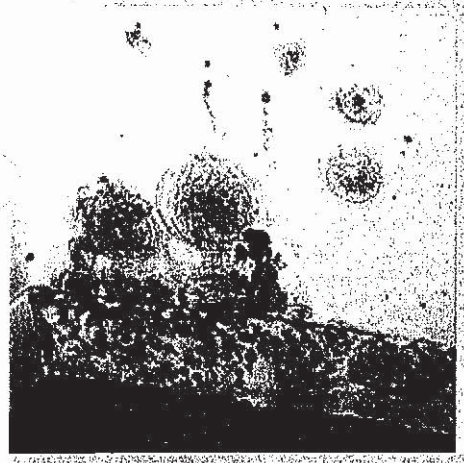


Photo 3A: Mold growing in closet as a result of condensation from room air

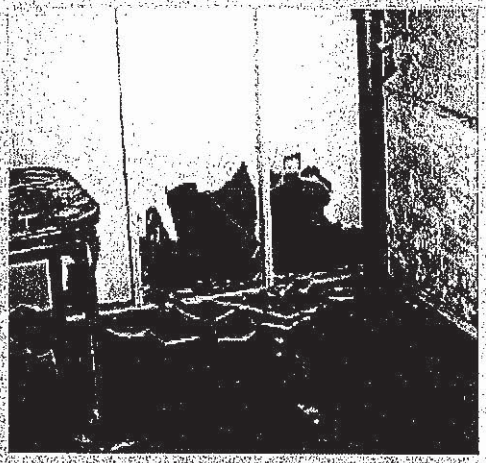
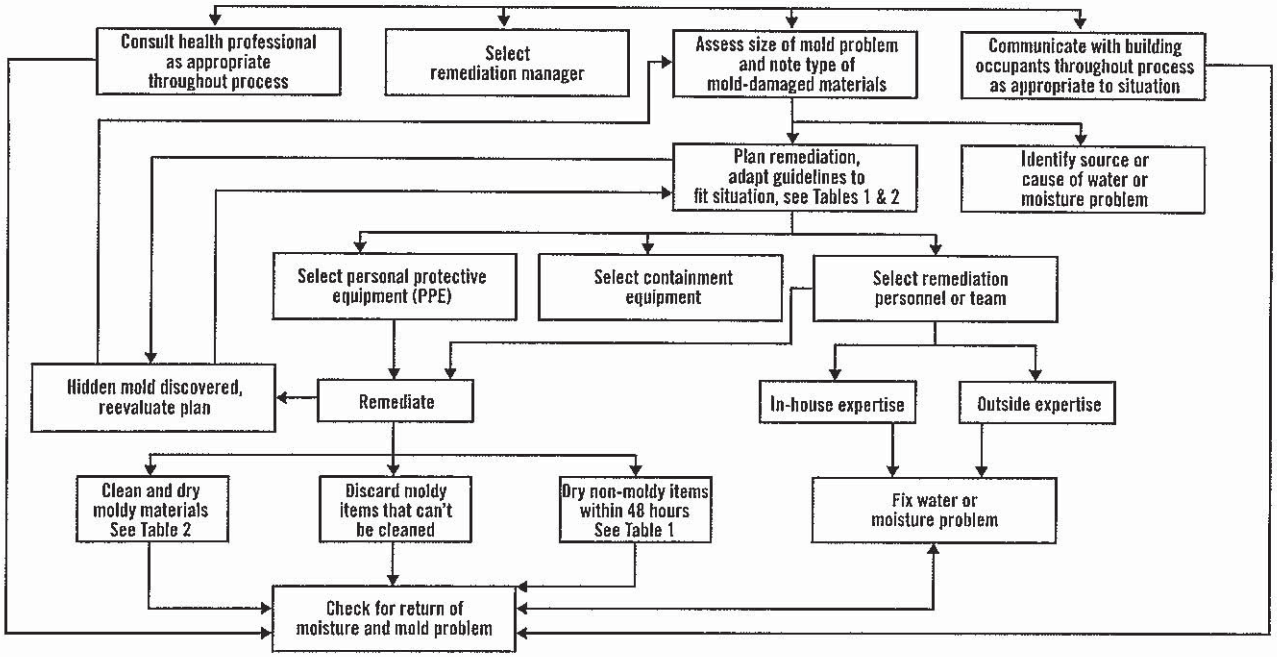


Photo 3B: Front side of wallboard looks fine, but the back side is covered with mold

Mold Remediation – Key Steps



Plan the Remediation Before Starting Work

Questions to Consider Before Remediating

- Are there existing moisture problems in the building?
- Have building materials been wet more than 48 hours? (See Table 2 and text)
- Are there hidden sources of water or is the humidity too high (high enough to cause condensation)?
- Are building occupants reporting musty or moldy odors?
- Are building occupants reporting health problems?
- Are building materials or furnishings visibly damaged?
- Has maintenance been delayed or the maintenance plan been altered?
- Has the building been recently remodeled or has building use changed?
- Is consultation with medical or health professionals indicated?

Remediation Plan

Assess the size of the mold and/or moisture problem and the type of damaged materials before planning the remediation work. Select a remediation manager for medium or large jobs (or small jobs requiring more than one person). The remediation plan should include steps to fix the water or moisture problem, or the problem may reoccur. The plan should cover the use of appropriate Personal Protective Equipment (PPE) and include steps to carefully contain and remove moldy building materials to avoid spreading the mold.[2] A remediation plan may vary greatly depending on the size and complexity of the job, and may require revision if circumstances change or new facts are discovered.

The remediation manager's highest priority must be to protect the health and safety of the building occupants and remediators. It is also important to communicate with building occupants when mold problems are identified.[3] In some cases,

[2] Molds are known allergens and may be toxic. You may wish to use Personal Protective Equipment (PPE) while investigating a mold problem, as well as during remediation/cleanup situations. The minimum PPE includes an N-95 respirator, gloves, and eye protection.

[3] See Appendix C.

especially those involving large areas of contamination, the remediation plan may include temporary relocation of some or all of the building occupants. The decision to relocate occupants should consider the size and type of the area affected by mold growth, the type and extent of health effects reported by the occupants, the potential health risks that could be associated with debris, and the amount of disruption likely to be caused by remediation activities. If possible, remediation activities should be scheduled for off-hours when building occupants are less likely to be affected.

Remediators, particularly those with health-related concerns, may wish to check with their doctors or health care professionals before working on mold remediation or investigating potentially moldy areas. If you have any doubts or questions, you should consult a health professional before beginning a remediation project.

HVAC System

Do not run the HVAC system if you know or suspect that it is contaminated with mold. If you suspect that it may be contaminated (it is part of an identified moisture problem, for instance, or there is mold growth near the intake to the system), consult EPA's guide *Should You Have the Air Ducts in Your Home Cleaned?*[4] before taking further action (see Resources List).

Photo 4A: Contaminated fibrous insulation inside air handler cover

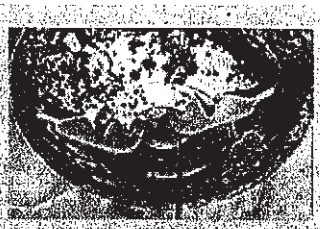


Photo 4B: Mold growth on air diffuser in ceiling

Photo 4C: Moldy air duct

[4] Although this document has a residential focus, it is applicable to other building types.

Hidden Mold

In some cases, indoor mold growth may not be obvious. It is possible that mold may be growing on hidden surfaces, such as the back side of drywall, wallpaper, or paneling, the top of ceiling tiles, the underside of carpets and pads, etc. Possible locations of hidden mold can include pipe chases and utility tunnels (with leaking or condensing pipes), walls behind furniture (where condensation forms), condensate drain pans inside air handling units, porous thermal or acoustic liners inside ductwork, or roof materials above ceiling tiles (due to roof leaks or insufficient insulation). Some building materials, such as drywall with vinyl wallpaper over it or wood paneling, may act as vapor barriers,[5] trapping moisture underneath their surfaces and thereby providing a moist environment where mold can grow. You may suspect hidden mold if a building smells moldy, but you cannot see the source, or if you know there has been water damage and building occupants are reporting health problems. Investigating hidden mold problems may be difficult and will require caution when the investigation involves disturbing potential sites of mold growth—make sure to use PPE. For example, removal of wallpaper can lead to a massive release of spores from mold growing on the underside of the paper. If you believe that you may have a hidden mold problem, you may want to consider hiring an experienced professional. If you discover hidden mold, you should revise your remediation plan to account for the total area affected by mold growth.

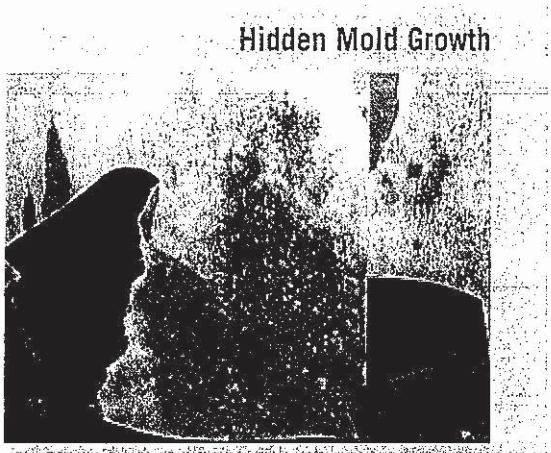


Photo 5: Mold growth behind wallpaper

[5]For more information on vapor barriers and building construction, see Resources List. It is important that building materials be able to dry; moisture should not be trapped between two vapor barriers or mold may result.

Remediation

1. Fix the water or humidity problem. Complete and carry out repair plan if appropriate. Revise and/or carry out maintenance plan if necessary. Revise remediation plan, as necessary, if more damage is discovered during remediation. See Mold Remediation – Key Steps (page 5) and Resources List (page 29) for additional information.
2. Continue to communicate with building occupants, as appropriate to the situation. Be sure to address all concerns.
3. Completely clean up mold and dry water-damaged areas. Select appropriate cleaning and drying methods for damaged/ contaminated materials. Carefully contain and remove moldy building materials. Use appropriate Personal Protective Equipment (PPE). Arrange for outside professional support if necessary.

The Key to Mold Control is Moisture Control!

- When addressing mold problems, don't forget to address the source of the moisture problem, or the mold problem may simply reappear!
- Remember to check for high humidity and condensation problems as well as actual water leaks, maintenance issues, and HVAC system problems.
- Protect the health and safety of the building occupants and remediators. Consult a health professional as needed. Use PPE and containment as appropriate when working with mold.

Table 1: Water Damage Cleanup and Mold Prevention[6]

Table 1 presents strategies to respond to water damage within 24 – 48 hours. These guidelines are designed to help avoid the need for remediation of mold growth by taking quick action before growth starts. If mold growth is found on the materials listed in Table 1, refer to Table 2 for guidance on remediation. Depending on the size of the area involved and resources available, professional assistance may be needed to dry an area quickly and thoroughly.

[6] Please note that Tables 1 and 2 contain general guidelines. Their purpose is to provide basic information for remediation managers to first assess the extent of the damage and then to determine whether the remediation should be managed by in-house personnel or outside professionals. The remediation manager can then use the guidelines to help design a remediation plan or to assess a plan submitted by outside professionals.

Table 1: Water Damage – Cleanup and Mold Prevention

Guidelines for Response to Clean Water Damage within 24 – 48 Hours to Prevent Mold Growth*	
Water-Damaged Material†	**Actions**
Books and papers	* For non-valuable items, discard books and papers. * Photocopy valuable/important items, discard originals. * Freeze (in frost-free freezer or meat locker) or freeze-dry.
Carpet and backing – dry within 24 – 48 hours§	* Remove water with water extraction vacuum. * Reduce ambient humidity levels with dehumidifier. * Accelerate drying process with fans.
Ceiling tiles	* Discard and replace.
Cellulose insulation	* Discard and replace.
Concrete or cinder block surfaces	* Remove water with water extraction vacuum. * Accelerate drying process with dehumidifiers, fans, and/or heaters.
Fiberglass insulation	* Discard and replace.
Hard surface, porous flooring§ (Linoleum, ceramic tile, vinyl)	* Vacuum or damp wipe with water and mild detergent and allow to dry; scrub if necessary. * Check to make sure underflooring is dry; dry underflooring if necessary.
Non-porous, hard surfaces (Plastics, metals)	* Vacuum or damp wipe with water and mild detergent and allow to dry; scrub if necessary.
Upholstered furniture	* Remove water with water extraction vacuum. * Accelerate drying process with dehumidifiers, fans, and/or heaters. * May be difficult to completely dry within 48 hours. If the piece is valuable, you may wish to consult a restoration/water damage professional who specializes in furniture.
Wallboard (Drywall and gypsum board)	* May be dried in place if there is no obvious swelling and the seams are intact. If not, remove, discard, and replace. * Ventilate the wall cavity, if possible.
Window drapes	* Follow laundering or cleaning instructions recommended by the manufacturer.
Wood surfaces	* Remove moisture immediately and use dehumidifiers, gentle heat, and fans for drying. (Use caution when applying heat to hardwood floors.) * Treated or finished wood surfaces may be cleaned with mild detergent and clean water and allowed to dry. * Wet paneling should be pried away from wall for drying.

*If mold growth has occurred or materials have been wet for more than 48 hours, consult Table 2 guidelines. Even if materials are dried within 48 hours, mold growth may have occurred. Items may be tested by professionals if there is doubt. Note that mold growth will not always occur after 48 hours; this is only a guideline.

These guidelines are for damage caused by clean water. If you know or suspect that the water source is contaminated with sewage, or chemical or biological pollutants, then Personal Protective Equipment and containment are required by the Occupational Safety and Health Administration (OSHA). An experienced professional should be consulted if you and/or your remediators do not have expertise remediating in contaminated water situations. Do not use fans before determining that the water is clean or sanitary.

† If a particular item(s) has high monetary or sentimental value, you may wish to consult a restoration/water damage specialist.

§ The subfloor under the carpet or other flooring material must also be cleaned and dried. See the appropriate section of this table for recommended actions depending on the composition of the subfloor.

Table 2: Mold Remediation Guidelines[7]

Table 2 presents remediation guidelines for building materials that have or are likely to have mold growth. The guidelines in Table 2 are designed to protect the health of occupants and cleanup personnel during remediation. These guidelines are based on the area and type of material affected by water damage and/or mold growth. Please note that these are guidelines; some professionals may prefer other cleaning methods. If you are considering cleaning your ducts as part of your remediation plan, you should consult EPA's publication entitled, *Should You Have the Air Ducts In Your Home Cleaned?*[8] (see Resources List). If possible, remediation activities should be scheduled for off-hours when building occupants are less likely to be affected.

Mold and Indoor Air Regulations and Standards

Standards or Threshold Limit Values (TLVs) for airborne concentrations of mold, or mold spores, have not been set. As of December 2000, there are no EPA regulations or standards for airborne mold contaminants.

Although the level of personal protection suggested in these guidelines is based on the total surface area contaminated and the potential for remediator and/or occupant exposure, professional judgment should always play a part in remediation decisions. These remediation guidelines are based on the size of the affected area to make it easier for remediators to select appropriate techniques, not on the basis of health effects or research showing there is a specific method appropriate at a certain number of square feet. The guidelines have been designed to help construct a remediation plan. The remediation manager will then use professional judgment and experience to adapt the guidelines to particular situations. When in doubt, caution is advised. Consult an experienced mold remediator for more information.

[7] Please note that Tables 1 and 2 contain general guidelines. Their purpose is to provide basic information for remediation managers to first assess the extent of the damage and then to determine whether the remediation should be managed by in-house personnel or outside professionals. The remediation manager can then use the guidelines to help design a remediation plan or to assess a plan submitted by outside professionals.

[8] Although this document has a residential focus, it is applicable to other building types.

In cases in which a particularly toxic mold species has been identified or is suspected, when extensive hidden mold is expected (such as behind vinyl wallpaper or in the HVAC system), when the chances of the mold becoming airborne are estimated to be high, or sensitive individuals (e.g., those with severe allergies or asthma) are present, a more cautious or conservative approach to remediation is indicated. Always make sure to protect remediators and building occupants from exposure to mold.

Health Concerns

If building occupants are reporting serious health concerns, you should consult a health professional.

Table 2: Guidelines for Remediating Building Materials with Mold Growth Caused by Clean Water*

Material or Furnishing Affected	Cleanup Methods†	Personal Protective Equipment	Containment
SMALL – Total Surface Area Affected Less Than 10 square feet (ft²)			
Books and papers	3	Minimum N-95 respirator, gloves, and goggles	None required
Carpet and backing	1, 3		
Concrete or cinder block	1, 3		
Hard surface, porous flooring (Linoleum, ceramic tile, vinyl)	1, 2, 3		
Non-porous, hard surfaces (Plastics, metals)	1, 2, 3		
Upholstered furniture & drapes	1, 3		
Wallboard (Drywall and gypsum board)	3		
Wood surfaces	1, 2, 3		
MEDIUM – Total Surface Area Affected Between 10 and 100 (ft²)			
Books and papers	3	Limited or Full Use professional judgment, consider potential for remediator exposure and size of contaminated area	Limited Use professional judgment, consider potential for remediator/occupant exposure and size of contaminated area
Carpet and backing	1, 3, 4		
Concrete or cinder block	1, 3		
Hard surface, porous flooring (Linoleum, ceramic tile, vinyl)	1, 2, 3		
Non-porous, hard surfaces (Plastics, metals)	1, 2, 3		
Upholstered furniture & drapes	1, 3, 4		
Wallboard (Drywall and gypsum board)	3, 4		
Wood surfaces	1, 2, 3		
LARGE – Total Surface Area Affected Greater Than 100 (ft²) or Potential for Increased Occupant or Remediator Exposure During Remediation Estimated to be Significant			
Books and papers	3	Full Use professional judgment, consider potential for remediator exposure and size of contaminated area	Full Use professional judgment, consider potential for remediator/occupant exposure and size of contaminated area
Carpet and backing	1, 3, 4		
Concrete or cinder block	1, 3		
Hard surface, porous flooring (Linoleum, ceramic tile, vinyl)	1, 2, 3, 4		
Non-porous, hard surfaces (Plastics, metals)	1, 2, 3		
Upholstered furniture & drapes	1, 3, 4		
Wallboard (Drywall and gypsum board)	3, 4		
Wood surfaces	1, 2, 3, 4		

Table 2 continued

*Use professional judgment to determine prudent levels of Personal Protective Equipment and containment for each situation, particularly as the remediation site size increases and the potential for exposure and health effects rises. Assess the need for increased Personal Protective Equipment, if, during the remediation, more extensive contamination is encountered than was expected. Consult Table 1 if materials have been wet for less than 48 hours, and mold growth is not apparent.

These guidelines are for damage caused by clean water. If you know or suspect that the water source is contaminated with sewage, or chemical or biological pollutants, then the Occupational Safety and Health Administration (OSHA) requires PPE and containment. An experienced professional should be consulted if you and/or your remediators do not have expertise in remediating contaminated water situations.

†Select method most appropriate to situation. Since molds gradually destroy the things they grow on, if mold growth is not addressed promptly, some items may be damaged such that cleaning will not restore their original appearance. If mold growth is heavy and items are valuable or important, you may wish to consult a restoration/water damage/remediation expert. Please note that these are guidelines; other cleaning methods may be preferred by some professionals.

CLEANUP METHODS

Method 1: Wet vacuum (in the case of porous materials, some mold spores/fragments will remain in the material but will not grow if the material is completely dried). Steam cleaning may be an alternative for carpets and some upholstered furniture.

Method 2: Damp-wipe surfaces with plain water or with water and detergent solution (except wood—use wood floor cleaner); scrub as needed.

Method 3: High-efficiency particulate air (HEPA) vacuum after the material has been thoroughly dried. Dispose of the contents of the HEPA vacuum in well-sealed plastic bags.

Method 4: Discard – remove water-damaged materials and seal in plastic bags while inside of containment, if present. Dispose of as normal waste. HEPA vacuum area after it is dried.

PERSONAL PROTECTIVE EQUIPMENT (PPE)

Minimum: Gloves, N-95 respirator, goggles/eye protection
Limited: Gloves, N-95 respirator or half-face respirator with HEPA filter, disposable overalls, goggles/eye protection
Full: Gloves, disposable full body clothing, head gear, foot coverings, full-face respirator with HEPA filter

CONTAINMENT

Limited: Use polyethylene sheeting ceiling to floor around affected area with a slit entry and covering flap; maintain area under negative pressure with HEPA-filtered fan unit. Block supply and return air vents within containment area.

Full: Use two layers of fire-retardant polyethylene sheeting with one airlock chamber. Maintain area under negative pressure with HEPA-filtered fan exhausted outside of building. Block supply and return air vents within containment area.

Table developed from literature and remediation documents including *Bioaerosols: Assessment and Control* (American Conference of Governmental Industrial Hygienists, 1999) and *IICRC S500, Standard and Reference Guide for Professional Water Damage Restoration* (Institute of Inspection, Cleaning and Restoration, 1999); see Resources List for more information.

Cleanup Methods

A variety of mold cleanup methods are available for remediating damage to building materials and furnishings caused by moisture control problems and mold growth. The specific method or group of methods used will depend on the type of material affected, as presented in Table 2. Please note that professional remediators may use some methods not covered in these guidelines; absence of a method in the guidelines does not necessarily mean that it is not useful.[9]

Method 1: Wet Vacuum

Wet vacuums are vacuum cleaners designed to collect water. They can be used to remove water from floors, carpets, and hard surfaces where water has accumulated. They should not be used to vacuum porous materials,

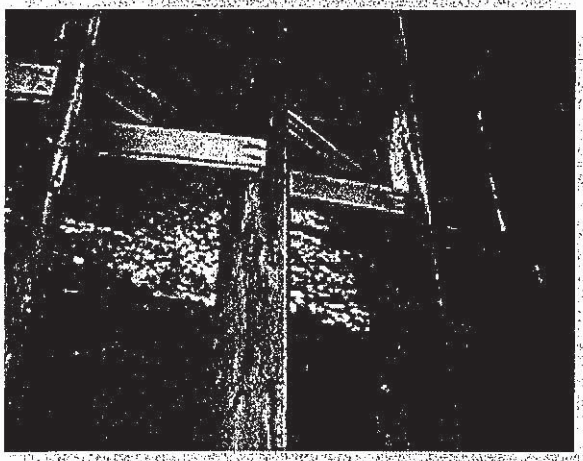


Photo 6: Heavy mold growth on underside of spruce floorboards

Molds Can Damage Building Materials and Furnishings

Mold growth can eventually cause structural damage to a school or large building, if a mold/moisture problem remains unaddressed for a long time. In the case of a long-term roof leak, for example, molds can weaken floors and walls as the molds feed on wet wood. If you suspect that mold has damaged building integrity, you should consult a structural engineer or other professional with expertise in this area.

[9] If you are unsure what to do, or if the item is expensive or of sentimental value, you may wish to consult a specialist. Specialists in furniture repair/restoration, painting, art restoration and conservation, carpet and rug cleaning, water damage, and fire/water restoration are commonly listed in phone books. Be sure to ask for and check references; look for affiliation with professional organizations. See Resources List.

such as gypsum board. They should be used only when materials are still wet—wet vacuums may spread spores if sufficient liquid is not present. The tanks, hoses, and attachments of these vacuums should be thoroughly cleaned and dried after use since mold and mold spores may stick to the surfaces.

Method 2: Damp Wipe

Whether dead or alive, mold is allergenic, and some molds may be toxic. Mold can generally be removed from non-porous (hard) surfaces by wiping or scrubbing with water, or water and detergent. It is important to dry these surfaces quickly and thoroughly to discourage further mold growth. Instructions for cleaning surfaces, as listed on product labels, should always be read and followed. Porous materials that are wet and have mold growing on them may have to be discarded. Since molds will infiltrate porous substances and grow on or fill in empty spaces or crevices, the mold can be difficult or impossible to remove completely.

Mold and Paint

Don't paint or caulk moldy surfaces; clean and dry surfaces before painting. Paint applied over moldy surfaces is likely to peel.

Method 3: HEPA Vacuum

HEPA (High-Efficiency Particulate Air) vacuums are recommended for final cleanup of remediation areas after materials have been thoroughly dried and contaminated materials removed. HEPA vacuums are also recommended for cleanup of dust that may have settled on surfaces outside the remediation area. Care must be taken to ensure that the filter is properly seated in the vacuum so that all the air must pass through the filter. When changing the vacuum filter, remediators should wear PPE to prevent exposure to the mold that has been captured. The filter and contents of the HEPA vacuum must be disposed of in well-sealed plastic bags.

Mold Remediation/Cleanup and Biocides

The purpose of mold remediation is to remove the mold to prevent human exposure and damage to building materials and furnishings. It is necessary to clean up mold contamination, not just to kill the mold. Dead mold is still allergenic, and some dead molds are potentially toxic. The use of a biocide, such as chlorine bleach, is not recommended as a routine practice during mold remediation, although there may be instances where professional judgment may indicate its use (for example, when immune-compromised individuals are present). In most cases, it is not possible or desirable to sterilize an area; a background level of mold spores will remain in the air (roughly equivalent to or lower than the level in outside air). These spores will not grow if the moisture problem in the building has been resolved.

If you choose to use disinfectants or biocides, always ventilate the area. Outdoor air may need to be brought in with fans. When using fans, take care not to distribute mold spores throughout an unaffected area. Biocides are toxic to humans, as well as to mold. You should also use appropriate PPE and read and follow label precautions. Never mix chlorine bleach solution with cleaning solutions or detergents that contain ammonia; toxic fumes could be produced.

Some biocides are considered pesticides, and some States require that only registered pesticide applicators apply these products in schools. Make sure anyone applying a biocide is properly licensed, if necessary. Fungicides are commonly applied to outdoor plants, soil, and grains as a dust or spray—examples include hexachlorobenzene, organomercurials, pentachlorophenol, phthalimides, and dithiocarbamates. Do not use fungicides developed for use outdoors for mold remediation or for any other indoor situation.

Method 4: Discard – Remove Damaged Materials and Seal in Plastic Bags

Building materials and furnishings that are contaminated with mold growth and are not salvageable should be double-bagged using 6-mil polyethylene sheeting. These materials can then usually be discarded as ordinary construction waste. It is important to package mold-contaminated materials in sealed bags before removal from the containment area to minimize the dispersion of mold spores throughout the building. Large items that have heavy mold growth

should be covered with polyethylene sheeting and sealed with duct tape before they are removed from the containment area.

Personal Protective Equipment (PPE)

If the remediation job disturbs mold and mold spores become airborne, then the risk of respiratory exposure goes up. Actions that are likely to stir up mold include: breakup of moldy porous materials such as wallboard; invasive procedures used to examine or remediate mold growth in a wall cavity; actively stripping or peeling wallpaper to remove it; and using fans to dry items.

Always use gloves and eye protection when cleaning up mold!

The primary function of Personal Protective Equipment (PPE) is to avoid inhaling mold and mold spores and to avoid mold contact with the skin or eyes. The following sections discuss the different types of PPE that can be used during remediation activities. Please note that all individuals using certain PPE equipment, such as half-face or full-face respirators, must be trained, must have medical clearance, and must be fit-tested by a trained professional. In addition, the use of respirators must follow a complete respiratory protection program as specified by the Occupational Safety and Health Administration (OSHA) (see Resources List for more information).

Skin and Eye Protection

Gloves are required to protect the skin from contact with mold allergens (and in some cases mold toxins) and from potentially irritating cleaning solutions. Long gloves that extend to the middle of the forearm are recommended. The glove material should

Personal Protective Equipment

Photo 7: Remediation worker with limited PPE

be selected based on the type of materials being handled. If you are using a biocide (such as chlorine bleach) or a strong cleaning solution, you should select gloves made from natural rubber, neoprene, nitrile, polyurethane, or PVC. If you are using a mild detergent or plain water, ordinary household rubber gloves may be used.

To protect your eyes, use properly fitted goggles or a full-face respirator with HEPA filter. Goggles must be designed to prevent the entry of dust and small particles. Safety glasses or goggles with open vent holes are not acceptable.

Respiratory Protection

Respirators protect cleanup workers from inhaling airborne mold, mold spores, and dust.

Minimum: When cleaning up a small area affected by mold, you should use an N-95 respirator. This device covers the nose and mouth, will filter out 95% of the particulates in the air, and is available in most hardware stores.

Limited: Limited PPE includes use of a half-face or full-face air purifying respirator (APR) equipped with a HEPA filter cartridge. These respirators contain both inhalation and exhalation valves that filter the air and ensure that it is free of mold particles. Note that half-face APRs do not provide eye protection. In addition, the HEPA filters do not remove vapors or gases. You should always use respirators approved by the National Institute for Occupational Safety and Health (see Resources List).

Full: In situations in which high levels of airborne dust or mold spores are likely or when intense or long-term exposures are expected (e.g., the cleanup of large areas of contamination), a full-face, powered air purifying respirator (PAPR) is recommended. Full-face PAPRs use a blower to force air through a HEPA filter. The HEPA-filtered air is supplied to a mask that covers the entire face or a hood that covers the entire head. The positive pressure within the hood prevents unfiltered air from entering through penetrations or gaps. Individuals must be trained to use their respirators before they begin remediation. The use of these respirators must be in compliance with OSHA regulations (see Resources List).

Disposable Protective Clothing

Disposable clothing is recommended during a medium or large remediation project to prevent the transfer and spread of mold to clothing and to eliminate skin contact with mold.

Limited: Disposable paper overalls can be used.

Full: Mold-impervious disposable head and foot coverings, and a body suit made of a breathable material, such as TYVEK®, should be used. All gaps, such as those around ankles and wrists, should be sealed (many remediators use duct tape to seal clothing).

Containment

The purpose of containment during remediation activities is to limit release of mold into the air and surroundings, in order to minimize the exposure of remediators and building occupants to mold. Mold and moldy debris should not be allowed to spread to areas in the building beyond the contaminated site.

Containment Tips

- Always maintain the containment area under negative pressure.
- Exhaust fans to outdoors and ensure that adequate makeup air is provided.
- If the containment is working, the polyethylene sheeting should billow inwards on all surfaces. If it flutters or billows outward, containment has been lost, and you should find and correct the problem before continuing your remediation activities.

The two types of containment recommended in Table 2 are limited and full. The larger the area of moldy material, the greater the possibility of human exposure and the greater the need for containment. In general, the size of the area helps determine the level of containment. However, a heavy growth of mold in a relatively small area could release more spores than a lighter growth of mold in a relatively large area. Choice of containment should be based on professional judgment.[10] The primary object of containment should be to prevent occupant and remediator exposure to mold.

[10] For example, a remediator may decide that a small area that is extensively contaminated and has the potential to distribute mold to occupied areas during cleanup should have full containment, whereas a large wall surface that is lightly contaminated and easily cleaned would require only limited containment.

Limited Containment

Limited containment is generally recommended for areas involving between 10 and 100 square feet (ft^2) of mold contamination. The enclosure around the moldy area should consist of a single layer of 6-mil, fire-retardant polyethylene sheeting. The containment should have a slit entry and covering flap on the outside of the containment area. For small areas, the polyethylene sheeting can be affixed to floors and ceilings with duct tape. For larger areas, a steel or wooden stud frame can be erected and polyethylene sheeting attached to it. All supply and air vents, doors, chases, and risers within the containment area must be sealed with polyethylene sheeting to minimize the migration of contaminants to other parts of the building. Heavy mold growth on ceiling tiles may impact HVAC systems if the space above the ceiling is used as a return air plenum. In this case, containment should be installed from the floor to the ceiling deck, and the filters in the air handling units serving the affected area may have to be replaced once remediation is finished.

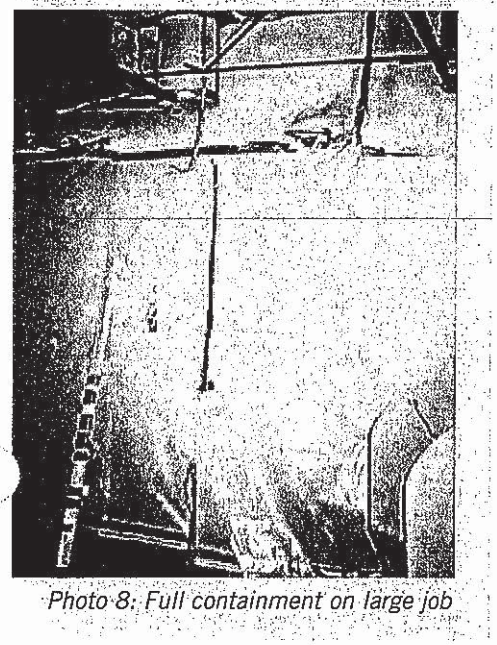


Photo 8: Full containment on large job

The containment area must be maintained under negative pressure relative to surrounding areas. This will ensure that contaminated air does not flow into adjacent areas. This can be done with a HEPA-filtered fan unit exhausted outside of the building. For small, easily contained areas, an exhaust fan ducted to the outdoors can also be used. The surfaces of all objects removed from the containment area should be remediated/cleaned prior to removal. The remediation guidelines outlined in Table 2 can be implemented when the containment is completely sealed and is under negative pressure relative to the surrounding area.

Full Containment

Full containment is recommended for the cleanup of mold-contaminated surface areas greater than 100 ft^2 or in any situation in which it appears likely that the occupant space would be further contaminated without full containment. Double layers of polyethylene should be used to create a barrier between the moldy area and other parts of the building. A decontamination chamber or airlock should be constructed for entry into and exit from the remediation area. The entryways to the airlock from the outside and from the airlock to the main containment area should consist of a slit entry with covering flaps on the outside surface of each slit entry. The chamber should be large enough to hold a waste container and allow a person to put on and remove PPE. All contaminated PPE, except respirators, should be placed in a sealed bag while in this chamber. Respirators should be worn until remediators are outside the decontamination chamber. PPE must be worn throughout the final stages of HEPA vacuuming and damp-wiping of the contained area. PPE must also be worn during HEPA vacuum filter changes or cleanup of the HEPA vacuum.

Equipment

Moisture Meters: Measure/Monitor Moisture Levels in Building Materials

Moisture meters may be helpful for measuring the moisture content in a variety of building materials following water damage. They can also be used to monitor the process of drying damaged materials. These direct reading devices have a thin probe which can be inserted into the material to be tested or can be pressed directly against the surface of the material. Moisture meters can be used on materials such as carpet, wallboard, wood, brick, and concrete.

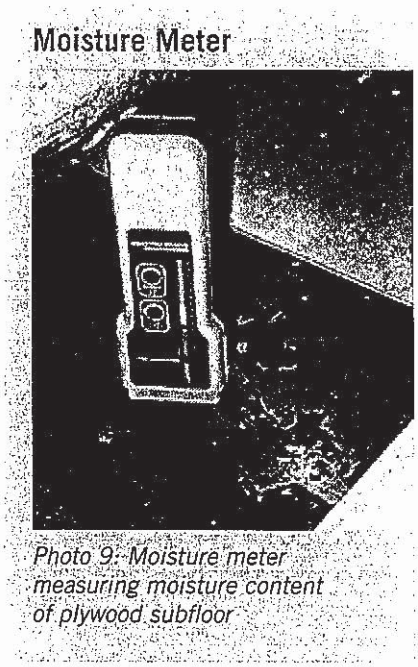


Photo 9: Moisture meter measuring moisture content of plywood subfloor

Humidity Gauges or Meters: Monitor Moisture Levels in the Air

Humidity meters can be used to monitor humidity indoors. Inexpensive (<$50) models are available that monitor both temperature and humidity.

Humidistat: Turns on HVAC System at Specific Relative Humidity (RH)

A humidistat is a control device that can be connected to the HVAC system and adjusted so that, if the humidity level rises above a set point, the HVAC system will automatically come on.

HVAC System Filter: Filters Outdoor Air

Use high-quality filters in your HVAC system during remediation. Consult an engineer for the appropriate efficiency for your specific HVAC system and consider upgrading your filters if appropriate. Conventional HVAC filters are typically not effective in filtering particles the size of mold spores. Consider upgrading to a filter with a minimum efficiency of 50 to 60% or a rating of MERV 8, as determined by Test Standard 52.2 of the American Society of Heating, Refrigerating, and Air Conditioning Engineers. Remember to change filters regularly and change them following any remediation activities.

Sampling

Is sampling for mold needed? In most cases, if visible mold growth is present, sampling is unnecessary. In specific instances, such as cases where litigation is involved, the source(s) of the mold contamination is unclear, or health concerns are a problem, you may consider sampling as part of your site evaluation. Surface sampling may also be useful in order to determine if an area has been adequately cleaned or remediated. Sampling should be done only after developing a sampling plan that includes a confirmable theory regarding suspected mold sources and routes of exposure. Figure out what you think is happening and how to prove or disprove it before you sample!

If you do not have extensive experience and/or are in doubt about sampling, consult an experienced professional. This individual can help you decide if sampling for mold is useful and/or needed, and will be able to carry out any necessary sampling. It is important to remember that the results of sampling may have limited use or application. Sampling may help locate the source of mold contamination, identify some of the mold species present, and differentiate between mold and soot or dirt. Pre- and post-remediation sampling may also be useful in determining whether remediation efforts have been effective. After remediation, the types and concentrations of mold in indoor air samples should be similar to what is found in the local outdoor air. Since no EPA or other Federal threshold limits have been set for mold or mold spores, sampling cannot be used to check a building's compliance with Federal mold standards.

Sampling for mold should be conducted by professionals with specific experience in designing mold sampling protocols, sampling methods, and interpretation of results. Sample analysis should follow analytical methods recommended by the American Industrial Hygiene Association (AIHA), the American Conference of Governmental Industrial Hygienists (ACGIH), or other professional guidelines (see Resources List). Types of samples include air samples, surface samples, bulk samples (chunks of carpet, insulation, wallboard, etc.), and water samples from condensate drain pans or cooling towers.

A number of pitfalls may be encountered when inexperienced personnel conduct sampling. They may take an inadequate number of samples, there may be inconsistency in sampling protocols, the samples may become contaminated, outdoor control samples may be omitted, and you may incur costs for unneeded or inappropriate samples. Budget constraints will often be a consideration when sampling; professional advice may be necessary to determine if it is possible to take sufficient samples to characterize a problem on a given budget. If it is not possible to sample properly, with a sufficient number of samples to answer the question(s) posed, it would be preferable not to sample. Inadequate sample plans may generate misleading, confusing, and useless results.

Keep in mind that air sampling for mold provides information only for the moment in time in which the sampling occurred, much like a snapshot. Air sampling will reveal, when properly done, what was in the air at the moment when the sample was taken. For someone without experience, sampling results will be difficult to interpret. Experience in interpretation of results is essential.

How Do You Know When You Have Finished Remediation/Cleanup?

1. You must have completely fixed the water or moisture problem.
2. You should complete mold removal. Use professional judgment to determine if the cleanup is sufficient. Visible mold, mold-damaged materials, and moldy odors should not be present.
3. If you have sampled, the kinds and concentrations of mold and mold spores in the building should be similar to those found outside, once cleanup activities have been completed.
4. You should revisit the site(s) shortly after remediation, and it should show no signs of water damage or mold growth.
5. People should be able to occupy or re-occupy the space without health complaints or physical symptoms.
6. Ultimately, this is a judgment call; there is no easy answer.

Checklist for Mold Remediation*

Investigate and evaluate moisture and mold problems

- ☐ Assess size of moldy area (square feet)
- ☐ Consider the possibility of hidden mold
- ☐ Clean up small mold problems and fix moisture problems before they become large problems
- ☐ Select remediation manager for medium or large size mold problem
- ☐ Investigate areas associated with occupant complaints
- ☐ Identify source(s) or cause of water or moisture problem(s)
- ☐ Note type of water-damaged materials (wallboard, carpet, etc.)
- ☐ Check inside air ducts and air handling unit
- ☐ Throughout process, consult qualified professional if necessary or desired

Communicate with building occupants at all stages of process, as appropriate

- ☐ Designate contact person for questions and comments about medium or large scale remediation as needed

Plan remediation

- ☐ Adapt or modify remediation guidelines to fit your situation; use professional judgment
- ☐ Plan to dry wet, non-moldy materials within 48 hours to prevent mold growth (see Table 1 and text)
- ☐ Select cleanup methods for moldy items (see Table 2 and text)
- ☐ Select Personal Protection Equipment – protect remediators (see Table 2 and text)
- ☐ Select containment equipment – protect building occupants (see Table 2 and text)
- ☐ Select remediation personnel who have the experience and training needed to implement the remediation plan and use Personal Protection Equipment and containment as appropriate

Remediate moisture and mold problems

- ☐ Fix moisture problem, implement repair plan and/or maintenance plan
- ☐ Dry wet, non-moldy materials within 48 hours to prevent mold growth
- ☐ Clean and dry moldy materials (see Table 2 and text)
- ☐ Discard moldy porous items that can't be cleaned (see Table 2 and text)

*For details, see main text of this publication. Please note that this checklist was designed to highlight key parts of a school or commercial building remediation and does not list all potential steps or problems.

Resources List – EPA

U.S. Environmental Protection Agency (EPA), Indoor Environments Division (IED)

An Office Building Occupant's Guide to IAQ
www.epa.gov/iaq/pubs/occupgd.html

Biological Contaminants
www.epa.gov/iaq/biologic.html

Building Air Quality Action Plan (for Commercial Buildings)
www.epa.gov/iaq/largebldgs/pdf_files/baqactionplan.pdf

Floods / Flooding
www.epa.gov/iaq/flood

Indoor Air Quality (IAQ) Home Page
www.epa.gov/iaq/index.html

IAQ in Large Buildings / Commercial Buildings
www.epa.gov/iaq/largebldgs

IAQ in Schools
www.epa.gov/iaq/schools

Mold Remediation in Schools and Commercial Buildings
www.epa.gov/mold/mold_remediation.html

Mold Resources
www.epa.gov/mold/moldresources.html

Resources List – OTHER

The following list of resources includes information created and maintained by other public and private organizations. The U.S. EPA does not control or guarantee the accuracy, relevance, timeliness, or completeness of this outside information. Further, the inclusion of such resources is not intended to endorse any views expressed or products or services offered by the author of the reference or the organization operating the service on which the reference is maintained.

American College of Occupational and Environmental Medicine (ACOEM)
(847) 818-1800 www.acoem.org/
Referrals to physicians who have experience with environmental exposures

American Conference of Governmental Industrial Hygienists, Inc. (ACGIH)
(513) 742-2020 www.acgih.org
Occupational and environmental health and safety information

American Industrial Hygiene Association (AIHA)
(703) 849-8888 www.aiha.org
Information on industrial hygiene and indoor air quality issues including mold hazards and legal issues

American Society of Heating, Refrigerating, and Air-Conditioning Engineers, Inc. (ASHRAE)
(800) 527-4723 www.ashrae.org
Information on engineering issues and indoor air quality

Association of Occupational and Environmental Clinics (AOEC)
(888) 347-AOEC (2632) www.aoec.org
Referrals to clinics with physicians who have experience with environmental exposures, including exposures to mold; maintains a database of occupational and environmental cases

Asthma and Allergic Diseases:

American Academy of Allergy, Asthma & Immunology (AAAAI)
(414) 272-6071 www.aaaai.org
Physician referral directory, information on allergies and asthma

Asthma and Allergy Foundation of America (AAFA)
(800) 7-ASTHMA (800-727-8462) www.aafa.org
Information on allergies and asthma

American Lung Association (ALA)
(800) LUNGUSA (800-586-4872) www.lungusa.org
Information on allergies and asthma

Asthma and Allergy Network/Mothers of Asthmatics, Inc. (AAN-MA)
(800) 878-4403 or (703) 641-9595 www.aanma.org
Information on allergies and asthma

National Institute of Allergy and Infectious Diseases (NIAID)
(301) 496-5717 www.niaid.nih.gov/
Information on allergies and asthma

National Jewish Medical and Research Center
(800) 222-LUNG (800-222-5864) www.nationaljewish.org/
Information on allergies and asthma

Canada Mortgage and Housing Corporation (CMHC)
(613) 748-2000 [International] www.cmhc-schl.gc.ca/
Several documents on mold-related topics available

Carpet and Rug Institute (CRI)
(706) 278-3176 www.carpet-rug.org/
Carpet maintenance, restoration guidelines for water-damaged carpet, other carpet-related issues

Centers for Disease Control and Prevention (CDC)
(800) CDC-INFO (232-4636) www.cdc.gov
Information on health-related topics including asthma, molds in the environment, and occupational health

CDC's National Center for Environmental Health (NCEH)
(800) CDC-INFO (232-4636) www.cdc.gov/mold/stachy.htm
Questions and answers on *Stachybotrys chartarum* and other molds

Energy and Environmental Building Association
(952) 881-1098 www.eeba.org
Information on energy-efficient and environmentally responsible buildings, humidity/ moisture control/vapor barriers

Floods/ Flooding:

Federal Emergency Management Agency (FEMA)
(800) 621-FEMA (3362) www.fema.gov/hazard/flood/index.shtm
Publications on floods, flood proofing, etc.

University of Minnesota, Department of Environmental Health & Safety
(612) 626-6002 www.dehs.umn.edu/
Managing water infiltration into buildings

University of Wisconsin-Extension, The Disaster Handbook
(608) 262-3980 www.uwex.edu/ces/news/handbook.html
Information on floods and other natural disasters

Health Canada, Health Protection Branch, Laboratory Centre for Disease Control, Office of Biosafety
(613) 957-1779 www.phac-aspc.gc.ca/msds-ftss
Material Safety Data Sheets with health and safety information on infectious microorganisms, including *Aspergillus* and other molds and airborne biologicals

Indoor Environmental Remediation Board (IERB)
(916) 736-1100 www.ierb.org
Information on best practices in building remediation

Institute of Inspection, Cleaning and Restoration Certification (IICRC)
(360) 693-5675 www.iicrc.org
Information on and standards for the inspection, cleaning, and restoration industry

International Society of Cleaning Technicians (ISCT)
(800) WHY-ISCT (800-949-4728)
Information on cleaning such as stain removal guide for carpets

ISSA—The Worldwide Cleaning Industry Association
(800) 225-4772 www.issa.com
Education and training on cleaning and maintenance

National Air Duct Cleaners Association (NADCA)
(202) 737-2926 www.nadca.com
Duct cleaning information

National Association of the Remodeling Industry (NARI)
(847) 298-9200 www.nari.org
Consumer information on remodeling, including help finding a professional remodeling contractor

National Institute of Building Sciences (NIBS)
(202) 289-7800 http://nibs.org
Information on building regulations, science, and technology

National Institute for Occupational Safety and Health (NIOSH)
(800) CDC-INFO (232-4636) www.cdc.gov/niosh
Health and safety information with a workplace orientation

National Pesticide Information Center (NPIC)
(800) 858-7378 http://npic.orst.edu/
Regulatory information, safety information, and product information on antimicrobials

New York City Department of Health and Mental Hygiene
www.nyc.gov/html/doh/html/epi/moldrpt1.shtml
"Guidelines on Assessment and Remediation of Fungi in Indoor Environments"

Occupational Safety & Health Administration (OSHA)
(800) 321-OSHA (800-321-6742) www.osha.gov
Information on worker safety, includes topics such as respirator use and safety in the workplace

Restoration Industry Association
(800) 272-7012 www.ascr.org/
Disaster recovery, water and fire damage, emergency tips, referrals to professionals

Sheet Metal & Air Conditioning Contractors' National Association (SMACNA)
(703) 803-2980 www.smacna.org
Technical information on topics such as air conditioning and air ducts

Smithsonian Museum Conservation Institute
(301) 238-1240 www.si.edu/mci
Guidelines for caring for and preserving furniture and wooden objects, paper-based materials; preservation studies

University of Michigan Herbarium
(734) 615-6200 www.herbarium.lsa.umich.edu
Specimen-based information on fungi; information on fungal ecology

University of Tulsa Indoor Air Program
(918) 631-5246 www.utulsa.edu/iaqprogram
Courses, classes, and continuing education on indoor air quality

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American Industrial Hygiene Association. *Field Guide for the Determination of Biological Contaminants in Environmental Samples*. Dillon, H. K., Heinsohn, P. A., and Miller, J. D., editors. Fairfax, VA. 1996.

American Society of Heating, Refrigerating, and Air Conditioning Engineers. *Method of Testing General Ventilation Air-Cleaning Devices for Removal Efficiency by Particle Size*. ASHRAE Standard 52.2. 2000.

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Occupational Safety & Health Administration. *Respiratory Protection Standard, 29 CFR 1910.134*. 63 FR 1152. January 8, 1998.

U.S. Environmental Protection Agency. *Should You Have the Air Ducts In Your Home Cleaned?* EPA-402-K-97-002. October 1997.

U.S. Environmental Protection Agency. *IAQ Tools for Schools*. EPA-402-K-95-001. May 1995.

Appendix A – Glossary

Allergen.....Substance (such as mold) that can cause an allergic reaction.

APR.....Air purifying respirator

Biocide.....Substance or chemical that kills organisms such as molds.

EPA.....Environmental Protection Agency

Fungi.....Fungi are neither animals nor plants and are classified in a kingdom of their own. Fungi include molds, yeasts, mushrooms, and puffballs. In this document, the terms fungi and mold are used interchangeably. Molds reproduce by making spores. Mold spores waft through the indoor and outdoor air continually. When mold spores land on a damp spot indoors, they may begin growing and digesting whateverthey are growing on. Molds can grow on virtually any organic substance, providing moisture and oxygen are present. It is estimated that more than 1.5 million species of fungi exist.

Fungicide.....Substance or chemical that kills fungi.

HEPA.....High-Efficiency Particulate Air

Hypersensitivity.....Great or excessive sensitivity

IAQ.....Indoor Air Quality

Mold.....Molds are a group of organisms that belong to the kingdom Fungi. In this document, the terms fungi and mold are used interchangeably. There are over 20,000 species of mold.

mVOC.....Microbial volatile organic compound, a chemical made by a mold which may have a moldy or musty odor.

OSHA.....Occupational Safety and Health Administration

PAPR.....Powered air purifying respirator

PPE.....Personal Protective Equipment

Remediate.....Fix

Sensitization.....Repeated or single exposure to an allergen that results in the exposed individual becoming hypersensitive to the allergen.

Spore.....Molds reproduce by means of spores. Spores are microscopic; they vary in shape and size (2 – 100 micrometers). Spores may travel in several ways—they may be passively moved (by a breeze or waterdrop), mechanically disturbed (by a person or animal passing by), or actively discharged by the mold (usually under moist conditions or high humidity).

Appendix B – Introduction to Molds

Molds in the Environment

Molds live in the soil, on plants, and on dead or decaying matter. Outdoors, molds play a key role in the breakdown of leaves, wood, and other plant debris. Molds belong to the kingdom Fungi, and unlike plants, they lack chlorophyll and must survive by digesting plant materials, using plant and other organic materials for food. Without molds, our environment would be overwhelmed with large amounts of dead plant matter.

Molds produce tiny spores to reproduce, just as some plants produce seeds. These mold spores can be found in both indoor and outdoor air, and settled on indoor and outdoor surfaces. When mold spores land on a damp spot, they may begin growing and digesting whatever they are growing on in order to survive. Since molds gradually destroy the things they grow on, you can prevent damage to building materials and furnishings and save money by eliminating mold growth.

Moisture control is the key to mold control. Molds need both food and water to survive; since molds can digest most things, water is the factor that limits mold growth. Molds will often grow in damp or wet areas indoors. Common sites for indoor mold growth include bathroom tile, basement walls, areas around windows where moisture condenses, and near leaky water fountains or sinks. Common sources or causes of water or moisture problems include roof leaks, deferred maintenance, condensation associated with high humidity or cold spots in the building, localized flooding due to plumbing failures or heavy rains, slow leaks in plumbing fixtures, and malfunction or poor design of humidification systems. Uncontrolled humidity can also be a source of moisture leading to mold growth, particularly in hot, humid climates.

Health Effects and Symptoms Associated with Mold Exposure

When moisture problems occur and mold growth results, building occupants may begin to report odors and a variety of health problems, such as headaches, breathing difficulties, skin irritation, allergic reactions, and aggravation of asthma symptoms; all of these symptoms could potentially be associated with mold exposure.

All molds have the potential to cause health effects. Molds produce allergens, irritants, and in some cases, toxins that may cause reactions in humans. The types and severity of symptoms depend, in part, on the types of mold present, the extent of an individual's exposure, the ages of the individuals, and their existing sensitivities or allergies. Specific reactions to mold growth can include the following:

Allergic Reactions: Inhaling or touching mold or mold spores may cause allergic reactions in sensitive individuals. Allergic reactions to mold are common—these reactions can be immediate or delayed. Allergic responses include hay fever-type symptoms, such as sneezing, runny nose, red eyes, and skin rash (dermatitis). Mold spores and fragments can produce allergic reactions in sensitive individuals regardless of whether the mold is dead or alive. Repeated or single exposure to mold or mold spores may cause previously non-sensitive individuals to become sensitive. Repeated exposure has the potential to increase sensitivity.

Potential Health Effects Associated with Inhalation Exposure to Molds and Mycotoxins

- Allergic Reactions (e.g., rhinitis and dermatitis or skin rash)
- Asthma
- Hypersensitivity Pneumonitis
- Other Immunologic Effects

Research on mold and health effects is ongoing. This list is not intended to be all-inclusive.

The health effects listed above are well documented in humans. Evidence for other health effects in humans is less substantial and is primarily based on case reports or occupational studies.

Asthma: Molds can trigger asthma attacks in persons who are allergic (sensitized) to molds. The irritants produced by molds may also worsen asthma in non-allergic (non-sensitized) people.

Hypersensitivity Pneumonitis: Hypersensitivity pneumonitis may develop following either short-term (acute) or long-term (chronic) exposure to molds. The disease resembles bacterial pneumonia and is uncommon.

Irritant Effects: Mold exposure can cause irritation of the eyes, skin, nose, throat, and lungs, and sometimes can create a burning sensation in these areas.

Opportunistic Infections: People with weakened immune systems (i.e., immune-compromised or immune-suppressed individuals) may be more vulnerable to infections by molds (as well as more vulnerable than healthy persons to mold toxins). *Aspergillus fumigatus*, for example, has been known to infect the lungs of immune-compromised individuals. These individuals inhale the mold spores which then start growing in their lungs. *Trichoderma* has also been known to infect immune-compromised children.

Healthy individuals are usually not vulnerable to opportunistic infections from airborne mold exposure. However, molds can cause common skin diseases, such as athlete's foot, as well as other infections such as yeast infections.

Mold Toxins (Mycotoxins)

Molds can produce toxic substances called mycotoxins. Some mycotoxins cling to the surface of mold spores; others may be found within spores. More than 200 mycotoxins have been identified from common molds, and many more remain to be identified. Some of the molds that are known to produce mycotoxins are commonly found in moisture-damaged buildings. Exposure pathways for mycotoxins can include inhalation, ingestion, or skin contact. Although some mycotoxins are well known to affect humans and have been shown to be responsible for human health effects, for many mycotoxins, little information is available.

Aflatoxin B_1 is perhaps the most well known and studied mycotoxin. It can be produced by the molds *Aspergillus flavus* and *Aspergillus parasiticus* and is one of the most potent carcinogens known. Ingestion of aflatoxin B_1 can cause liver cancer. There is also some evidence that inhalation of aflatoxin B_1 can cause lung cancer. Aflatoxin B_1 has been found on contaminated grains, peanuts, and other human and animal foodstuffs. However, *Aspergillus flavus* and *Aspergillus parasiticus* are *not* commonly found on building materials or in indoor environments.

Much of the information on the human health effects of inhalation exposure to mycotoxins comes from studies done in the workplace and some case studies or case reports.* Many symptoms and human health effects attributed to inhalation of mycotoxins have been reported including: mucous membrane irritation, skin rash, nausea, immune system suppression, acute or chronic liver damage, acute or chronic central nervous system damage, endocrine effects, and cancer. More studies are needed to get a clear picture of the health effects related to most mycotoxins. However, it is clearly prudent to avoid exposure to molds and mycotoxins.

Some molds can produce several toxins, and some molds produce mycotoxins only under certain environmental conditions. The presence of mold in a building does not necessarily mean that mycotoxins are present or that they are present in large quantities.

Toxic Molds

Some molds, such as *Aspergillus versicolor* and *Stachybotrys atra (chartarum)*, are known to produce potent toxins under certain circumstances. Although some mycotoxins are well known to affect humans and have been shown to be responsible for human health effects, for many mycotoxins, little information is available, and in some cases research is ongoing. For example, some strains of *Stachybotrys atra* can produce one or more potent toxins. In addition, preliminary reports from an investigation of an outbreak of pulomonary hemorrhage in infants suggested an association between pulmonary hemorrhage and exposure to *Stachybotrys chartarum*. Review of the evidence of this association at the Centers for Disease Control and Prevention (CDC) resulted in a published clarification stating that such an association was not established. Research on the possible causes of pulumonary hemorrhage in infants continues. Consult CDC for more information on pulmonary hemorrhage in infants (see Resources List, page 31, for CDC contact and other information).

* Information on ingestion exposure, for both humans and animals, is more abundant–a wide range of health effects has been reported following ingestion of moldy foods including liver damage, nervous system damage and immunological effects.

Microbial Volatile Organic Compounds (mVOCs)

Some compounds produced by molds are volatile and are released directly into the air. These are known as microbial volatile organic compounds (mVOCs). Because these compounds often have strong and/or unpleasant odors, they can be the source of odors associated with molds. Exposure to mVOCs from molds has been linked to symptoms such as headaches, nasal irritation, dizziness, fatigue, and nausea. Research on mVOCs is still in the early phase.

Glucans or Fungal Cell Wall Components (also known as ß-(1,3)-D-Glucans)

Glucans are small pieces of the cell walls of molds which may cause inflammatory lung and airway reactions. These glucans can affect the immune system when inhaled. Exposure to very high levels of glucans or dust mixtures including glucans may cause a flu-like illness known as Organic Dust Toxic Syndrome (ODTS). This illness has been primarily noted in agricultural and manufacturing settings.

Spores

Mold spores are microscopic (2 – 10 μm) and are naturally present in both indoor and outdoor air. Molds reproduce by means of spores. Some molds have spores that are easily disturbed and waft into the air and settle repeatedly with each disturbance. Other molds have sticky spores that will cling to surfaces and are dislodged by brushing against them or by other direct contact. Spores may remain able to grow for years after they are produced. In addition, whether or not the spores are alive, the allergens in and on them may remain allergenic for years.

Appendix C – Communication With Building Occupants

Communication with building occupants is essential for successful mold remediation. Some occupants will naturally be concerned about mold growth in their building and the potential health impacts. Occupants' perceptions of the health risk may rise if they perceive that information is being withheld from them. The status of the building investigation and remediation should be openly communicated including information on any known or suspected health risks.

Mold in Schools

Special communication strategies may be desirable if you are treating a mold problem in a school. Teachers, parents, and other locally affected groups should be notified of significant issues as soon as they are identified. Consider holding a special meeting to provide parents with an opportunity to learn about the problem and ask questions of school authorities, particularly if it is necessary/advisable to ensure that the school is vacated during remediation. For more information on investigating and remediating molds in schools, refer to the U.S. EPA's *IAQ Tools for Schools* kit and the asthma companion piece for the *IAQ Tools for Schools* kit, entitled *Managing Asthma in the School Environment.*

Small remediation efforts will usually not require a formal communication process, but do be sure to take individual concerns seriously and use common sense when deciding whether formal communications are required. Individuals managing medium or large remediation efforts should make sure they understand and address the concerns of building occupants and communicate clearly what has to be done as well as possible health concerns.

Communication approaches include regular memos and/or meetings with occupants (with time allotted for questions and answers), depending on the scope of the remediation and the level of occupant interest. Tell the occupants about the size of the project, planned activities, and remediation timetable. Send or post regular updates on the remediation progress, and send or post a final memo when the project is completed or hold a final meeting. Try and resolve

Communicate, When You Remediate

- Establish that the health and safety of building occupants are top priorities.
- Demonstrate that the occupants' concerns are understood and taken seriously.
- Present clearly the current status of the investigation or remediation efforts.
- Identify a person whom building occupants can contact directly to discuss questions and comments about the remediation activities.

issues and occupant concerns as they come up. When building-wide communications are frequent and open, those managing the remediation can direct more time toward resolving the problem and less time to responding to occupant concerns.

If possible, remediation activities should be scheduled during off-hours when building occupants are less likely to be affected. Communication is important if occupants are relocated during remediation. The decision to relocate occupants should consider the size of the area affected, the extent and types of health effects exhibited by the occupants, and the potential health risks associated with debris and activities during the remediation project. When considering the issue of relocation, be sure to inquire about, accommodate, and plan for individuals with asthma, allergies, compromised immune systems, and other health-related concerns. Smooth the relocation process and give occupants an opportunity to participate in resolution of the problem by clearly explaining the disruption of the workplace and work schedules. Notify individuals of relocation efforts in advance, if possible.

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NYC

NEW YORK CANNA

Attachment D
Section 10

Recordkeeping, Record Retention & Inventory Control

NYC
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...ig New York State locally,
ethically, and securely.

CHAIN OF CUSTODY

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Section 10 – Recordkeeping, Record Retention & Inventory Control

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I. Record Keeping and Retention

A. BioTrackTHC:

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. **Seed to Sale Tracking Software System for New York State's Medical Marihuana Program:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **In-House Database and Information Sharing:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. **Physical Maintenance of Records**

[redacted]

II. **Record Retention/Destruction of Records:**

[redacted]

III. **Departmental Inspection – Availability of Records:**

[redacted]

IV. Maintenance of Patient Records:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

V. Type of Records Maintained:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

V. Inventory Control Plan

A. General Inventory Guidelines:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Tracking and Recordkeeping of Daily Operations:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. **Opening and Closing Inventories:**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. **Monthly Inventory:**

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E. **BioTrackTHC:**

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Patient Record Keeping Handbook

[redacted]

A. General Guidelines:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Privacy, Confidentiality, and Information Security

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

C. Record Retention and Purging

Redacted pursuant to N.Y. Public Officers Law, Art. 6

D. Record Review and Quality Assurance

Redacted pursuant to N.Y. Public Officers Law, Art. 6

E. Record keeping Practices

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F. Certified Patient Verification

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G. Documentation

Redacted pursuant to N.Y. Public Officers Law, Art. 6

H. Additional Record keeping

[redacted]

I. Staff Training

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J. HIPAA Compliance Summary

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HIPAA Privacy Rule

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

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D. Authorized Uses and Disclosures.

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

E. Marketing.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

F. Limiting Uses and Disclosures to the Minimum Necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

G. Access and Uses.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

H. Disclosures and Requests for Disclosures.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

I. Access.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC

NEW YORK CANNA

Record Keeping and Inventory Control

(BioTrack)

Standard Operating Procedures

Volume

BIO-TECH MEDICAL SOFTWARE, INC.

BioTrackTHC

BioTrackTHC Manual

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Core Systems Training Manual

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May 21st 2015

BioTrackTHC University

Denver, Colorado

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NEW YORK CANNA

Attachment D, Section 11

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Examples of Acceptable Reasons to Admit a Visitor Without Prior Permission:

[redacted]

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[redacted]

EXIT INTERVIEW FORM

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Attachment D, Section 12

Employee Training

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NEW YORK CANNA

Introduction to Application for Registration

New York Canna respectfully submits this Application, Appendices, and Attachments for the Department's Authorization to Register New York Canna as one of the five (5) registered organizations for the purpose of acquiring, possessing, manufacturing, selling, delivering, transporting, distributing or dispensing marihuana for certified medical use in New York State.

This Application contains detailed descriptions of our cultivation, extraction, final product manufacturing, packaging, labeling, quality assurance, security and dispensing processes. We also submit to the Department a corresponding body of detailed standard operating procedures that support our assertion that New York Canna is able to meet all of the Criteria for Consideration of Applications for Registration.

The Application materials of New York Canna demonstrate that New York Canna meets or exceeds all of the Department's criteria for selection in the following respects:

1. Quality, Consistent and Effective Medicine: Attachment D, Sections 1 through 12, of this Application demonstrate our *present* ability to cultivate, extract and manufacture quality, consistent and appropriately effective approved medical marihuana.

Our Director of Cultivation/Chief Production Officer, Phil Hague, is cannabis cultivation expert who has lawfully grown award winning marihuana medicine in large commercially compliant operations for years. Mr. Hague personally drafted New York Canna's Cultivation Standard Operating Procedures included here at Attachment D, Section 6. Though written specifically for this Application, Mr. Hague's cultivation techniques, methods, procedures and practices are not new, rather the SOPs created for New York Canna's proposed operations are the result of his years of managing operations at commercial scale medical cannabis cultivation centers. Mr. Hague brings to New York Canna existing and award winning

cannabis genetics that have a history of efficacy and stability and are the foundation for all of our product brands.

2. Quantity: New York Canna plans a commercial scale 212,000 square foot Manufacturing Facility comprised of 126,000 square feet of dedicated Flowering space and 58,000 square feet of manufacturing space including Mother Plants, Tissue Culturing, Vegetative Growth, Drying, Extraction, Final Product Manufacturing, Packaging, and Labeling, an in-house Analytical Laboratory, and Secure Storage

The architect's drawings of the Manufacturing Facility together with and our Manufacturing Processes, at Attachment D, Section 1, and submitted with this Application demonstrate that New York Canna has:

(a) Designed a commercial scale, state-of-the-art facility for the efficient production of marihuana products;

(b) Allocated more than a sufficient amount of space to each aspect of the process of manufacturing our approved medical marihuana products; and

(c) The technical expertise to operate the complex, vertically integrated cultivation/manufacturing/dispensing operation. Our assurance to the Department that we are able to operate and produce a sufficient quantity of approved medical marihuana is based on the fact that we currently operate legal, commercial medical marihuana operations. One of our principals, Scott Bergin, holds multiple medical marijuana licenses in Nevada and Colorado. Mr. Bergin operates EdiPure, a premier cannabis infused products manufacturer and distributor. EdiPure distributes extracted edible cannabis products commercially in Washington, Colorado, California, and soon Nevada. All infused cannabis products emanate from an extraction.

3. Security and Control: Our Security Team is led by an experienced military veteran, security expert, and principal of New York Canna, James Esposito. Mr. Esposito's security background and thorough Security Standard Operating Procedures found in Attachment 4, Section 5, combine to demonstrate our ability to manage the security and control of our the marihuana products we cultivate, manufacture, and distribute. Not only do we have measures in place to protect against diversion, but also to prevent and detect theft and loss through commercial grade equipment, systems and trained operators thereof.

4. Compliance: This Application reflects the global ability of New York Canna to operate in full compliance with all relevant laws and regulations. Our Director of Quality, Yasser Ajelo, is presently the Quality Control Manager of a major New York based pharmaceutical company that produces gel and compounded capsules sold as a *well recognized* brand of pain relief throughout the world. Mr. Alejo has years of regulatory compliance experience in both a laboratory and manufacturing environment. Combined with the compliance expertise of our Director of Cultivation/Chief Production Officer, New York Canna will be able to fully comply with all current and future regulations.

5. Ready, Willing and Able: New York Canna submits that our locally based team of businesses is fully prepared to undertake an accelerated approach to the project development. Multiple project timelines submitted include construction management of phased manufacturing build out, cultivation and manufacturing schedules, and operational deadlines.

New York Canna's source of funds guarantees our project can begin immediately upon authorization for Registration as a Registered Organization.

6. Possession/Right to Use Property: We have acquired the right to use the necessary real property, buildings and equipment to fully comply with the processes described in Attachment D, Section 1, the Operating Plan of New York Canna. We submit to you in Attachment B, Identification of Real Property, a full description of our right to use, description of and suitability of each of the five (5) properties we have identified for use as a Registered Organization.

7. Public Interest: New York Canna submits that the Department's authorization for us to register as a Registered Organization is in the public interest because:

(a) **We Have Public Support:** Throughout this Application we submit documents demonstrating community, political and organizational support for New York Canna's application. Our support ranges from the local businesses that surround our Dispensing Facilities; Joanne M. Mahoney, County Executive for the County of Onondaga in which we propose to operate our Manufacturing Facility and a Dispensing Facility; and labor organizations whose members will benefit from our creation of employment opportunity.

(b) **We Are Qualified:** The expertise of the cultivation, extraction, and final product manufacturing teams assembled for the Department's consideration amply demonstrates our thorough policies and the depth of our standard operating procedures, some of which are quite technical. We know how to cultivate medical grade marihuana, extract it with custom-designed and engineer verified equipment, manufacture final products including pure extract for vaporization, capsules, sublingual and oromucosal products; and provide custom made pharmaceutical grade devices for use by patients.

(c) **We Cultivate Award Winning Medicine:** Director of Cultivation Hague has been the Master Cultivator behind the receipt of several medical cannabis awards, including for extracted medicine. The breadth of his medical marihuana cultivating expertise jumps off the pages of his Cultivation Standard Operating Procedures.

(d) **We Own and Operate CO2 Supercritical Extraction Equipment:** New York Canna knows extraction, including equipment, procedures and utilizing extracted marihuana in licensed final product manufacturing.

We have the equipment. It has already been manufactured and is fully operating. Our existing equipment has already survived a rigorous Engineering Peer Review resulting in certification in Colorado and Washington. Our CO2 extraction equipment is ready to be transported to New York State and will be able to pass even the most exacting engineering specifications for use in New York.

We know how to operate the equipment. We have experienced staff ready to operate this equipment. .

(e) **We Manufacture USFDA Pharmaceuticals:** New York Canna has partnered with Azimuth Pharmaceutics, a modern pharmaceutical company founded and managed by pharmaceutical professionals who have over 200 years of combined experience in FDA regulated Pharmaceuticals. The Azimuth Pharmaceutics team has participated in and passed numerous FDA inspections at all three of its fully compliant GMP sites. All laboratories run by Azimuth Pharmaceutics are held to the highest standards, which exceed cGMPs. Azimuth Pharmaceutics will build New York Canna's final product manufacturing, packaging,

and labeling suites from the ground up, managing the design, build, validation, approval process and employee training.

(f) **Pharmaceutical Grade Devices:** New York Canna has sourced pharmaceutical grade devices to be utilized for the vaporization delivery device our five (5) approved medical marihuana brands. New York Canna's Final Product Manufacturing will custom build our own vaporizer devices in-house, with equipment sourced from carefully chosen suppliers to avoid the dangers of cheap, substandard, and potentially dangerous "all in one" vaporizers.

8. Geographic Diversity: Our Manufacturing Facility and one of our Dispensing Facilities are located the greater Syracuse, NY region. Our other Dispensing Facilities are located throughout New York State in Binghamton, Colonie (Albany) and Yonkers. NY. Each of our Dispensing Facilities are located in separate counties and widely distributed throughout the state. While our Manufacturing Facility and one Dispensing Facility are both located in Syracuse, none of our Dispensing Facilities are concentrated in counties that are adjacent, neighboring or in close proximity. The distance between our five (5) facilities is sufficient, together with other Registered Organizations, to ensure that a substantial portion of Central New York has ready access to medical marihuana products.

We have entered into binding letters of intent to purchase our Manufacturing Facility and the Yonkers Dispensing Facility. For the remaining Dispensing Facilities we have negotiated binding letters of intent to lease. These binding letters of intent are contingent upon the Department authorization for New York Canna to operate a Registered Organization at those locations.

Should the Department determine that any of our proposed Dispensing Facility locations are insufficient for geographic diversity when combined with the facilities of other Registered Organizations then New York Canna will immediately locate to other equally suitable property as directed by the Department.

9. Moral Character: All of New York Canna's officers, managers, owners, partners, principal stakeholders and directors possess substantial moral character, personal achievement and competence as business owners in their chosen fields. A majority of New York Canna's

principals are New York professionals providing leadership in their own local businesses and communities. New York Canna's CEO, Mr. Dennis DuVal is a veteran law enforcement officer, former Chief of Police is currently the President and CEO of a revitalized 137 year old manufacturing company in Central New York. New York Canna's principals are active in local charities, foundations, and service organizations including local granting agencies, social services, and fundraising for Shriner's Hospitals for Children.

10. Strength of Proposed Operating Plan: New York Canna's Standard Operating Plan, combined with the solid architectural/engineering designs form a solid Operating Plan upon which the Department may confidently award an authorization to New York Canna as a Registered Organization for the purpose of acquiring, possessing, manufacturing, selling, delivering, transporting, distributing or dispensing marihuana for certified medical use in New York State.

11. Labor Peace: We submit to the Department the neutrality agreements that New York Canna has entered into with the United Steel Workers (USW) of America for manufacturing and the United Food and Commercial Workers (UFCW) for retail operations. In addition to these neutrality agreements, the United Auto Workers (UAW) and New York State Building Trades have submitted strong support for this Application. New York Canna's Director of Human Resources, Paula Givens, has over 20 years of experience facilitating labor peace. As a Senior Trial Attorney for the National Labor Relations Board (NLRB), Ms. Givens developed effective working relationships with representatives with each of the labor organizations with whom we have neutrality agreements.

Conclusion: New York Canna respectfully submits this Application for the Department's approval and provides this assurance: if New York Canna is authorized to register as a Registered Organization that we will set the standard for pharmaceutical quality marihuana products.

County of Onondaga
Office of the County Executive
John H. Mulroy Civic Center, 14th Floor
421 Montgomery Street, Syracuse, New York 13202
Phone: 315.435.3516 Fax: 315.435.8582
www.ongov.net

Joanne M. Mahoney
County Executive

Ann Rooney
Deputy County Executive, Human Services

William P. Fisher
Deputy County Executive

Mary Beth Primo
Deputy County Executive, Physical Services

June 3, 2015

Hon. Andrew M. Cuomo
Governor of New York
The Executive Chamber
State Capitol Building
Albany, New York 12224

Dear Governor Cuomo:

New York is moving forward to implement a Medical Marijuana Program (MMP) and I would ask you to consider locating a production facility and a dispensary in Onondaga County. Geographically, we are at the heart of Central New York and the Thruway and Route 81 provide ready access to other nearby communities. Demographically this transportation network places us within easy distance of both urban and rural populations. Finally, Syracuse is a critical hub of hospitals and physicians which are used by residents throughout the region.

These key factors have not gone unnoticed by potential applicants for registered organization status under MMP as a number of potential applicants have expressed interest in our community and sought my support. Only superb technical and professional qualifications as well as unimpeachable personal integrity will be acceptable if MMP is to succeed in any community. For these reasons, I am writing to express my support for New York Canna, Inc., a New York based company founded by New York resident principals, for a production site and distribution facility to be located in Onondaga County.

NY Canna has developed plans that a successful registered organization will need to address: starting up and running the production facility and establishing a distribution network; outfitting and meticulously maintaining the equipment needed for a quality controlled, commercial scale indoor growing facility; maintaining high standards of quality in the production of pharmaceutical grade marijuana; and maintaining a tightly controlled system of both internal and external security covering all aspects of the operation from production to transportation to sale.

Additionally, NY Canna has enlisted crucial partners: KCC, an elite private security and intelligence organization; GGC Structures, Inc., a part of a group of companies which include a leading research greenhouse management company and a company which provides advanced hydroponic design for commercial growers of other kinds of plants; and Hanford Pharmaceuticals, a locally based company with vast experience in the manufacturing, packaging, labeling and analytical testing of pharmaceuticals. In addition to Hanford, other key elements of the NY Canna team are not just New York State but Onondaga County based: Bond, Schoeneck & King as their attorneys, Dannible &

McKee as their accounting firm, VIP Structures to provide architectural services, and 1st Point Construction as the construction manager. This demonstrates the strong commitment of NY Canna to invest in our community.

Also of great importance is that NY Canna proposes to redevelop a former industrial complex in the Town of Geddes, using approximately 500,000 square feet of space. Once completed, the operation will provide 60-70 production, administrative and security jobs in Onondaga County. Further, there will be twelve retail jobs at an Onondaga County based dispensary and 36 retail jobs in three other dispensary locations. Each dispensary will employ 2.5 full time equivalent pharmacists.

It is my belief that Onondaga County is a great location for a production center and dispensary and that NY Canna brings the best team and proposal to the table.

Thank you for your consideration of the application of NY Canna.

Sincerely,

Joanne Mahoney

Joanne M. Mahoney
County Executive

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Section A: Business Entity Information

1. Business Name: New York Canna. Inc.

2. Organization Type (choose one):
- [x] For-profit
- [ ] Non-profit

3. Business Type (choose one):
- [x] Corporation
- [ ] Sole Proprietorship
- [ ] Limited Partnership
- [ ] Other:
- [ ] Limited Liability Company
- [ ] General Partnership

4. Phone: 212-601-9512

5. Fax: 419-593-0917

6. Email: john@nycanna.net

7. Business Address: 241 Farrell Road

8. City: Syracuse

9. State: NY

10. ZIP Code: 13209

11. Mailing Address (if different than Business Address): 381 Fifth Avenue, 5th Floor

12. City: New York

13. State: NY

14. ZIP Code: 10016

Section B: Primary Contact Information

15. Name: John M. Vavalo

16. Title: President

17. Phone [redacted]

18. Fax [redacted]

19. Email: john@nycanna.net

20. Mailing Address: [redacted]

21. City: [redacted]

22. State: [redacted]

23. ZIP Code: [redacted]

Section C: Proposed Manufacturing Facility Information

24. Proposed Facility Name: New York Canna Manufacturing Facility

25. Proposed Facility Address: 241 Farrell Road

26. City: Syracuse

27. State: NY

28. ZIP Code: 13209

29. County:
Onondaga

30. Property Status (choose one):
- [ ] Owned by the applicant
- [x] Leased by the applicant
- [ ] Other:

If you checked "Other" above, describe the property status in the field provided.

31. Proposed Hours of Operation:

Monday:	12:00 AM to 11:59 PM	Friday:	12:00 AM to 11:59 PM
Tuesday:	12:00 AM to 11:59 PM	Saturday:	12:00 AM to 11:59 PM
Wednesday:	12:00 AM to 11:59 PM	Sunday:	12:00 AM to 11:59 PM
Thursday:	12:00 AM to 11:59 PM		

An additional entry is included below for applicants who are proposing to use more than one manufacturing facility (responsible for cultivation, harvesting, extraction or other processing, packaging and labeling).

32. Proposed Facility Name: not applicable		
33. Proposed Facility Address:		
34. City:	35. State: **NY**	36. ZIP Code:
37. County:	38. Property Status (choose one): ☐ Owned by the applicant ☐ Leased by the applicant ☐ Other: **If you checked "Other" above, describe the property status in the field provided.**	

39. Proposed Hours of Operation:

Monday:	to	Friday:	to
Tuesday:	to	Saturday:	to
Wednesday:	to	Sunday:	to
Thursday:	to		

Section D: Proposed Dispensing Facility #1 Information

40. Proposed Facility Name: New York Canna		
41. Proposed Facility Address: 1291 Saw Mill River Road		
42. City: Yonkers	43. State: **NY**	44. ZIP Code: 10710
45. County: Westchester	46. Property Status (choose one): ☐ Owned by the applicant ☑ Leased by the applicant ☐ Other: **If you checked "Other" above, describe the property status in the field provided.**	

47. Proposed Hours of Operation:

Monday:	8:00 AM to 8:00 PM	Friday:	8:00 AM to 8:00 PM
Tuesday:	8:00 AM to 8:00 PM	Saturday:	8:00 AM to 8:00 PM
Wednesday:	8:00 AM to 8:00 PM	Sunday:	8:00 AM to 8:00 PM
Thursday:	8:00 AM to 8:00 PM		

Section E: Proposed Dispensing Facility #2 Information

48. Proposed Facility Name: New York Canna		
49. Proposed Facility Address: 6518 Basile Rowe		
50. City: East Syracuse	51. State: **NY**	52. ZIP Code: 13057
53. County: Onondaga	54. Property Status (choose one): ☐ Owned by the applicant ☑ Leased by the applicant ☐ Other: **If you checked "Other" above, describe the property status in the field provided.**	

55. Proposed Hours of Operation:

Monday:	8:00 AM to 8:00 PM	Friday:	8:00 AM to 8:00 PM
Tuesday:	8:00 AM to 8:00 PM	Saturday:	8:00 AM to 8:00 PM
Wednesday:	8:00 AM to 8:00 PM	Sunday:	8:00 AM to 8:00 PM
Thursday:	8:00 AM to 8:00 PM		

Section F: Proposed Dispensing Facility #3 Information

56. Proposed Facility Name: New York Canna

57. Proposed Facility Address: 1166 Upper Front Street

58. City: Binghamton	59. State: **NY**	60. ZIP Code: 13905

61. County:
Broome

62. Property Status (choose one):
- [x] Owned by the applicant
- [ ] Leased by the applicant
- [ ] Other:

If you checked "Other" above, describe the property status in the field provided.

63. Proposed Hours of Operation:

Monday:	8:00 AM to 8:00 PM	Friday:	8:00 AM to 8:00 PM
Tuesday:	8:00 AM to 8:00 PM	Saturday:	8:00 AM to 8:00 PM
Wednesday:	8:00 AM to 8:00 PM	Sunday:	8:00 AM to 8:00 PM
Thursday:	8:00 AM to 8:00 PM		

Section G: Proposed Dispensing Facility #4 Information

64. Proposed Facility Name: New York Canna

65. Proposed Facility Address: 105 Everett Road

66. City: Colonie	67. State: **NY**	68. ZIP Code: 12205

69. County:
Albany

70. Property Status (choose one):
- [x] Owned by the applicant
- [ ] Leased by the applicant
- [ ] Other:

If you checked "Other" above, describe the property status in the field provided.

71. Proposed Hours of Operation:

Monday:	8:00 AM to 8:00 PM	Friday:	8:00 AM to 8:00 PM
Tuesday:	8:00 AM to 8:00 PM	Saturday:	8:00 AM to 8:00 PM
Wednesday:	8:00 AM to 8:00 PM	Sunday:	8:00 AM to 8:00 PM
Thursday:	8:00 AM to 8:00 PM		

Section H: Legal Disclosures

72. Has the applicant, any controlling person of the applicant, any manager, any principal stakeholder, any sole proprietor applicant, any general partner of a partnership applicant, any officer or member of the board of directors of a corporate applicant, or corporate general partner had a prior discharge in bankruptcy or been found insolvent in any court action? ☑ Yes ☐ No

If the answer to this question is "Yes," a statement providing details of such bankruptcy or insolvency must be included with this application.

73. Does any controlling person of the applicant, any manager, any principal stakeholder, any sole proprietor applicant, any general partner of a partnership applicant, any officer or member of the board of directors of a corporate applicant, or corporate general partner, or a combination of such persons collectively, maintain a ten percent interest or greater in any firm, association, foundation, trust, partnership, corporation or other entity, and such entity will or may provide goods, leases, or services to the registered organization, the value of which is or would be five hundred dollars or more within any one year?

OR

Does any entity maintain a ten percent interest or greater in the applicant, and such entity will or may provide goods, leases, or services to the registered organization, the value of which is or would be five hundred dollars or more within any one year?

☑ Yes ☐ No

If the answer to either of these questions is "Yes," a statement with the name and address of the entity together with a description of the goods, leases, or services and the probable or anticipated cost to the registered organization, must be included with this application.

74.

A. Is the applicant a corporate subsidiary or affiliate of another corporation? ☐ Yes ☑ No

If the answer to this question is "Yes," a statement setting forth the name and address of the parent or affiliate, the primary activities of the parent or affiliate, the interest in the applicant held by the parent or affiliate, and the extent to which the parent will be involved in the activities of the applicant, and responsible for the financial and contractual obligations of the subsidiary must be included with this application. The organizational and operational documents of the corporate subsidiary or affiliate must also be submitted, including but not limited to, as applicable: the certificate of incorporation, bylaws, articles of organization, partnership agreement, operating agreement, and all amendments thereto, and other applicable documents and agreements including in relation to the subsidiary or affiliate's financial or contractual obligations with respect to the applicant.

B. Is any owner, partner or member of the applicant not a natural person? ☑ Yes ☐ No

If the answer to this question is "Yes," a statement must be included with this application setting forth the name and address of the entity, the primary activities of the entity, the interest in the applicant held by the entity, and the extent to which the entity will be involved in the activities of the applicant, and responsible for the financial and contractual obligations of the applicant. The organizational and operational documents of the entity must also be submitted, including but not limited to, as applicable: the certificate of incorporation, bylaws, articles of organization, partnership agreement, operating agreement, and all amendments thereto, and other applicable documents and agreements including in relation to the entity's financial or contractual obligations with respect to the applicant, and the identification of all those holding an interest or ownership in the entity and the percentage of interest or ownership held in the entity. If an interest or ownership in the entity is not held by a natural person, the information and documentation requested herein must be provided going back to the level of ownership by a natural person (Principal Stakeholder).

75. Has construction, lease, rental, or purchase of the manufacturing facility been completed? ☑ Yes ☐ No

If the answer to this question is "No," a statement indicating the anticipated source and application of the funds to be used in such purchase, lease, rental or construction, as well as anticipated date that construction, lease, rental or purchase will be completed must be included with this application.

76. Has construction, lease, rental, or purchase of the dispensing facilities been completed? ☑ Yes ☐ No

If the answer to this question is "No," a statement indicating the anticipated source and application of the funds to be used in such purchase, lease, rental or construction, as well as anticipated date that construction, lease, rental or purchase will be completed must be included with this application.

Section I: Required Attachments

Applications received without the required attachments will not be eligible for consideration until the required attachments are received. All such attachments must be postmarked by the Deadline for Submission of Applications.

77. ☑ The applicant has enclosed a non-refundable application fee in the amount of $10,000.
Applications received without the $10,000 application fee will not be considered.

78. ☑ The applicant has enclosed a conditionally refundable registration fee in the amount of $200,000.
Applications received without the $200,000 registration fee will not be considered.
The $200,000 registration fee will be refunded to applicants that are not selected as registered organizations.

79. ☑ The applicant has attached all required statements from Section H: Legal Disclosures, if applicable.

80. ☑ The applicant has attached identification of all real property, buildings, and facilities that will be used in manufacturing and dispensing activities, pursuant to PHL § 3365 and 10 NYCRR § 1004.5(b)(2), and labeled this attachment as "**Attachment A.**"

81. ☑ The applicant has attached identification of all equipment that will be used to carry out the manufacturing, processing, transportation, distributing, sale, and dispensing activities described in the application and operating plan, pursuant to PHL § 3365 and 10 NYCRR § 1004.5(b)(3), and labeled this attachment as "**Attachment B.**"

82. ☑ The applicant has attached copies of all applicable executed and proposed deeds, leases, and rental agreements or executed option contracts related to the organization's real property interests, showing that the applicant possesses or has the right to use sufficient land, buildings, other premises, and equipment, and contains the language required in 10 NYCRR § 1004.5(b)(9), if applicable, or, in the alternative, the applicant attached proof that it has posted a bond of not less than $2,000,000, pursuant to PHL § 3365 and 10 NYCRR § 1004.5(b)(9), and labeled this attachment as "**Attachment C.**"

83. ☑ The applicant has attached an operating plan that includes a detailed description of the applicant's manufacturing processes, transporting, distributing, sale and dispensing policies or procedures, and contains the components set forth in 10 NYCRR § 1004.5(b)(4), and labeled the operating plan as "**Attachment D – Operating Plan**" with the information clearly labeled and divided into the following sections:

Section 1 - Manufacturing (§ 1004.5(b)(4))
Section 2 - Transport and Distribution (§ 1004.5(b)(4))
Section 3 - Dispensing and Sale (§ 1004.5(b)(4))
Section 4 - Devices (§ 1004.5(b)(4)(i))
Section 5 - Security and Control (§ 1004.5(b)(4)(ii))
Section 6 - Standard Operating Procedure (§ 1004.5(b)(4)(iii))
Section 7 - Quality Assurance Plans (§ 1004.5(b)(4)(iv))
Section 8 - Returns, Complaints, Adverse Events and Recalls (§ 1004.5(b)(4)(v))
Section 9 - Product Quality Assurance (§ 1004.5(b)(4)(vi))
Section 10- Recordkeeping (§ 1004.5(b)(4)(vii))

84. ☑ The applicant has attached copies of the organizational and operational documents of the applicant, pursuant 10 NYCRR § 1004.5(b)(5), which must include the identification of all those holding an interest or ownership in the applicant and the percentage of interest or ownership held, and labeled this attachment as "**Attachment E.**"

85. ☑ "**Appendix A: Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members**" has been completed for each of the board members, officers, managers, owners, partners, principal stakeholders, directors, and any person or entity that is a member of the applicant setting forth the information required in PHL § 3365(1)(a)(iv) and 10 NYCRR § 1004.5(b)(6).

86. ☑ The applicant has attached documentation that the applicant has entered into a labor peace agreement with a bona fide labor organization that is actively engaged in representing or attempting to represent the applicant's employees, pursuant to PHL § 3365(1)(a)(iii) and 10 NYCRR § 1004.5(b)(7), and labeled this attachment as "**Attachment F.**"

87. ☑ The applicant has attached a financial statement setting forth all elements and details of any business transactions connected with the application, including but not limited to all agreements and contracts for consultation and/or arranging for the assistance in preparing the application, pursuant to 10 NYCRR § 1004.5(b)(10), and labeled this attachment as "**Attachment G.**"

88. ☑ The applicant has completed **"Appendix B – Architectural Program"** and included the components set forth in 10 NYCRR § 1004.5(b)(11) and -(12).

89. ☑ The applicant has attached the security plan of the applicant's proposed manufacturing and dispensing facilities indicating how the applicant will comply with the requirements of Article 33 of the Public Health Law, 10 NYCRR Part 1004, and any other applicable state or local law, rule, or regulation, and labeled this attachment as "**Attachment H.**"

90. ☑ The applicant has attached the most recent financial statement of the applicant prepared in accordance with generally accepted accounting principles (GAAP) applied on a consistent basis and certified by an independent certified public accountant, in accordance with the requirements of 10 NYCRR § 1004.5(b)(16), and labeled this attachment as "**Attachment I.**"

91. ☑ The applicant has attached a staffing plan for staff to be involved in activities related to the cultivation of marijuana, the manufacturing and/or dispensing of approved medical marijuana products, and/or staff with oversight responsibilities for such activities that includes the requirements set forth in 10 NYCRR § 1004.5(b)(18) of the regulations and labeled this attachment as "**Attachment J.**"

92. ☑ The applicant has attached proof from the local internet service provider(s) that all of the applicant's manufacturing and dispensing facilities are located in an area with internet connectivity and labeled this attachment as "**Attachment K.**" Internet connectivity will be required to support the use of a Seed-to-Sale Solution approved by the Department to record the registered organization's permitted activities.

93. ☑ The applicant has attached a timeline demonstrating the estimated timeframe from growing marijuana to production of a final approved product, and labeled this attachment as "**Attachment L.**"

94. ☑ The applicant has attached a statement and/or documentation showing that the applicant is able to comply with all applicable state and local laws and regulations relating to the activities in which it intends to engage under the registration, pursuant to 10 NYCRR § 1004.5(b)(8), and labeled this attachment as "**Attachment M.**"

Section J: Attestation and Signature

As the chief executive officer duly authorized by the board of a corporate applicant, or a general partner or owner of a proprietary applicant, I hereby authorize the release of any and all applicant information of a confidential or privileged nature to the Department and its agents. If granted a registration, I hereby agree to ensure the registered organization uses the Seed-to-Sale Solution approved by the Department to record the registered organization's permitted activities. I hereby certify that the information provided in this application, including in any statement or attachments submitted herewith, is truthful and accurate. I understand that any material omissions, material errors, false statements, misrepresentations, or failure to provide any requested information may result in the denial of the application or other action as may be allowed by law.

95. Signature: ▶

96. Date Signed: 6/5/15

97. Print Name: John Vavalo

The application must include a handwritten signature by the chief executive officer duly authorized by the board of a corporate applicant, or a general partner or owner of a proprietary applicant, and must be notarized.

Notary Name: Jeffrey B. Scheer	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal) JEFFREY B. SCHEER Notary Public, State of New York No. 02SC5082709 Qualified in Onondaga County My Commission Expires July 28, 2017	Date: 6/5/15

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Application for Registration as a Registered Organization

Section A: Business Entity Information

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Section H: Legal Disclosures

Question 72 statement

Question 73 statement

Question 74 statement

Appendix A – Affidavit (Form DOH-5145

- Yasser Alejo
- Scott Bergin
- Eric Bremiller
- Ian deQueiroz
- Dino Dixie
- Dennis Duval
- James Esposito
- Domenic Falcone
- David Feder
- Phillip Hague
- Patrick Harvey
- Malcolm Morrison
- John Vavalo

Appendix B – Architectural Program (Form DOH-5146)

Manufacturing Site – Syracuse

- Schematic architectural and engineering design drawings - Syracuse

Dispensing Facility @ East Syracuse

- Schematic architectural and engineering design drawings – East Syracuse

Dispensing Facility @ Binghamton

- Schematic architectural and engineering design drawings – Binghamton

Dispensing Facility @ Colonie

- Schematic architectural and engineering design drawings - Colonie

Dispensing Facility @ Yonkers

- Schematic architectural and engineering design drawings – Yonkers

Attachment A – Property Description

Introduction to Attachment A

Map identifying property locations

Property Descriptions

Manufacturing Site – 241 Farrell Road, Syracuse, NY

Dispensing Facility Site @ 6518 Basile Rowe, East Syracuse, NY

Dispensing Facility Site @ 345 Court Street, Binghamton, NY

Dispensing Facility Site @ 105 Everett Road, Colonie, NY

Dispensing Facility Site @ 73 Market Street, Yonkers, NY

Letters of Support

Attachment B – Equipment List

Cultivation Equipment

Extraction Equipment

Medical Marihuana Laboratory Testing Equipment

Pharmaceutical Finished Product Equipment

Dispensing Equipment

Security and Safety Equipment

Attachment C – Property Deeds and Leases

Lease Agreement, Manufacturing Site – 241 Farrell Road, Syracuse, NY

Lease, Dispensing Facility @ 73 Market Street, Yonkers, NY

Lease, Dispensing Facility @ 6518 Basile Rowe, East Syracuse, NY

Contract to Purchase, Dispensing Facility @ 345 Court Street, Binghamton, NY

Lease, Dispensing Facility @ 105 Everett Road, Colonie, NY

Attachment D – Operating Plan

Section 1 – Manufacturing

Section 2 – Transport and Distribution

Section 3 – Dispensing and Sale

- Introduction to Medical Marihuana
- Substance Abuse Prevention Plan
- HIPAA Information and Consent Form
- Notice of Privacy Practices
- Patient Education Plan

Section 4 – Devices

Pharmaceutical Devices

- Dosage Exact Capsule
- Oil Filled Syringe, Personal Vaporizer Apparatus
- Oral Mist Sublingual

Standard Operating Procedures for Pharmaceutical Equipment

Manufacturer Technical Data Sheets

Section 5 – Security and Control

Section 6 – Standard Operating Procedures

- Extraction Laboratory
- Dispensing Facility
- Biological Analysis Methodology
- Liquid Chromatography Analytical Methodology
- Gas Chromatography Analytical Methodology
- Operation of the Medical Marijuana Syringe Filling and Packaging Line
- Emergency Operating Procedures

- Quality Systems Manual
- Radio Frequency Identification "RFID" Standard Operating Procedure

Section 7 – Quality Assurance Plans

Section 8 – Returns, Complaints, Adverse Events and Recalls

- Returns, Complaints, Adverse Events, and Recall Plan
- Return, Complaint and Adverse Event –Internal Investigation Form
- Patient Return and/or Complaint Form

Section 9 – Product Quality Assurance

- Section 9 – Product Quality Assurance Program
- Mold Remediation in Schools and Commercial Buildings

Section 10 – Recordkeeping

- Section 10 – Recordkeeping, Record Retention & Inventory Control
- BioTrackTHC University Core Systems Training Manual
- Record Keeping and Inventory Control Standard Operating Procedures

Section 11 – Forms Library

Section 12 – Employee Training

- Section 12. Employee Training
- Bud-Tender Training – Seed to Sales Series
- Seed to Sale Series – METRC and Inventory Control Module~ Dispensary
- Seed to Sale Series – METRC and Inventory Control Module~ Cultivation

Attachment E – Organizational Documents

Attachment F – Union Peace Labor Agreements

United Steel, Paper and Forestry, Rubber, Manufacturing, Energy, Allied Industrial and Service Workers International Union

United Food and Commercial Workers, District Union Local One

Attachment G – Application Assistance Financial Statements

BioTrackTHC Letter of Intent

Dank Consulting Group, LLC dba Denver Consulting Group Agreement

GGS Structures, Inc. Consulting Agreement

Iron Laboratories Memorandum of Understanding

One River Grants Consultant Agreement

Paula Givens, Esq. Consulting Agreement

Primedia, Inc. Consulting Agreement

VIP Architectural Associates, PLLC Consulting Agreement

Young, Q.C. & Consulting, LLC

Attachment H – Security Plan

Attachment I – Financial Statements

Audited Financial Statements

Loan Commitment Term Sheet

Attachment J – Staffing Plan

Staffing Plan

Table of Job Descriptions

Job Application

Employee Handbook

Attachment K – Internet Service Providers

Attachment L - Timeline

Attachment M – Applicant Compliance with Applicable Laws and Regulations

Legal Disclosures: Bankruptcy

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B18 (Official Form 18) (12/07)

United States Bankruptcy Court

Southern District of New York

Case No. 11-23093-rdd

Chapter 7

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXPLANATION OF BANKRUPTCY DISCHARGE IN A CHAPTER 7 CASE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

This information is only a general summary of the bankruptcy discharge. There are exceptions to these general rules. Because the law is complicated, you may want to consult an attorney to determine the exact effect of the discharge in this case.

Question 74.B

New York Canna, Inc. ("New York Canna") is owned by two New York limited liability companies: New Amsterdam Distributors, LLC ("New Amsterdam"), and EPMMNY, LLC ("EPMMNY"). New Amsterdam has a business address of 381 Fifth Avenue, 5th Floor, New York, New York 10016. EPMMNY has a business address of 6 Trails Head, Hopewell Junction, New York 12533.

Both New Amsterdam and EPMMNY are holding companies which, as of the date of this application, conduct no activities other than the holding of shares in New York Canna. New Amsterdam holds 75 shares of New York Canna common stock, representing a 75% ownership interest. EPMMNY holds 25 shares of New York Canna common stock, representing the remaining 25% ownership interest in New York Canna. Neither shareholder will, as an entity, be involved in the day-to-day activities of New York Canna.

New Amsterdam is a New York limited liability company owned as follows:

- John Vavalo [redacted]
- Dominic Falcone [redacted]
- James Esposito [redacted]
- Dennis DuVal [redacted]
- Patrick Harvey [redacted] and
- Dino Dixie [redacted]

As currently composed, 92% of New Amsterdam is owned by three members of New York Canna's Board of Directors, who are also officers of New York Canna (John Vavalo - President, Dominic Falcone - Secretary, and James Esposito - Treasurer). These three also make up New Amsterdam's Board of Managers, which operates the company.

EPMMNY is a New York limited liability company owned as follows:

- Malcolm Morrison – [redacted]
- David Feder – [redacted]
- Phil Hague – [redacted]
- EPMM, LLC – [redacted]

i. State of Formation: Colorado
ii. Date of Formation: May 14, 2014
iii. Article of Organization: Attached
iv. Operating Agreement: Attached
v. Sole Member: Scott Bergin
vi. Address: 1640 Logan Street, Suite 200, Denver, Colorado 80203

- Mana Labs, LLC – [redacted]
  i. State of Formation: California
  ii. Date of Formation: May 2, 2014
  iii. Articles of Organization: Attached
  iv. Operating Agreement: Attached
  v. Sole Member: Ian DeQueiroz
  vi. Address: [redacted]

Mr. Morrison, a [redacted] and Scott Bergin, the [redacted] also serve on New York Canna's Board of Directors. Mr. Bergin is the [redacted] Mr. Morrison is a [redacted] Together, though their interest in [redacted], Mr. Morrison and Mr. Bergin have helped design New York Canna's comprehensive operating plan, and will continue to make their extensive expertise, know-how, and connections in the medical marihuana industry available to New York Canna if it receives registration. Mana Labs, LLC, in turn, is owned entirely by Ian DeQueiroz, a resident of California.

The organizational documents of each entity are included in Attachment C to this application and are duplicated below.

NEW AMSTERDAM DISTRIBUTORS, LLC

ARTICLES OF ORGANIZATION

ARTICLES OF ORGANIZATION
OF

NEW AMSTERDAM DISTRIBUTORS, LLC
(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

Filed by: FRANCIS MALARA, ESQ
(Name)
235 MAIN STREET
(Mailing address)
WHITE PLAINS, NY 10601
(City, State and ZIP code)

NOTE: This form was prepared by the New York State Department of State for filing articles of organization for a domestic limited liability company. It does not contain all optional provisions under the law. You are not required to use this form. You may draft your own form or use forms available at legal stationery stores. The Department of State recommends that legal documents be prepared under the guidance of an attorney. The certificate must be submitted with a $200 filing fee made payable to the Department of State.

New York State Department of State
Division of Corporations, State Records
and Uniform Commercial Code
One Commerce Plaza, 99 Washington Avenue
Albany, NY 12231
www.dos.ny.gov

(This form must be printed or typed in black ink)

ARTICLES OF ORGANIZATION OF

NEW AMSTERDAM DISTRIBUTORS, LLC
(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

FIRST: The name of the limited liability company is: NEW AMSTERDAM DISTRIBUTORS, LLC

SECOND: The county within this state in which the office of the limited liability company is to be located is: WESTCHESTER COUNTY

THIRD: The Secretary of State is designated as agent of the limited liability company upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process against the limited liability company served upon him or her is:

148 RAMSEY AVENUE, YONKERS NY 10701

Francis J Malara
(signature of organizer)

Francis J Malara, ESQ
(print or type name of organizer)

DOS-1336 (Rev. 2/12)

NEW AMSTERDAM DISTRIBUTORS, LLC

OPERATING AGREEMENT

OPERATING AGREEMENT

OF

NEW AMSTERDAM DISTRIBUTORS, LLC

Dated as of November 28, 2014

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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EPMMNY, LLC

ARTICLES OF ORGANIZATION

150519000576

ARTICLES OF ORGANIZATION

OF

EPMMNY, LLC

Under Section 203 of the Limited Liability Company Law

FIRST. The name of the limited liability company is EPMMNY, LLC.

SECOND. The county within this state in which the limited liability company is to be located is Dutchess.

THIRD: The secretary of state is designated as agent of the limited liability company upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process accepted on behalf of the limited liability company served upon him or her is: 6 Trails End, Hopewell Junction, New York 12533.

FOURTH: The name and street address in this state of the registered agent upon whom and at which process against the limited liability company may be served is: Thomas D. McQuade, Jr., 6 Trails End, Hopewell Junction, New York 12533.

IN WITNESS WHEREOF, the undersigned has executed these Articles of Organization on the date below.

LegalZoom.com, Inc., Organizer

Date: May 19, 2015

/s/ Cheyenne Moseley
By: Cheyenne Moseley, Assistant Secretary
9900 Spectrum Drive
Austin, TX 78717

150519000576

EPMMNY, LLC

OPERATING AGREEMENT

EPMM, LLC

ARTICLES OF ORGANIZATION

E-Filed

Colorado Secretary of State
Date and Time: 05/14/2014 12:06 PM
ID Number: 20141302837

Document number: 20141302837
Amount Paid: $50.00

Document must be filed electronically.
Paper documents are not accepted.
Fees & forms are subject to change.
For more information or to print copies
of filed documents, visit www.sos.state.co.us.

ABOVE SPACE FOR OFFICE USE ONLY

Articles of Organization

filed pursuant to § 7-80-203 and § 7-80-204 of the Colorado Revised Statutes (C.R.S.)

1. The domestic entity name of the limited liability company is

EPMM Colorado, llc

(The name of a limited liability company must contain the term or abbreviation "limited liability company", "ltd. liability company", "limited liability co.", "ltd. liability co.", "limited", "l.l.c.", "llc", or "ltd.". See §7-90-601, C.R.S.)

(Caution: The use of certain terms or abbreviations are restricted by law. Read instructions for more information.)

2. The principal office address of the limited liability company's initial principal office is

Street address

1640 Logan Street
(Street number and name)

Suite 200

Denver | CO | 80203
(City) | *(State)* | *(ZIP/Postal Code)*

(Province – if applicable) | United States *(Country)*

Mailing address
(leave blank if same as street address)

(Street number and name or Post Office Box information)

(City) | *(State)* | *(ZIP/Postal Code)*

(Province – if applicable) | *(Country)*

3. The registered agent name and registered agent address of the limited liability company's initial registered agent are

Name
(if an individual)

Anglin | Dan | | |
(Last) | *(First)* | *(Middle)* | *(Suffix)*

or

(if an entity)

(Caution: Do not provide both an individual and an entity name.)

Street address

1640 Logan Street
(Street number and name)

Suite 200

Denver | CO | 80203
(City) | *(State)* | *(ZIP Code)*

Mailing address
(leave blank if same as street address)

(Street number and name or Post Office Box information)

(City)	CO (State)	(ZIP Code)

(The following statement is adopted by marking the box.)

☑ The person appointed as registered agent has consented to being so appointed.

4. The true name and mailing address of the person forming the limited liability company are

Name
(if an individual)

Bergin	Scott	W	
(Last)	*(First)*	*(Middle)*	*(Suffix)*

or

(if an entity)

(Caution: Do not provide both an individual and an entity name.)

Mailing address

1640 Logan Street
(Street number and name or Post Office Box information)

Suite 200

Denver	CO	80203
(City)	*(State)*	*(ZIP/Postal Code)*

	United States
(Province – if applicable)	*(Country)*

(If the following statement applies, adopt the statement by marking the box and include an attachment.)

☐ The limited liability company has one or more additional persons forming the limited liability company and the name and mailing address of each such person are stated in an attachment.

5. The management of the limited liability company is vested in
(Mark the applicable box.)

☑ one or more managers.

or

☐ the members.

6. *(The following statement is adopted by marking the box.)*

☑ There is at least one member of the limited liability company.

7. *(If the following statement applies, adopt the statement by marking the box and include an attachment.)*

☐ This document contains additional information as provided by law.

8. *(Caution: Leave blank if the document does not have a delayed effective date. Stating a delayed effective date has significant legal consequences. Read instructions before entering a date.)*

(If the following statement applies, adopt the statement by entering a date and, if applicable, time using the required format.)

The delayed effective date and, if applicable, time of this document is/are _____
(mm/dd/yyyy hour:minute am/pm)

Notice:
Causing this document to be delivered to the Secretary of State for filing shall constitute the affirmation or acknowledgment of each individual causing such delivery, under penalties of perjury, that the document is the individual's act and deed, or that the individual in good faith believes the document is the act and deed of the person on whose behalf the individual is causing the document to be delivered for filing, taken in conformity with the requirements of part 3 of article 90 of title 7, C.R.S., the constituent documents, and the organic statutes, and that the individual in good faith believes the facts stated in the document are true and the document complies with the requirements of that Part, the constituent documents, and the organic statutes.

This perjury notice applies to each individual who causes this document to be delivered to the Secretary of State, whether or not such individual is named in the document as one who has caused it to be delivered.

9. The true name and mailing address of the individual causing the document to be delivered for filing are

Bergin	Scott	W	
(Last)	*(First)*	*(Middle)*	*(Suffix)*

1640 Logan Street
(Street number and name or Post Office Box information)

Suite 200

Denver	CO	80203
(City)	*(State)*	*(ZIP/Postal Code)*

	United States
(Province – if applicable)	*(Country)*

(If the following statement applies, adopt the statement by marking the box and include an attachment.)

☐ This document contains the true name and mailing address of one or more additional individuals causing the document to be delivered for filing.

Disclaimer:
This form/cover sheet, and any related instructions, are not intended to provide legal, business or tax advice, and are furnished without representation or warranty. While this form/cover sheet is believed to satisfy minimum legal requirements as of its revision date, compliance with applicable law, as the same may be amended from time to time, remains the responsibility of the user of this form/cover sheet. Questions should be addressed to the user's legal, business or tax advisor(s).

OPERATING AGREEMENT
EPMM Colorado, llc.
A Colorado Limited Liability Company

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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MANA LABS, LLC

ARTICLES OF ORGANIZATION

LLC-1	**Articles of Organization of a Limited Liability Company (LLC)**

201412610045

To form a limited liability company in California, you can fill out this form, and submit for filing along with:

- A **$70** filing fee.
- A separate, non-refundable **$15** service fee also must be included, if you **drop off** the completed form.

Important! LLCs in California may have to pay a minimum $800 yearly tax to the California Franchise Tax Board. For more information, go to https://www.ftb.ca.gov.

LLCs may not provide "professional services," as defined by California Corporations Code sections 13401(a) and 13401.3.

Note: *Before submitting the completed form*, you should consult with a private attorney for advice about your specific business needs.

FILED
Secretary of State
State of California
MAY 02 2014

This Space For Office Use Only

For questions about this form, go to *www.sos.ca.gov/business/be/filing-tips.htm.*

LLC Name (List the proposed LLC name exactly as it is to appear on the records of the California Secretary of State.)

① MANA LABS, LLC

Proposed LLC Name

The name must include: LLC, L.L.C., Limited Liability Company, Limited Liability Co., Ltd. Liability Co. or Ltd. Liability Company; and may not include: bank, trust, trustee, incorporated, inc., corporation, or corp., insurer, or insurance company. For general entity name requirements and restrictions, go to www.sos.ca.gov/business/be/name-availability.htm.

Purpose

② The purpose of the limited liability company is to engage in any lawful act or activity for which a limited liability company may be organized under the California Revised Uniform Limited Liability Company Act.

LLC Addresses

③ a. [redacted] [redacted]

Initial Street Address of Designated Office in CA - Do not list a P.O. Box *City (no abbreviations)* *State* *Zip*

b. _____

Initial Mailing Address of LLC, if different from 3a *City (no abbreviations)* *State* *Zip*

Service of Process (List a California resident or a California registered corporate agent that agrees to be your initial agent to accept service of process in case your LLC is sued. You may list any adult who lives in California. You may not list an LLC as the agent. Do not list an address if the agent is a California registered corporate agent as the address for service of process is already on file.)

④ a. Ian deQueiroz

Agent's Name

b. [redacted] [redacted]

Agent's Street Address (if agent is not a corporation) - Do not list a P.O. Box *City (no abbreviations)* *State* *Zip*

Management (Check only one.)

⑤ The LLC will be managed by:

☑ One Manager ☐ More Than One Manager ☐ All Limited Liability Company Member(s)

This form must be signed by each organizer. If you need more space, attach extra pages that are 1-sided and on standard letter-sized paper (8 1/2" x 11"). All attachments are made part of these articles of organization.

▶ _____ Todd Winter, Esq.

Organizer - Sign here *Print your name here*

Make check/money order payable to: **Secretary of State** Upon filing, we will return one (1) uncertified copy of your filed document for free, and will certify the copy upon request and payment of a $5 certification fee.	***By Mail*** Secretary of State Business Entities, P.O. Box 944228 Sacramento, CA 94244-2280	***Drop-Off*** Secretary of State 1500 11th Street., 3rd Floor Sacramento, CA 95814

MANA LABS, LLC

OPERATING AGREEMENT

OPERATING AGREEMENT

OF

MANA LABS, LLC

A California Limited Liability Company

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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OPERATING AGREEMENT

OF

MANA LABS, LLC

A California Limited Liability Company

Name Searched:

Mana Labs, LLC

Request:

Filing Organizational Documents

Jurisdiction: California - Secretary of State

Thru Date: 05/02/2014

Results: File # 201412610045

Reasonable care is exercised in the completion of all requests, however, as the responsibility for the accuracy of the public records rests with the filing officer, we accept no liability for the report contained herein.

Operating Agreement

EPMMNY, LLC,
a New York Limited Liability Company

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Signed affidavits from:

- Yasser Alejo
- Scott Bergin
- Eric Bremiller
- Ian deQueiroz
- Dino Dixie
- Dennis Duval
- James Esposito
- Domenic Falcone
- David Feder
- Phillip Hague
- Patrick Harvey
- Malcolm Morrison
- John Vavalo

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name:

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Yasser Alejo

3. Title: Quality Director

4. Briefly describe the role of this person or entity in the proposed registered organization:

1. Responsible for implementing, managed, audit and maintain quality systems to support commercial and developmental activities in the organization.
2. Ensure that the organization has appropriate quality systems in place and they are recognized, understood and maintained across the organization.
3. Develop manage and maintain a compliant document control system.
4. Ensure that all vendor qualification and compliance audits are properly conducted.
5. Ensure that the Quality Control activities performed inside the organization or by contract testing laboratories and contract manufacturing companies are in compliance with the state regulations

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ Yes ☐ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☑ Yes ☐ No

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

Steri-Pharma, LLC
Quality Control Manager

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☒ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone:	9. Fax:
10. Email:	
11. Residence Address:	

12. City:	13. State:	14. ZIP Code:

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members
Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☐ Yes ☒ No

From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐open ☐closed ☐proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐open ☐closed ☐proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐open ☐closed ☐proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6/1/2015
Notary Name: JEFFREY SCHEER	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal)	Date: 6/1/2015

JEFFREY B. SCHEER
Notary Public, State of New York
No. 02SC5062709
Qualified in Onondaga County
My Commission Expires July 28, 2017

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members**.** For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Scott Bergin | 3. Title: Partner

4. Briefly describe the role of this person or entity in the proposed registered organization:

Will operate as a senior adviser for manufacturing, cultivation, and finished products

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☒ **Yes** ☐ **No**

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☒ **Yes** ☐ **No**

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

EdiPure Infused Medical Marijuana Edibles Products, Colorado, Manufactured under the license of Green Cross Colorado. Owner. No finding of violations or law or regulation by a governmental agency have occurred against the business or myself since the company was established in 2010.

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☒ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]	9. Fax: N/A
10. Email: [redacted]	
11. Residence Address: [redacted]	
12. City: [redacted]	

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
Southern Illinois University	Office of the Registrar 1263 Lincoln Drive Carbondale, IL 62901	1972	1975	Major: Music theory; Minor - Mass communications	N/A

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
N/A				

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ◉ Yes ○ No

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:

Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I have a long history as a successful [redacted] which led me to develop a [redacted]. My products are currently sold int he legal medical marijuana marketplaces in California, Washington, Arizona, Colorado, and, soon, in Nevada. [redacted] developed the proprietary process for accurately dosing edibles with no cannabis taste or smell. [redacted]. With a portfolio of business skills that includes entrepreneurship, business management, medical marijuana extraction, food product development, and large-scale database development, I believe I am uniquely qualified to guide New York Canna's launch into the medical marijuana market in New York.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 06.03.2015
Notary Name: WILSON DIEP	Notary Registration Number: 01D16000207
Notary (Notary Must Affix Stamp or Seal)	Date: 6/3/2015

WILSON B. DIEP
Notary Public, State of New York
No. 01DI6000207
Qualified in Queens County
Commission Expires Dec. 15, 2017

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Eric McCaa Bremiller | 3. Title: Cultivation Operations Mgr

4. Briefly describe the role of this person or entity in the proposed registered organization:

- Hire, build team, and supervise daily operations at 200,000 sq commercial scale horticultural operations.
- Meet or exceed established production goals within budgeted expenditures.
- Develop and implement:
  - o Standard operations manuals for cultivation
  - o Constant quality improvement plan
  - o Good Agricultural Practices Plan

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ Yes ☐ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ Yes ☑ No

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]		9. Fax: [redacted]	
10. Email: [redacted]			
11. Residence Address: [redacted]			
12. City: [redacted]	13. State: [redacted]	14. ZIP Code [redacted]	

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
Morrisville State College	PO Box 901 Morrisville, NY 13408	8/2007	5/2010	BT in Horticulture Business Management	5/2010
SUNY ESF	1 Forestry Dr Syracuse, NY 13210	8/2005	5/2006	None	N/A
Mohawk Valley Community College	1101 Sherman Dr Utica, NY 13501	1/2005	7/2005	Associate of Science: Liberal Arts and Science	12/2005
Clinton Community College	136 Clinton Point Dr Plattsburgh, NY 12901	1/2001	12/2002	None	N/A
Colorado State University	Registrar's Office 1063 Campus Delivery Fort Collins, CO 80526	8/1999	12/1999	None	N/A

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
N/A				

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:

Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☐ Yes ☑ No

From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐open ☐closed ☐proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐open ☐closed ☐proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐open ☐closed ☐proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I have been involved in horticulture, hydroponics, and greenhouse management for [redacted] In 2010, I graduated Summa Cum Laude from Morrisville State College with a degree in Horticulture Business Management, with a focus on hydroponic greenhouse management. I have worked in [redacted] the [redacted], involved with research, demonstration, and education. I have spent the last 5 years studying, researching, experimenting, reading, writing, and teaching hydroponic vegetable production. I have designed and built systems, attended short courses, & established, implemented, and trained students in production and biosecurity protocols. I have experience with computer control systems, horticultural lighting, multiple types of production systems, hydroponics, aquaponics, nutrient solution formulation and preparation, chemistry, biology, and horticulture. I have experience working with [redacted] In addition to my thorough and extensive science- based Horticultural education, my college education also covered areas such as entrepreneurship, analytical marketing, human resource management, and professional business communication. I thrive in challenging settings that require group effort and cooperation between departments. I am organized, hard working, ethical, honest, diligent, highly intelligent, and extremely passionate about my work. I prefer to lead by example and give respect in order to earn it from my co-workers. I have had exceptional examples of managers and supervisors from which to learn, and I have integrated their strengths into my own managerial methods.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature: Erin Brenneman	Date: 6/1/15
Notary Name: JEFFREY SCHEER	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal) JEFFREY B. SCHEER Notary Public, State of New York No. 02SC5082709 Qualified in Onondaga County My Commission Expires July 28, 2017	Date: 6/1/2015

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: Mana Labs LLC

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Ian Stacishin deQueiroz | 3. Title: Managing Partner

4. Briefly describe the role of this person or entity in the proposed registered organization:

Project manager for the design, development and installation of extraction systems and elements of the finished product manufacturing processes and equipment.

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☐ Yes ☒ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ Yes ☒ No

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

I have served as the director for Mana Labs LLC since its inception. Mana Labs has operated as an intellectual property holdings company for the last 18 months after purchasing intellectual property and laboratories from Purity Standards Inc. Mana Labs served as a consulting group for two non-profit organizations providing medicinal cannabis for patients under California's proposition 215, but was not directly responsible for the manufacture or distribution of any regulated substance. Mana Labs or its affiliates have no violations of any law or regulation.

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
◉ Yes ○ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

[redacted]

8. Phone: [redacted] 9. Fax:

10. Email: [redacted]

11. Residence Address: [redacted]

12. City [redacted] 13. State: [redacted] 14. ZIP Code: [redacted]

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
University of California, Davis	1 Shields Ave, Davis, CA 95616	9/2002	3/2006	Dbl. Major International Business and Histor	8/2006
National University of Saint Anthony the Abbot in Cuzco	Av de la Cultura, Cuzco, Peru	3/2003	9/2003	Spanish Language Certification	9/2003
The Associação Cultural Brasil -Estados Unidos	Av. Sete de Setembro, 1883 40.080-002 - Vitória Salvador - Bahia - Brasil	3/2004	12/2004	Portuguese Language Certification	12/2004

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16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
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Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

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18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ◉ Yes ○ No

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6/2/15
Notary Name: Spencer Louis Murcelle	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal)	Date:

SEE ATTACHED

JURAT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

County of Sonoma

Subscribed and sworn to (or affirmed) before me on this 2 day of June,

20 15 by Ian DeQueiroz,

proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

SPENCER LOUIS MARCELLE
COMM. #2053161
Notary Public - California
Sonoma County
My Comm. Expires Dec. 23, 2017

Signature (Seal)

OPTIONAL INFORMATION

DESCRIPTION OF THE ATTACHED DOCUMENT

Affidavit - Medical
(Title or description of attached document)

Marijuana Program
(Title or description of attached document continued)

Number of Pages 7 Document Date 6/2/15

Additional information

INSTRUCTIONS

The wording of all Jurats completed in California after January 1, 2015 must be in the form as set forth within this Jurat. There are no exceptions. If a Jurat to be completed does not follow this form, the notary must correct the verbiage by using a jurat stamp containing the correct wording or attaching a separate jurat form such as this one with does contain the proper wording. In addition, the notary must require an oath or affirmation from the document signer regarding the truthfulness of the contents of the document. The document must be signed AFTER the oath or affirmation. If the document was previously signed, it must be re-signed in front of the notary public during the jurat process.

- State and county information must be the state and county where the document signer(s) personally appeared before the notary public.
- Date of notarization must be the date the signer(s) personally appeared which must also be the same date the jurat process is completed.
- Print the name(s) of the document signer(s) who personally appear at the time of notarization.
- Signature of the notary public must match the signature on file with the office of the county clerk.
- The notary seal impression must be clear and photographically reproducible. Impression must not cover text or lines. If seal impression smudges, re-seal if a sufficient area permits, otherwise complete a different jurat form.
  - ❖ Additional information Is not required but could help to ensure this jurat is not misused or attached to a different document.
  - ❖ Indicate title or type of attached document, number of pages and date.
- Securely attach this document to the signed document with a staple.

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7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]			9. Fax: [redacted]		
10. Ema[redacted]					
11. Residence Address: [redacted]					
12. City: [redacted]		13. State: [redacted]		14. ZIP Code: [redacted]	
15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
[redacted]					
Syracuse University	Officer of the Registrar 106 Steele Hall Syracuse, NY 13244	1986	1988	School of Management	N/A

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Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
N/A				

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

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Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

Appendix A:
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Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

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Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ **Yes** ☐ **No**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
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Redacted pursuant to N.Y. Public Officers Law, Art. 6

From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

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20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 05/06/2015
Notary Name: Melanie A Wyant	Notary Registration Number: 01WY6315878
Notary (Notary Must Affix Stamp or Seal) Melanie A Wyant 01WY6315878 Notary Public, State of New York Qualified in Cayuga County My commission expires DECEMBER 1st, 20 18	Date: May 7, 2015

Appendix A:
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Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name:

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Dennis Todd Duval	3. Title: CEO

4. Briefly describe the role of this person or entity in the proposed registered organization:

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☉ Yes ○ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

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If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

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☐ Yes ◉ No

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8. Phone: [redacted]	9. Fax:
10. Email: [redacted]	
11. Residence Address: [redacted]	
12. City [redacted]	13. Stat[redacted] 14. ZIP Code: [redacted]

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
[redacted]					
Syracuse University	Syracuse, New York	1970	1974	B.A. Sociology	May 1996

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Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date

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Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
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Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
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Starting Date of Employment:	Ending Date of Employment:	
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Reason For Departure:		

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Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ◉ Yes ○ No

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NEW YORK STATE | Department of Health

Medical Marijuana Program
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Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: May 12, 2015
Notary Name: JEFFREY B. SCHEER	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal) JEFFREY B. SCHEER Notary Public, State of New York Qualified in Onon. Co., No. 02SC5082709 My Commission Expires July 28, 2019	Date: 5/12/15

SAFRAN
MorphoTrust USA

Exit

Confirmation

Please keep a record of your confirmation number, or print this page for your records. If you have any questions, experience problems, or need to reschedule or cancel your appointment, please contact the below customer service number.

Please keep a record of your Confirmation Number, or print this page for your records.

Confirmation Number [redacted]

Payment Details

Description	L-1 Enrollment Services Fingerprinting Services www.L1Enrollment.com
Payment Amount	$84.95
Payment Date	05/05/2015
Status	PROCESSED
Applicant Name	Dennis Duval
Appointment Info	May 6, 2015 at 12:40 pm
Customer Service Number	(877) 472-6915 or for TTY/TTD applicants, please call (877) 219-0199

Payment Method

Payer Name	Dennis Duval
Card Number	[redacted]
Card Type	
Approval Code	
Confirmation Email	[redacted]

Billing Address

Address 1	[redacted]
City	
State	

Zip Code [redacted]

L-1 Enrollment Services

New York State
EasyPath Network

Applicant: DUVAL, DENNIS.
Address: [redacted]

OCA:
Date Fingerprinted: 20150506

Fingerprint Center: L020
Agency: NYS Dept of Health Bur Narcotic Enforcem
Reason Fingerprinted:
CONTROLLED SUBSTANCE
Amount Paid: 84.95
Fee Paid By: US BANK EPAY

Operator ID: 020001

(Agency Copy)

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: James Esposito

3. Title: Director of Security & Safety

4. Briefly describe the role of this person or entity in the proposed registered organization:

To develop, plan and execute the company wide security protocols as described in New York Canna's application. To coordinate with any third party security auditors, contractors, and suppliers. To serve as a liaison to any local, state or federal law enforcement agencies.

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ **Yes** ☐ **No**

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ **Yes** ☑ **No**

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]	9. Fax:
10. Email: james@nycanna.net	
11. Residence Address:	

12. City:		13. State:		14. ZIP Code:	
15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ **Yes** ☐ **No**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

From: To:	Name and Address of Business:	
Business Type: Restaurant	Office Held/Nature of Interest: Owner	☐ open ☐ closed ☑ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I currently operate a [redacted] have a solid track record of success in many industries due to my involvement in every step of development, from contract negotiations to talent acquisition, marketing and public relations,and the design, launch, and monitoring operations. I believe the professional experiences described above uniquely qualify me to provide high-level security services for New York Canna.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6/3/15
Notary Name: Laura Valcarcel	Notary Registration Number: 01VA6278518
Notary (Notary Must Affix Stamp or Seal) LAURA VALCARCEL NOTARY PUBLIC-STATE OF NEW YORK No. 01VA6278518 Qualified in Kings County My Commission Expires March 25, 2017	Date: 6/3/2015

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Dominic Falcone

3. Title: Director of Facility Operations

4. Briefly describe the role of this person or entity in the proposed registered organization:

Oversee all plumbing, electrical, HVAC, and environmental installations, in accordance with local municipality and State requirements

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ **Yes** ☐ **No**

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ **Yes** ☑ **No**

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]			9. Fax: N/A		
10. Email: dom@nycanna.net					
11. Residence Address: [redacted]					
12. City: [redacted]		13. State: [redacted]		14. ZIP Code: [redacted]	
15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
[redacted]					
Plumber's Union Local #2 (merged with Local #1)	Union Local #1 50-02 Fifth St., 2nd Fl Long Island City, NY 11101	08/1983	08/1985	Pipe Trademan	08/1985
Plumber's Union Local #545	8333 Airport Blvd., Los Angeles, CA 90045	08/1985	07/1989	Journeyman Plumber	07/1989

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
Westchester County Master Plumber	#932/1290	Westchester Co. Board of Plumbing Examiners, 110 Dr. Martin Luther King, Jr. Blvd. White Plains, NY	09/1998	12/31/2015
Putnam County Master Plumber	#514	Putnam Co. Plumbing Board, 112 Old Route #6, Carmel, NY 10512 (845) 808-4000	02/2002	12/31/2015
State of CT Plumbing & Piping Unlimited Contractor	#PLM.0282225 -P1	CT Dept. of Consumer Protection, 165 Capitol Ave., Hartford, CT 06106 (800) 842-2649	02/2004	10/31/2015
State of CT Heating, Piping & Cooling Lmtd, Journeyperson	#HTG.0390366 -S8	CT Dept. of Consumer Protection 165 Capitol Ave., Hartford, CT 06106 (800) 842-2649	03/2005	08/31/2015
State of New York Type Universal HVAC	#119-62-8172	EPA Region 2, 290 Broadway, New York, NY 10007-1866 (212) 637-3000	04/1996	N/A

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members
Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer: N/A		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ Yes ☐ No

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I have been a licensed Master Plumber in two New York counties and the State of Connecticut for over [redacted] years and a [redacted] I continuously upgrade my skills to remain at the top of the industry as evidenced by my specialized training in solar thermal installation, EPA LEED certification, as well a NYS Universal Air Conditioning and Refrigeration license.

I have been a committed volunteer throughout my career, investing my time to improve education in building trades, support local police, and to fundraise for children's medical care. [redacted] am proud of my dedication to professional and community service and feel that these experiences are true examples of my moral character. I believe the professional and volunteer experiences described above qualify me to serve as Director of Facility Operations for New York Canna.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature: [signature]	Date: May 21, 2015
Notary Name: JEFFREY B. SCHEER	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal) [signature] JEFFREY B. SCHEER Notary Public, State of New York Qualified in Onon. Co., No. 02SC5082709 My Commission Expires July 28, 2017	Date: 5/21/15

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, LLC

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: David Feder

3. Title: Director of Operations

4. Briefly describe the role of this person or entity in the proposed registered organization:

Director of Operations - operations management and oversight.

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ **Yes** ☐ **No**

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ **Yes** ☑ **No**

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone [redacted]			9. Fax: [redacted]		
10. Email [redacted]					
11. Residence Address: [redacted]					
12. City [redacted]		13. State [redacted]		14. ZIP Code: [redacted]	
15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
[redacted]					
Queens College, City University of New York	65-30 Kissena Blvd, Flushing, NY 11367	2004	2007	Bachelors of Business and Administration, Corporate Finance;	2007
Brooklyn Law School	50 Joralemon St, Brooklyn, NY 11201	2007	2010	Juris Doctor	2010

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
Attorney Licence	4946620	New York Bar Association	2011	N/A

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as
a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ Yes ☐ No

From: 5/1/2014	Name and Address of Business: Harmony Foundation 514 Anderson Ave Cliffside Park , NJ 07010	
To: Current		
Business Type: New Jersey Corporation	Office Held/Nature of Interest: Board Member	☐ open ☐ closed ☑ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

From: May 2015 To: Current	Name and Address of Business: EPMMNY, LLC 6 TRAILS END HOPEWELL JUNCTION, NEW YORK, 12533	
Business Type: Domestic LLC	Office Held/Nature of Interest: Shareholder	☑ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

Mr. David B. Feder, combines over [redacted]

Mr. Feder's accomplishments have been independently recognized by Super Lawyers, which has nominated him to be on their 2014 and 2015 "New York Metro Rising Stars" lists. Mr. Feder also currently volunteers as a Member of the New York City Bar Association's Drugs and the Law Committee.

Since 2010, [redacted]

Mr. Feder's diverse background as [redacted] has provided him with the capability to navigate through the most complex and restrictive business industries.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6/4/15
Notary Name: Godfrey H. Murrain	Notary Registration Number: 30-2830425
Notary (Notary Must Affix Stamp or Seal) GODFREY H. MURRAIN Notary Public, State of New York No. 30-2830425 Qualified in Nassau County Commission Expires August 31, 2017	Date: 6/4/2015

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Phillip Hague

3. Title: Chief Production Officer

4. Briefly describe the role of this person or entity in the proposed registered organization:

Manage the day-to-day operations of cultivation facility, schedule grow cycles, implement all processes and procedures through managing employees.

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ **Yes** ☐ **No**

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ **Yes** ☑ **No**

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]			9. Fax: N/A		
10. Ema[redacted]					
11. Residence Address: [redacted]					
12. City: [redacted]		13. State: [redacted]		14. ZIP Code [redacted]	
15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
[redacted]					

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
TX Master Certified Nursery Professional		TX Nursery & Landscape Assn. 7730 S. IH 35 Austin, TX 78745	02/2000	

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:		Type of Business:
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:		Ending Date of Employment:
Name of Supervisor for Reference:		Supervisor Phone Number:
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ **Yes** ☐ **No**

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members
Redacted pursuant to N.Y. Public Officers Law, Art. 6

From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I possess a lifetime of horticultural knowledge encompassing large-scale, commercial greenhouse production and extensive knowledge of commercial farming practices, including good agricultural practices (GAP). My vast knowledge of plants and genetic stock covers the world and has resulted in industry-wide recognition. For the last five years, I have worked as a Master Grower and Genetics Resource Manager in the medical marihuana industry in Colorado, receiving several medical cannabis awards. My business experience includes management of all operational aspects of large-scale greenhouses and medical marihuana gardens. I consistently average from one and a half to two d of salable medical cannabis product per light. I believe the professional experiences described above qualify me to serve as Chief Production Officer for New York Canna.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6-3-15
Notary Name: Kimberly A. Gatto	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal)	Date: 6/3/15

KIMBERLY A. GATTO
Notary Public, State of New York
No. 01GA6202181
Qualified in Rensselaer County
Commission Expires March 9, 2017

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Patrick Charles Harvey | 3. Title: Pharmacist

4. Briefly describe the role of this person or entity in the proposed registered organization:

Dispensary Manager - Will oversee the proper filling and dispensing of medical marijuana products based on physician orders in accordance with New York State law. Will also manage and supervise all staff pharmacists and pharmacy technician

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☒ Yes ☐ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☒ Yes ☐ No

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

[redacted]

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
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7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
○ Yes ◉ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phon[redacted]	9. Fax: N/A
10. Email: Patrick@NYCanna.net	
11. Residence Address: [redacted]	
12. City: [redacted]	13. State: [redacted] 14. ZIP Code: [redacted]

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
St. John's University College of Pharmacy and Health Sciences	8000 Utopia Parkway Queens, NY 11439 1-(888) 978-5646	9/1997	5/2002	Bachelor's in Pharmacy	05/01/2002

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
Pharmacist State of Connecticut	PCT.0009780	CT Dept. of Consumer Protection 165 Capital Ave., Rm. 147, Hartford, CT 06106 (860) 713-6100	02/03/2014	01/31/2016
Pharmacist New York State	Pending	NYS Education Dept., Pharmacy Unit, 89 Washington Ave., Albany, NY 12234 (518) 474-3817 x250	N/A	N/A

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:

Type of Business:

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

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Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

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List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☐ **Yes** ☐ **No**

From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ **open** ☐ **closed** ☐ **proposed**
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I am a licensed pharmacist and [redacted]. My Bachelor's degree in Pharmacy is from St. John's University College of Pharmacy and Allied Health in Queens, NY. As a certified Compounding Pharmacist, I am trained to prepare non-sterile compounding ointments, capsules, liquids, suspensions, as well as oromucosal and transdermal PLO gels in an acute, safe, and sanitary manner. [redacted] believe the professional and volunteer experiences described above qualify me to serve as a Pharmacist for New York Canna.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature: Pat C [redacted] Rph	Date: May 29, 2015
Notary Name: Errol M. Insler	Notary Registration Number: #4678385
Notary (Notary Must Affix Stamp or Seal) ERROL M. INSLER Notary Public, State of New York No. 4678385 Qualified in Westchester County Commission Expires Mar. 30, 19[illegible]	Date: MAY 29TH, 2015

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

Appendix A **must** be completed for all board members, officers, managers, owners, partners, principal stakeholders, directors, and members. For board members, officers, managers, owners, partners, directors, and members of the applicant that are not natural persons, Appendix A must be completed by each board member, officer, manager, owner, partner, director and member of that entity, going back to the level of ownership by a natural person. **An Organizational Chart documenting your organizational structure must be included with this application.**

1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: Malcolm Morrison	3. Title: Project Manager

4. Briefly describe the role of this person or entity in the proposed registered organization:

Identify needs in production and cultivation of medical cannabis and make executive decisions accordingly

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ Yes ☐ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☑ Yes ☐ No

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

[redacted]

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

7. Has this person or entity been convicted of a felony or had any type of registration or license suspended or revoked in any administrative or judicial proceeding?
☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]	9. Fax: N/A
10. Email: [redacted]	
11. Residence Address: [redacted]	
12. City: [redacted]	13. Stat[redacted] 14. ZIP Code: [redacted]

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
Humboldt State University	Office of the Registrar 1st Floor SBS, 1 Harpst St. Arcata, CA 95521	1993	1995	Bachelor of Science in Microbiology	1995
College of the Redwoods	7351 Tompkins Hill Rd. Eureka, CA	1991	1993	Associate of Arts in Business	1993

Appendix A:
Affidavit for Board Members, Officers, Managers, Owners, Partners, Principal Stakeholders, Directors, and Members

16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
Certified Crop Adviser (CA)	N/A	CA Cert. Crop Advisers, 2300 River Plaza Dr., Ste. 120, Sacramento, CA 95833, (916) 928-1625 ext. 200	1996	2013

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		
Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:		

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Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

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List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ Yes ☐ No

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N//A		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From:	Name and Address of Business:	
To:		
Business Type:	Office Held/Nature of Interest:	☐ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		

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19. Affirmative Statement of Qualifications

For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

I have over 25 years of experience in managing various aspects of medical cannabis, vineyard, and commercial agricultural system in California and Washington. [redacted] I believe the professional experiences described above qualify me to serve as Project Manager for New York Canna.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6/3/15
Notary Name: Kimberly A. Gatto	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal)	Date: 6/3/15

KIMBERLY A. GATTO
Notary Public, State of New York
No. 01GA6202181
Qualified In Rensselaer County
Commission Expires March 9, 20 17

NEW YORK STATE | Department of Health

Medical Marijuana Program
Application for Registration as a Registered Organization

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1. Business Name: New York Canna, Inc.

This is the name that was entered in Section A of the Application for Registration as a Registered Organization.

2. Name: John M. Vavalo

3. Title: Dir., Engineering & Extraction

4. Briefly describe the role of this person or entity in the proposed registered organization:

Oversee the extraction, medicinal marihuana production, and the quality control laboratory

5. Will this person or entity come into contact with medical marijuana or medical marijuana products?
☑ Yes ☐ No

Any managers who may come in contact with or handle medical marijuana, including medical marijuana products, shall be subject to a fingerprinting process as part of a criminal history background check in compliance with the procedures established by Division of Criminal Justice Services and submission of the applicable fee. Criminal history background checks must be done through Identogo at http://www.identogo.com/FP/NewYork.aspx using the ORI number NY0412500 and the Fingerprint Reason "Control Substance License."

6. Has this person or entity held any position of management or ownership during the preceding ten years of a 10% or greater interest in any other business which manufactured or distributed drugs? ☐ Yes ☑ No

If the answer to this question is yes, provide the name of the business, a statement defining the position of management or ownership held in such business, and any finding of violations of law or regulation by a governmental agency against the business or person or entity.

NEW YORK STATE | Department of Health

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☐ Yes ☑ No

If the answer to either of these questions is "Yes," a statement explaining the circumstances of the felony, suspension or revocation must be provided below.

8. Phone: [redacted]	9. Fax: N/A
10. Email: john@nycanna.net	
11. Residence Address: [redacted]	
12. City: [redacted]	13. State [redacted] 14. ZIP Code: [redacted]

15. Formal Education		Dates Attended		Degree	
Institution	Address	From	To	Degree Received	Date Received
Rochester Institute of Technology	Office of the Registrar 27 Lomb Memorial Drive Rochester, NY 14623	2005	2007	MS Environmental Management and Health and Safety	2007
Rochester Institute of Technology	Office of the Registrar 27 Lomb Memorial Drive Rochester, NY 14623	2000	2005	BS Environmental Management and Health and Safety	2011
[redacted]					

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16. Licenses Held: List any and all licenses issued by a governmental or other regulatory entity.

Type of Professional License	License Number	Institution Granting License (Mailing Address, Phone, Email)	Effective Date	Expiration Date
N/A				

17. Employment History for the Past 10 Years: Start with MOST RECENT employment and include employment during the last 10 years. Attach additional copies of page 3, if necessary.

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Name of Employer:		Type of Business:
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:		Ending Date of Employment:
Name of Supervisor for Reference:		Supervisor Phone Number:
Position/Responsibilities:		
Reason For Departure:		

18. Offices Held or Ownership Interest in Other Businesses

List any affiliations you have been associated with in the past 10 years. Affiliation, for the purpose of this section, includes serving as either a board member, officer, manager, owner, partner, principal stakeholder, director or member of the organization. Organizations outside of New York State must also be disclosed.

Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ Yes ☐ No

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Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
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From: 2011 To: Present	Name and Address of Business: Ontario Midland Railroad,Corp., 48 Belden Ave., Sodus, NY 14551	
Business Type: Railroad	Office Held/Nature of Interest: Board member	☑ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable: N/A		

Appendix A:
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Type of Business:		
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		
Name of Employer:	Type of Business:	
Street Address:		
City:	State:	Zip Code:
Starting Date of Employment:	Ending Date of Employment:	
Name of Supervisor for Reference:	Supervisor Phone Number:	
Position/Responsibilities:		
Reason For Departure:		

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Have you owned or operated a business or had any affiliations with the operations of a business in New York, in the USA, or in other countries? ☑ Yes ☐ No

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Appendix A:
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From: 2014 To: Present	Name and Address of Business: New York State Department of Transportation Region, I-81 Viaduct Project, 333 East Washington St., Syracuse, NY 13202	
Business Type: State transportation agency	Office Held/Nature of Interest: I-81 Stakeholder Committee	☑ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable:		
From: To:	Name and Address of Business:	
Business Type:	Office Held/Nature of Interest:	☑ open ☐ closed ☐ proposed
Name, Address and Phone Number of Licensing/Regulatory Agency, if applicable: N/A		

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For individuals who have not previously served as a director/officer nor have had managerial experience, please include a statement below explaining how you are qualified to operate the proposed facility. This statement should include, but not be limited to, any relevant community/volunteer background and experience.

20. The undersigned certifies, under penalty of perjury, that the information contained herein or attached hereto is accurate, true, and complete in all material respects.

Signature:	Date: 6/1/15
Notary Name: JEFFREY B. SCHEER	Notary Registration Number:
Notary (Notary Must Affix Stamp or Seal) JEFFREY B. SCHEER Notary Public, State of New York No. 02SC5082709 Qualified in Onondaga County My Commission Expires July 28, 2017	Date: 6/1/2015

NYC

NEW YORK CANNA

Attachment A

Table of Contents

Introduction to Attachment A

Map identifying property locations

Property Descriptions:

- Manufacturing Site – 241 Farrell Road, Syracuse, NY
- Dispensing Facility Site @ 6518 Basile Rowe, East Syracuse, NY
- Dispensing Facility Site @ 345 Court Street, Binghamton, NY
- Dispensing Facility Site @ 105 Everett Road, Colonie, NY
- Dispensing Facility Site @ 73 Market Street, Yonkers, NY

Letters of Support

Attachment A

Selecting the manufacturing and dispensary sites for our operations took a great deal of thought. We wanted to ensure that the dispensary sites were geographically diverse, but still within a reasonable driving distance of population centers and the Manufacturing Facility near Syracuse. Further, we wanted to ensure that each dispensary site was located in an area from which it could serve a diverse population. We feel that we have accomplished both of these goals.

The Manufacturing Facility, located in the Town of Geddes (County of Onondaga), is centrally located within the State of New York. It is accessible to major highways, rail and air services. The location of the manufacturing facility in the Central New York region will provide a benefit to the local and regional area, further supporting New York State's efforts to revitalize and develop the Town of Geddes and surrounding areas. The County of Onondaga Executive, Joanne M. Mahoney, has provided her full support to our organization to locate and operate within Onondaga County, making New York Canna the only applicant that has received the support of the Onondaga County Executive. Further, the Town of Geddes Supervisor, Manny Falcone, has provided his support to New York Canna and the location of the Manufacturing Facility in the Town of Geddes.

The central location of the Manufacturing Facility, and the selection of the locations of the four (4) dispensaries, results in the following driving distances between the various sites:

Yonkers Dispensary – 253 miles

East Syracuse Dispensary – 14 miles

Binghamton Dispensary – 78 miles

Albany Dispensary – 147 miles

The further Dispensing Facility is located within a four (4) hour drive, ensuring that deliveries of our products (including the return trip to Geddes, New York) can be made to each dispensary location within one (1) day, or less.

The location of each of our Dispensing Facilities was chosen carefully as well. As mentioned above, the proximity to the manufacturing site was an initial consideration. However, we also considered the population that needed to be served with the Medical

Marijuana Program. We wanted to be certain that populations outside of the major New York population centers (i.e., New York City and Buffalo) would be well served and, further, that rural populations within a reasonable driving distance of each location could be served by the dispensaries. For this reason, we chose locations in Binghamton, Syracuse, Albany and Yonkers. Each of these locations will service areas with populations per square mile which are far less than those near major city centers.

We have received support from the Onondaga County Executive for the location of the dispensary within Onondaga County. We have also received support from the Mayor of Yonkers for locating the dispensary within the City of Yonkers.

I. Physical Location of Facilities:

A. Manufacturing: Our Manufacturing Facilities and primary business offices will be located in Syracuse, at 241 Farrell Road, Geddes, New York 13209, in Onondaga county.

B. Dispensaries: We have secured four (4) locations from which to operate our Dispensing Facilities:

1. Syracuse: Our flagship Dispensing Facility is to be located in East Syracuse, at 6518 Basile Rowe, East Syracuse, New York 13057, in Onondaga county.

2. Binghamton: 1166 Upper Front Street, Binghamton, New York 13905, in Broome county.

3. Albany: 105 Everett Road, Albany, New York 12205, in Albany.

4. Yonkers: 1291 Saw Mill River Road, Yonkers, New York 10710, in County of Westchester.

II. Buildings/Facilities:

Each of our buildings, and the property on which they are located, is appropriate for the use(s) for which we are proposing:

A. Manufacturing: Our state of the art manufacturing facility will be located in the Town of Geddes. The property is centrally located with easy highway access to Interstates 690 (east and west) and 90 (New York State Thruway). The building consists of approximately 197,370 square feet of manufacturing, production, storage and office space. The building, and adjoining parking lot and property is fully fenced, providing the organization with the secured

perimeter that is necessary for the operation of a Registered Organization. Currently, the building interior is an open area, which will permit us to build-out the space to our exact specifications, allowing sufficient areas for all aspects of our operation. Utilities that serve the property include electric from the Village of Solvay Municipal Power and natural gas (8" medium pressure line; 35,000cfh). Attached is additional information concerning the Manufacturing Facility.

B. Dispensaries:

1. East Syracuse: The East Syracuse dispensary is a 4,800 square foot building situated on 0.65 acres of land. The recently renovated building is located approximately 1 mile from Interstate 690 (east and west). The building is located in an office park that will afford consumers the ability to discretely access the retail operation. Attached is additional information concerning the East Syracuse dispensary.

2. Binghamton: The Binghamton dispensary is a 1,664 square foot building situated on 0.3 acres of land. The building is located approximately ½ miles from Interstate 81 (north and south) and serves a population of approximately 82,000 within a 5-mile radius and almost 200,000 within Broome County. This location will serve both an urban, and a rural population base. Attached is additional information concerning the Binghamton dispensary.

3. Albany: The Albany dispensary is conveniently located within ½ mile of Interstate 90 in the Town of Colonie, New York. The building is a 3,256 square foot stand-alone medical building in located on 1.06 acres. The building is located on the Everett Road medical corridor, on which a number of professional offices are located, including pain management, glaucoma services, physical therapy and others. This building can be expanded, if necessary (the Town of Colonie code will permit a larger building). Attached is additional information concerning the Albany dispensary.

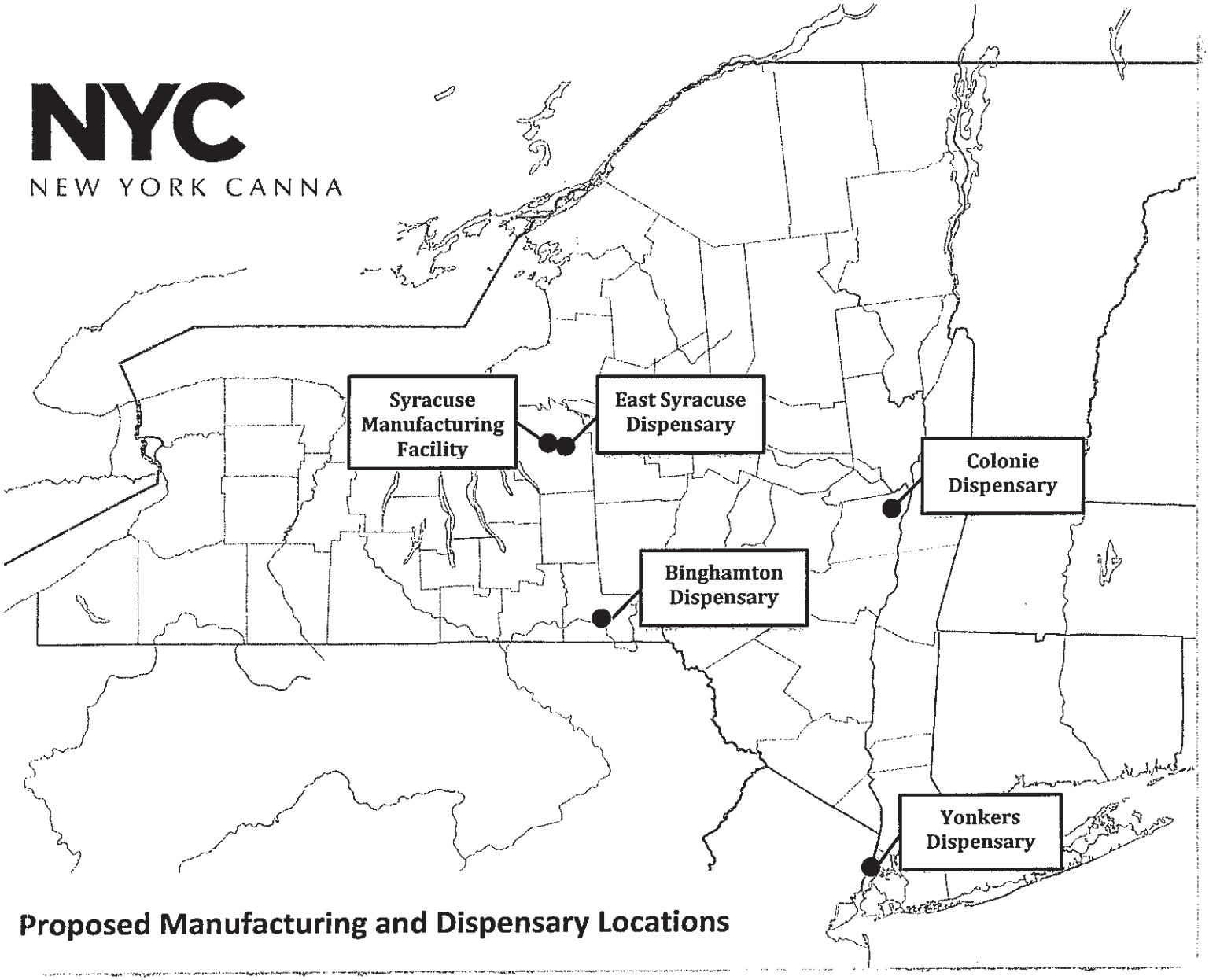
4. Yonkers: The Yonkers dispensary is a 6,000 square foot building. The building is completely sprinkled and handicapped compliance, including a commercial wheelchair lift, ensuring accessibility for all consumers. The building is conveniently located within minutes of the Saw Mill Parkway. Attached is additional information concerning the Yonkers dispensary.

III. Attachments:

The attached documents describe, in detail, each of our proposed facilities. We submit this narrative and the attachments as identification of all real property, building, and facilities that New York Canna intends to use in the manufacturing and dispensing activities proposed elsewhere in this Application.

NYC

NEW YORK CANNA



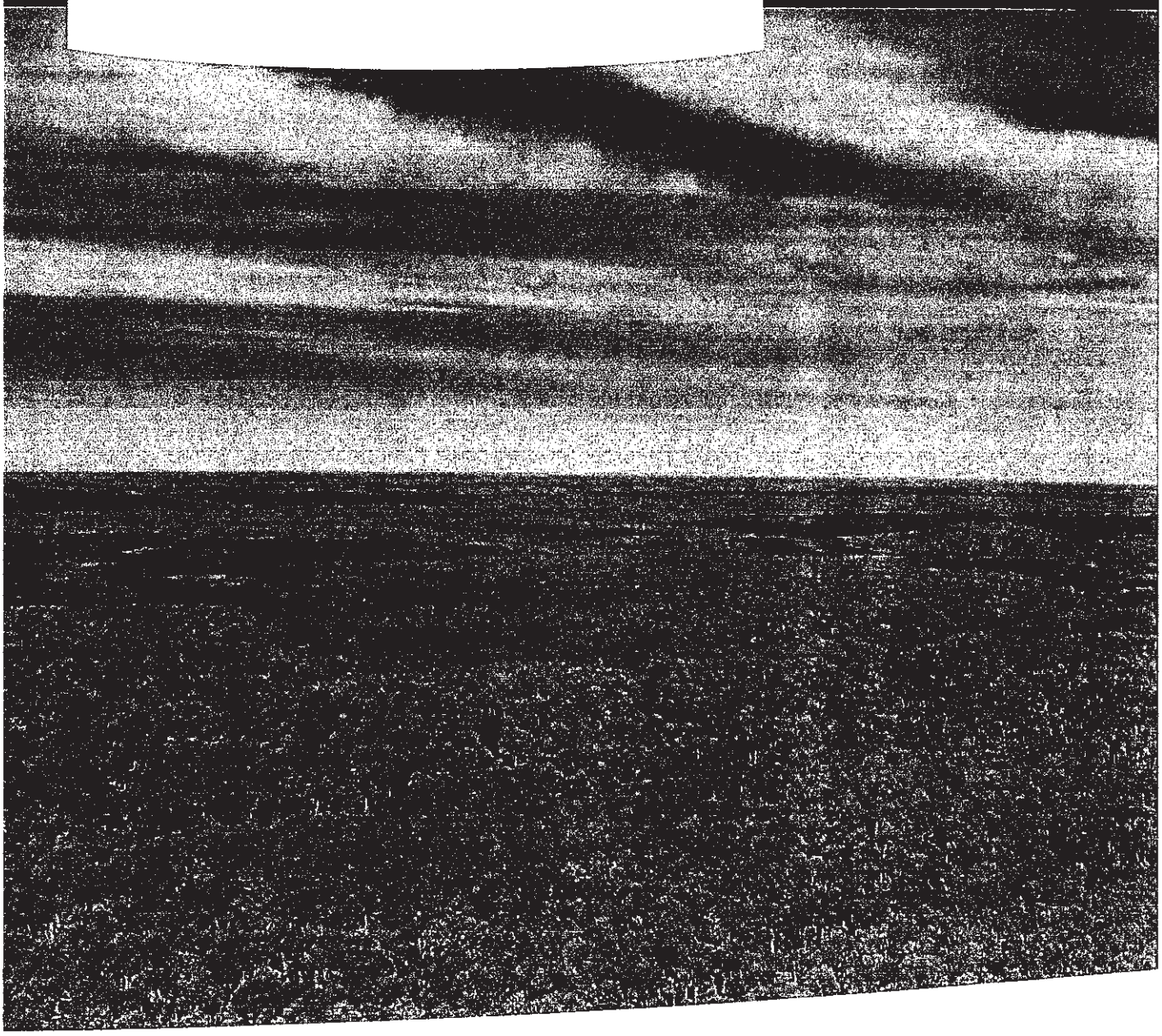
Proposed Manufacturing and Dispensary Locations

SITE SUMMARY REPORT

PREPARED FOR

NYC
NEW YORK CANNA

JUNE 2, 2015



CUSHMAN & WAKEFIELD®

Pyramid Brokerage Company

INDEPENDENTLY OWNED AND OPERATED

SITE SUMMARY REPORT

TABLE OF CONTENTS

241 Farrell Road, Syracuse, New York

6518 Basile Rowe, East Syracuse, New York

1166 Upper Front Street, Binghamton, New York

105 Everett Road, Colonie, New York

241 Farrell Road
Syracuse, NY

Area Overview

Flyer

Location Map

Property Aerial

Location Aerial

Demographics

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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6518 Basile Rowe
East Syracuse, NY

Area Overview

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1166 Upper Front St.

Binghamton, NY

Area Overview

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105 Everett Rd Colonie, NY

Area Overview

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SITE SUMMARY REPORT

PREPARED FOR

NYC
NEW YORK CANNA

JUNE 2, 2015

CUSHMAN & WAKEFIELD®

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INDEPENDENTLY OWNED AND OPERATED

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6518 Basile Rowe
East Syracuse, NY

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1166 Upper Front St.

Binghamton, NY

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105 Everett Rd Colonie, NY

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OFFICE OF THE MAYOR
MIKE SPANO

May 8, 2015

Dr. Patrick Harvey, RPh
New York Canna, Inc.
381 Fifth Avenue, 5th Floor
New York, New York 10016

Dear Dr. Harvey:

Please accept this letter as my full support of New York Canna's application to open and operate a medical marijuana dispensary in the City of Yonkers.

The City is ready for a dispensary and is actively working with you to find a suitable location within our City. I believe that establishing your company's operation in Yonkers will advance Governor Cuomo's goal of implementing a comprehensive, safe and effective medical marijuana program that meets the needs of New Yorkers with serious conditions, while simultaneously protecting public health and safety, and growing our economy.

Please do not hesitate to contact my office if I may be of any further assistance.

Sincerely,

MIKE SPANO
Mayor

CITY HALL • 40 SOUTH BROADWAY • YONKERS, NY 10701 • TEL. 914.377.6300 / FAX 914.377.6048 • EMAIL: MIKE.SPANO@YONKERSNY.GOV
WWW.YONKERSNY.GOV

CENTRAL and NORTHERN NEW YORK
BUILDING and CONSTRUCTION TRADES COUNCIL
107 Twin Oaks Drive
Syracuse, NY 13206
Phone (315) 437-7397
Fax (315) 437-2951

June 4th 2015

To Whomever It May Concern,

On behalf of thousands of working families, the Central & Northern New York Building Trades wholeheartedly offer their support for the proposed NY CANNA project.

NY CANNA is dedicated to utilizing a highly skilled and diverse workforce in its construction. Such a commitment provides a much-needed boon to the regional economy while simultaneously ensuring availability of the capable workers required for such an intricate project. After completion, the facility will continue to provide economic benefits to the surrounding community by employing a local workforce. Moreover, NY CANNA will offer an essential, humanitarian service. It will produce a product, medical marijuana, which can greatly ease the pain of those suffering from debilitating medical conditions.

The Building Trades, therefore, unreservedly offer their endorsement of the NY CANNA project in its permit application to New York State.

Sincerely,

Gregory Lancette
President
Central & Northern New York Building Trades

CENTERSTATE
CORPORATION FOR
ECONOMIC OPPORTUNITY

June 4, 2015

Hon. Andrew M. Cuomo
Governor of New York
The Executive Chamber
The Capitol
Albany, NY 12240

Dear Governor Cuomo:

As president of CenterState CEO, representing businesses across a twelve-county region, I am writing to express my support for the application submitted by New York Canna to receive a registered organization designation under New York's new Medical Marijuana Law. To my knowledge, they are the only applicant proposing both a production facility and a dispensary in Onondaga County.

New York Canna proposes to repurpose 500,000 square feet of presently unused industrial space in the Town of Geddes and to locate a dispensary in the Village of East Syracuse. The principals of this organization are committed to the medical model of the law. They have assembled an application which addresses the marshalling of technical and pharmaceutical capabilities coupled with a detailed business plan. They have taken great care to arrange for security measures and sensitivity to the communities where both production and dispensing would be undertaken.

On a broader scale, and in keeping with the mission of our organization, I would argue that Onondaga County is an ideal location for a production facility and dispensary. The confluence of the Thruway and I-81, in Syracuse, makes our community easily accessible to the entire Central New York community. Our extraordinary network of hospitals, physicians and other care providers already makes us a vital upstate hub for medical care and a logical choice for production and dispensing of this addition to the therapeutic and palliative arsenal for health care providers.

On behalf of CenterState CEO, I urge your careful consideration and support for the application of New York Canna, Inc.

Sincerely,

Robert M. Simpson
President

2507472.1 6/2/2015

NYC

NEW YORK CANNA

Attachment B

Table of Contents

Cultivation Equipment

Extraction Equipment

Medical Marihuana Laboratory Testing Equipment

Pharmaceutical Finished Product Equipment

Dispensing Equipment

Security and Safety Equipment

Attachment B - Cultivation Equipment List

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Tools

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Nutrient

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Pesticides

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

GGS Structures Inc.

May 28, 2015

NYC Equipment List

Irrigation

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Reverse Osmosis System:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

ECA Sanitizing System:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Fertilizer Mixing Pump Station and Nutrient Unit:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Stock tanks:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Benches:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Lighting:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Computer Controls:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

CHEMISTRY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

MICROBIOLOGY

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Extraction Equipment

I. Extraction Equipment:

Redacted pursuant to N.Y. Public Officers Law, Art. 6

A. Primary Oil Extraction Equipment: [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B. Primary Oil Extraction Equipment: [redacted]

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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II. Extraction Equipment: Dry Mulching Grinding

Redacted pursuant to N.Y. Public Officers Law, Art. 6

II. Extraction Equipment: Equipment Other Than Extractor

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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NYC

NEW YORK CANNA

Medical Marihuana Laboratory Testing Equipment

NYCCA Compliant

Equipment List

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HPLC	2
Microscopes	3
Preparation and Validation Equipment	3

Gas Chromatograph(s) / Liquid Chromatography-Mass Spectrometry: (tests: CBDV, THCV, CBC, CBD, delta 8 and 9 THC, CBG, CBN, pesticides, metals, etc.)

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HPLC (five components; tests: CBDA, CBC, delta 8 and 9 THC,CBG, THCA)

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Microscopes

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Preparation and Validation Equipment

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

New York Canna				
Attachment B, Equipment List, Dispensing Facility				
Name of Equipment	**Description**	**Purpose of Equipment**	**Special Considerations**	**Location**
Security				

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location
[redacted]				
Limited Access area -dispensing.				

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Restricted Access Area - Vault				
[redacted]				

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

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Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Name of Equipment	Description	Purpose of Equipment	Special Considerations	Location

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC

NEW YORK CANNA

Attachment C

Table of Contents

Property Description, Manufacturing Site – 241 Farrell Road, Syracuse, NY

Property Description, Dispensing Facility Site @ 6518 Basile Rowe, East Syracuse, NY

Property Description, Dispensing Facility Site @ 345 Court Street, Binghamton, NY

Property Description, Dispensing Facility Site @ 105 Everett Road, Colonie, NY

Property Description, Dispensing Facility Site @ 73 Market Street, Yonkers, NY

Attachment C

New York Canna possesses the right to use the land and buildings upon which we are proposing to locate each of our facilities.

I. **Manufacturing:** Our Manufacturing Facilities and primary business offices will be located in Syracuse, at 241 Farrell Road, Geddes, New York 13209, in the County of Onondaga. This facility is secured by a lease by and between New York Canna, Inc. and Widewaters Farrell Road II Company, LLC, dated June 4, 2015 (see attached Exhibit I). The language required by 10 NYCRR § 1004.6(b)(9) is included on page 20, paragraph 42 of the lease.

II. **Syracuse Dispensing Facility:** Our flagship Dispensing Facility is to be located in Syracuse, at 6518 Basile Rowe, East Syracuse, New York 13057, in the County of Onondaga. This facility is secured by a lease by and between New York Canna, Inc. and Basile Family Limited Partnership, dated June 3, 2015 (see attached Exhibit II). The language required by 10 NYCRR § 1004.6(b)(9) is included on page 12, paragraph 41 of the lease.

III. **Binghamton Dispensing Facility:** Located at 1166 Upper Front Street, Binghamton, New York 13905, in the County of Broome. This facility is secured by a contract to purchase by and between New York Canna, Inc. and Jonathan and Dina Layish, dated June 4, 2015 (see attached Exhibit III).

IV. **Albany Dispensing Facility:** Located at 105 Everett Road, Albany, New York 12205, in the County of Albany. This facility is secured by a contract for the purchase and sale of real estate by and between Dr. Victoria and New York Canna, Inc., dated June 1, 2015 (see attached Exhibit IV).

V. **Yonkers Dispensing Facility:** Located at 1291 Saw Mill River Road, Yonkers, New York 10710, in the County of Westchester. This facility is secured by an Option to Lease, by and between New York Canna, Inc. and Chad Bowen, dated June 5, 2015 (see attached Exhibit V), together with a letter of intent from Rand Commercial Services, dated May 29, 2015 (see attached Exhibit VI). The language required by 10 NYCRR § 1004.6(b)(9) is included in Paragraph 2.B of Exhibit V.

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT III

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT IV

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

Exhibit A

Property Description

Exhibit B

Lease Terms

EXHIBIT VI

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Attachment E

New York Canna, Inc.:

1. State of Formation: New York
2. Date of Formation: April 24, 2015
3. Certificate of Incorporation: Attached
4. Bylaws: Attached
5. Shareholders:
    a. New Amsterdam Distributors, LLC – 75 common voting shares (75%)
    b. EPMMNY, LLC – 25 common voting shares (25%)
6. Board of Directors:
    a. James Esposito
    b. Dominic Falcone
    c. John Vavalo
    d. Michael Cooper
    e. Scott Bergin
    f. Malcolm Morrison
7. Officers:
    a. President: John Vavalo
    b. Vice President: Scott Bergin
    c. Treasurer: James Esposito
    d. Secretary: Dominic Falcone

Shareholder #1: New Amsterdam Distributors, LLC (75%):

1. State of Formation: New York
2. Date of Formation: October 28, 2013
3. Articles of Organization: Attached
4. Operating Agreement: Attached

5. Members:
    a. John Vavalo – [redacted]
    b. Dominic Falcone – [redacted]
    c. James Esposito – [redacted]
    d. Dino Dixie – [redacted]
    e. Dennis DuVal – [redacted]
    f. Patrick Harvey – [redacted]

6. Board of Managers:
    a. John Vavalo
    b. Dominic Falcone
    c. James Esposito

Shareholder #2: EPMMNY, LLC (25%):

1. State of Formation: New York

2. Date of Formation: May 19, 2015

3. Articles of Organization: Attached

4. Operating Agreement: Attached

5. Members (Member-Managed):
    a. Malcolm Morrison – [redacted]
    b. David Feder – [redacted]
    c. Phil Hague – [redacted]
    d. EPMM, LLC – 30%
        i. State of Formation: Colorado
        ii. Date of Formation: May 14, 2014
        iii. Article of Organization: Attached
        iv. Operating Agreement: Attached
        v. Sole Member: Scott Bergin
    e. Mana Labs, LLC – 30%
        i. State of Formation: California
        ii. Date of Formation: May 2, 2014
        iii. Articles of Organization: Attached
        iv. Operating Agreement: Attached
        v. Sole Member: Ian de Quiorez

NEW YORK CANNA ORGANIZATIONAL CHART

MANAGEMENT

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NEW YORK CANNA ORGANIZATIONAL CHART

OWNERSHIP

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NEW YORK CANNA CERTIFICATE OF INCORPORATION

DRAWDOWN
ACCOUNT #42

CERTIFICATE OF INCORPORATION 150424000381

of

NEW YORK CANNA, INC.

Under Section 402 of the Business Corporation Law

The undersigned, being a natural person over eighteen years of age, for the purpose of forming a corporation under Section 402 of the Business Corporation Law, affirms the information set forth in this Certificate under the penalties of perjury:

FIRST: The name of the corporation is:

New York Canna, Inc.

SECOND: The purposes for which this corporation is formed are to engage in any lawful acts or activities for which corporations may be organized under the Business Corporation Law of the State of New York, provided that the corporation is not formed to engage in any act or activity requiring the consent or approval of any state official, department, board, agency or other body without such consent or approval first being obtained.

THIRD: The office of the corporation shall be located in New York County, New York.

FOURTH: The aggregate number of shares which the corporation shall have authority to issue is 100,000 shares with $.001 par value, all of which shall be of one class.

FIFTH: The Secretary of State of the State of New York is designated as the agent of the corporation upon whom process against it may be served. The post office address to which the Secretary of State shall mail a copy of any process served against the corporation is: 381 Fifth Ave, 5th Floor, New York, New York 10016.

2480183.1

SIXTH: Directors of the corporation shall not be personally liable to the corporation or its shareholders for monetary damages because of their breach of duty as directors unless such liability is based upon a judgment or other final adjudication adverse to the director which establishes (i) that the director's acts or omissions were in bad faith or involved intentional misconduct or a knowing violation of law, (ii) that the director personally gained in fact a financial profit or other advantage to which the director was not legally entitled, or (iii) that the director's acts violated Section 719 of the New York Business Corporation Law. If the New York Business Corporation Law is amended to authorize the further elimination or limitation of the liability of directors, the liability of a director of the corporation, in addition to the limitation on personal liability established by this Certificate shall be further limited to the fullest extent permitted by the amended New York Business Corporation Law.

IN WITNESS WHEREOF, I have signed this Certificate of Incorporation on this 23rd day of April, 2015, and affirm under the penalties of perjury that the statements contained in this Certificate of Incorporation are true.

Jeffrey B. Scheer, Incorporator
Bond, Schoeneck & King, PLLC
One Lincoln Center
Syracuse, New York 13202

NEW YORK CANNA BYLAWS

AMENDED AND RESTATED

BYLAWS

OF

NEW YORK CANNA, INC.

A New York Corporation

Adopted at a Special Meetings of the
Board of Directors and of the Stockholders

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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NEW AMSTERDAM DISTRIBUTORS, LLC ARTICLES OF ORGANIZATION

ARTICLES OF ORGANIZATION
OF

NEW AMSTERDAM DISTRIBUTORS, LLC
(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

Filed by: FRANCIS MALARA, ESQ
(Name)
235 MAIN STREET
(Mailing address)
WHITE PLAINS, NY 10601
(City, State and ZIP code)

NOTE: This form was prepared by the New York State Department of State for filing articles of organization for a domestic limited liability company. It does not contain all optional provisions under the law. You are not required to use this form. You may draft your own form or use forms available at legal stationery stores. The Department of State recommends that legal documents be prepared under the guidance of an attorney. The certificate must be submitted with a $200 filing fee made payable to the Department of State.

New York State Department of State
Division of Corporations, State Records
and Uniform Commercial Code
One Commerce Plaza, 99 Washington Avenue
Albany, NY 12231
www.dos.ny.gov

(This form must be printed or typed in black ink)

ARTICLES OF ORGANIZATION OF

NEW AMSTERDAM DISTRIBUTORS, LLC
(Insert name of Limited Liability Company)

Under Section 203 of the Limited Liability Company Law

FIRST: The name of the limited liability company is: NEW AMSTERDAM DISTRIBUTORS, LLC

SECOND: The county within this state in which the office of the limited liability company is to be located is: WESTCHESTER COUNTY

THIRD: The Secretary of State is designated as agent of the limited liability company upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process against the limited liability company served upon him or her is:

148 RAMSEY AVENUE, YONKERS NY 10701

Francis J Malara
(signature of organizer)

Francis J Malara ESQ
(print or type name of organizer)

DOS-1336 (Rev. 2/12)

NEW AMSTERDAM DISTRIBUTORS, LLC OPERATING AGREEMENT

OPERATING AGREEMENT OF

NEW AMSTERDAM DISTRIBUTORS LLC

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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EPMMNY, LLC ARTICLES OF ORGANIZATION

150519000576

ARTICLES OF ORGANIZATION

OF

EPMMNY, LLC

Under Section 203 of the Limited Liability Company Law

FIRST. The name of the limited liability company is EPMMNY, LLC.

SECOND. The county within this state in which the limited liability company is to be located is Dutchess.

THIRD: The secretary of state is designated as agent of the limited liability company upon whom process against it may be served. The address within or without this state to which the Secretary of State shall mail a copy of any process accepted on behalf of the limited liability company served upon him or her is: 6 Trails End, Hopewell Junction, New York 12533.

FOURTH: The name and street address in this state of the registered agent upon whom and at which process against the limited liability company may be served is: Thomas D. McQuade, Jr., 6 Trails End, Hopewell Junction, New York 12533.

IN WITNESS WHEREOF, the undersigned has executed these Articles of Organization on the date below.

LegalZoom.com, Inc., Organizer

Date: May 19, 2015

/s/ Cheyenne Moseley
By: Cheyenne Moseley, Assistant Secretary
9900 Spectrum Drive
Austin, TX 78717

150519000576

OPERATING AGREEMENT
EPMM Colorado, llc.
A Colorado Limited Liability Company
Redacted pursuant to N.Y. Public Officers Law, Art. 6

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OPERATING AGREEMENT
EPMM Colorado, llc.
A Colorado Limited Liability Company

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OPERATING AGREEMENT

OF

MANA LABS, LLC

A California Limited Liability Company

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OPERATING AGREEMENT

OF

MANA LABS, LLC

A California Limited Liability Company

Name Searched:

Mana Labs, LLC

Request:

Filing Organizational Documents

Jurisdiction: California - Secretary of State

Thru Date: 05/02/2014

Results: File # 201412610045

Reasonable care is exercised in the completion of all requests, however, as the responsibility for the accuracy of the public records rests with the filing officer, we accept no liability for the report contained herein.

LLC-1	Articles of Organization of a Limited Liability Company (LLC)

201412610045

To form a limited liability company in California, you can fill out this form, and submit for filing along with:

- A **$70** filing fee.
- A separate, non-refundable **$15** service fee also must be included, if you **drop off** the completed form.

Important! LLCs in California may have to pay a minimum $800 yearly tax to the California Franchise Tax Board. For more information, go to https://www.ftb.ca.gov.

LLCs may not provide "professional services," as defined by California Corporations Code sections 13401(a) and 13401.3.

Note: *Before submitting the completed form*, you should consult with a private attorney for advice about your specific business needs.

FILED
Secretary of State
State of California
MAY 02 2014

This Space For Office Use Only

For questions about this form, go to *www.sos.ca.gov/business/be/filing-tips.htm.*

LLC Name (List the proposed LLC name exactly as it is to appear on the records of the California Secretary of State.)

① MANA LABS, LLC

Proposed LLC Name

The name **must** include: LLC, L.L.C., Limited Liability Company, Limited Liability Co., Ltd. Liability Co. or Ltd. Liability Company; and **may not** include: bank, trust, trustee, incorporated, inc., corporation, or corp., insurer, or insurance company. For general entity name requirements and restrictions, go to www.sos.ca.gov/business/be/name-availability.htm.

Purpose

② The purpose of the limited liability company is to engage in any lawful act or activity for which a limited liability company may be organized under the California Revised Uniform Limited Liability Company Act.

LLC Addresses

③ a. [redacted] [redacted]

Initial Street Address of Designated Office in CA - Do not list a P.O. Box *City (no abbreviations)* *State* *Zip*

b. _____

Initial Mailing Address of LLC, if different from 3a *City (no abbreviations)* *State* *Zip*

Service of Process (List a California resident or a California registered corporate agent that agrees to be your initial agent to accept service of process in case your LLC is sued. You may list any adult who lives in California. You may **not** list an LLC as the agent. **Do not** list an address if the agent is a California registered corporate agent as the address for service of process is already on file.)

④ a. Ian deQueiroz

Agent's Name

b. [redacted] [redacted]

Agent's Street Address (if agent is not a corporation) - Do not list a P.O. Box *City (no abbreviations)* *State* *Zip*

Management (Check only one.)

⑤ The LLC will be managed by:

☑ One Manager ☐ More Than One Manager ☐ All Limited Liability Company Member(s)

This form must be signed by each organizer. If you need more space, attach extra pages that are 1-sided and on standard letter-sized paper (8 1/2" x 11"). All attachments are made part of these articles of organization.

▶ _____ Todd Winter, Esq.

Organizer - Sign here *Print your name here*

Make check/money order payable to: **Secretary of State**	***By Mail***	***Drop-Off***
Upon filing, we will return one (1) uncertified copy of your filed document for free, and will certify the copy upon request and payment of a $5 certification fee.	Secretary of State Business Entities, P.O. Box 944228 Sacramento, CA 94244-2280	Secretary of State 1500 11th Street., 3rd Floor Sacramento, CA 95814

Operating Agreement

EPMMNY, LLC,
a New York Limited Liability Company

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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NEW YORK CANNA

Executive Organizational Chart

Redacted pursuant to N.Y. Public Officers Law, Art. 6

NYC

NEW YORK CANNA

Operations Organizational Chart

NYC

NEW YORK CANNA

Attachment F

UNITED STEELWORKERS

UNITY AND STRENGTH FOR WORKERS

District 4

John E. Shinn
District Director

Richard J. Knowles
Sub-District Director

March 26, 2015

Ann Marie Taliercio, President
Central New York Area Labor Federation
615 West Genesee St.
Syracuse, NY 13204

Dear Ann Marie:

I wanted to thank you for your input and inform you that we were successful in signing a Labor Peace Agreement with New York Canna (NYC) which includes card check neutrality and binding arbitration if a first contract cannot be reached.

NYC is one of several companies seeking to be awarded one of the five who will be licensed by the State of New York to manufacture Medical Marijuana. Last year the Governor signed into law the Compassionate Care Act establishing the guidelines for the Cannabis Industry to operate in the State.

NYC has committed to open and operate a manufacturing plant in Central New York along with four distribution facilities throughout upstate New York. This is a great opportunity for local job expansion within a new industry that recognizes Labor. We believe the NYC has the right moral character to succeed in a safe and healthy manner.

NYC has committed to work with us (Labor) in job recruitment (displace workers) for needed positions. As an example they are reaching out in a joint effort to the workforce at Dakin McQuay whose plant is scheduled to close and help with skill assessments for job placement.

NYC has also committed to build/build out their manufacturing plant with local labor and have agreed to do a Project Labor Agreement with the Trades. They have picked a site and are in the process of securing the terms of an Agreement.

NYC will have to submit an application by May 27 to the State for licensing approval. If awarded one of the five state licenses they will have 180 days to be up and running their plant and facilities operations.

We will be working with NYC to help with this process and would surly appreciate any help or assistance the ALF and Labor community can offer.

Best regards,

Richard J. Knowles

Richard Knowles
Upstate New York Sub-District Director
USW, AFL-CIO

cc: John Shinn, Director, USW District 4
Frank Hotchkiss, Legislative Director, USW District 4
John Vavalo, Director of E & I, NYC

LABOR PEACE AGREEMENT

This Agreement is between New York Canna, Inc. (the "Employer") and the United Steel, Paper and Forestry, Rubber, Manufacturing, Energy, Allied Industrial and Service Workers International Union, AFL-CIO, CLC, (hereinafter referred to as the "Union"). For the purposes of this Agreement, the Company shall include any entity which the Company controls, is controlled by the Company or is under common control with the Company.

WHEREAS, the parties wish to ensure that employees who are hired to perform production and maintenance work in the Facility ("Employees") have the opportunity to express their desire whether or not to be represented for purposes of collective bargaining in an atmosphere free from intimidation, restraint, coercion or discrimination; and

WHEREAS, the parties wish to resolve any disputes related to any organizing drive and representational issues amicably, without resort to litigation or proceedings before the National Labor Relations Board ("NLRB"), Courts, or other governmental agency; and

WHEREAS, the parties have exchanged good and valuable consideration the receipt of which is hereby acknowledged.

NOW, THEREFORE, the parties agree as follows:

1. The bargaining unit shall include all full-time and regular part-time Production and Maintenance employees, but excluding (i) any office employees; (ii) security employees; (iii) supervisory employees, confidential employees, owners and management personnel and any other employees ("Bargaining Unit").

2. The parties acknowledge and agree that the Bargaining Unit described herein is appropriate.

3. The parties mutually recognize that the National Labor Relations Act ("NLRA") guarantees employees the right to form or select any labor organization to act as their exclusive representative for purposes of collective bargaining with their employer, or to refrain from such activity. Both the Union and Employer agree to respect the NLRA Section 7 rights of employees and neither party shall, or be required to, act in contravention of those rights.

4. Prior to the start of initial hiring, the Employer shall notify the Union of its intent to hire and the positions that it seeks to fill and the qualifications therefore. Any interest demonstrated by an applicant in joining the Union shall not constitute grounds for discriminatory or disparate treatment nor adversely impact the applicant's ability to be hired by the Employer. The Employer shall be the sole judge of an applicant's suitability, competence and qualifications to perform the work of any job to be filled.

5. There shall be no lockouts of the Employees by the Employer, and the Union shall not cause any disruption of work by the Employees, corporate campaigns or other economic action against the Facility or the business of the Employer, or of operations during organizing activity, including any picketing, strikes, slow downs, work stoppages, sympathy strikes, sit ins, refusal to handle merchandise or similar interference with operations.

6. The Employer specifically agrees that its supervisory employees, its agents and/or representatives will not interfere in any way with the Section 7 rights of the Employees and will not act or make any statement that the Employer opposes unionization nor make any disparaging statements about the reputation of any union or any of its officers. The Union and its representatives will not coerce or threaten any Employee in an effort to obtain authorization cards.

7. The Union will begin its organization of the employees at any time upon notice to the Employer. The Union will be permitted to have its organizers or representatives enter the premises to meet with Employees during the Employees' non-working times (for example, before work, after work, and during shift changes, meals and breaks) and /or during such other periods as the parties may mutually agree upon in writing. The Union may engage in organizing efforts in non-public areas such as the Employee meal rooms and locker rooms or such other non-public areas as the parties may mutually agree upon.

8. Within ten (10) business days following receipt of the above described written notice of intent to organize Employees, the Employer will furnish the Union with a complete list of the Employees in the Bargaining Unit, showing their job classifications and departments, work schedules, wage rates, benefits, and the home addresses and telephone numbers of Employees. Thereafter, the Employer will as soon as practicable, provide updated lists, upon written request, to the Union for the duration of the organizing drive.

9. At any time after the commencement date of the Union 's organizing effort, the Union may request that a card count be conducted by the Arbitrator. The Union shall initiate that process by advising the Employer in writing ("Notification Letter") that it represents a majority of the full-time and regular part-time employees employed by the Employer in the Bargaining Unit sought by it. The date of the Union's Notification Letter shall be the date ("Notification Date") used for purposes of determining the composition of the list of the names and the Employees to be furnished by the Employer to the Arbitrator.

10. The parties will mutually select an Arbitrator to conduct card counts to determine whether the Union has obtained valid cards from a majority of the Employees in the Bargaining Unit designating the Union as their representative for purposes of collective bargaining ("Cards") and to certify the results of such card count in accordance with the procedure set forth herein.

11. At any time after the delivery of the Notification Letter by the Union to the

RJK JMC

Employer indicating its majority status, the parties shall notify the Arbitrator in writing that his/her services are requested for purposes of conducting a card count. The Union shall confirm to the Employer that the Arbitrator has retained jurisdiction of the card count proceeding. As soon as practicable thereafter, but in any event no later than seven (7) days after the date of the Union's written card count request made to the Arbitrator, the Union shall furnish to the Arbitrator the Cards it has obtained from the Employees, and the Employer shall furnish the Arbitrator the list containing the names, and job classifications of Employees employed as of the date of the Union's Notification Letter (with a copy to the Union) together with copies of official employment documents containing the signatures of each of the Employees (e.g. Forms 1-9, Form W4 or similar documents).

12. Within forty-eight (48) hours after his receipt of the documents described above, the Arbitrator shall conduct a card count by checking the Cards against the list of Employees and by comparing the Employees' names and signatures appearing on the Cards to the names and signatures appearing on the employment documents supplied to the Arbitrator by the Employer. At the conclusion of the card count, the Arbitrator shall inform the parties of the results of his count and shall certify in writing that either the Union has or has not been selected by a majority of eligible Employees as their collective bargaining representative. Both the Employer and the Union agree to abide by the determinations made by the Arbitrator regarding any challenges either to the validity of the Cards, the eligibility of Employees, the appropriateness of the unit and/or to the majority status of the Union.

13. If, after the conduct of the card count(s), the Union fails to be certified by the Arbitrator as the majority representative of the eligible Employees, this Agreement shall be deemed to continue in full force and effect, unless it is otherwise terminated in writing by mutual agreement of the parties.

14. If the Union is certified as the majority representative, the Employer shall recognize the Union and the Employer and the Union will promptly and expeditiously commence negotiations at a mutually agreeable time and place, for a collective bargaining agreement. In the event the parties are unable to promptly reach an agreement following certification by the Arbitrator, the parties agree that the Arbitrator may act as a mediator to assist the parties with resolving any disputes regarding the terms of the collective bargaining agreement.

15. Any costs incurred by the parties in instituting proceedings before the Arbitrator, or defending against same, shall be the responsibility of the respective party. Costs charged by the Arbitrator shall be shared and paid equally by the parties.

16. Any award or decision issued by the Arbitrator, written or otherwise, shall be final and binding upon the parties, and shall be enforceable in the United States District Court for the Northern District of New York.

RJK JMC

17. All complaints, disputes or grievances arising between the parties hereto involving questions or interpretation or application of any clause of this Agreement or the matters discussed herein, or any acts, conduct or relations between the parties, directly or indirectly, which shall not have been adjusted by and between the parties involved shall be referred to Arbitrator, and the decision of the Arbitrator shall be final and binding upon the parties hereto.

18. In addition to and without limiting any of the foregoing, the Employer and Union also agree that the Arbitrator shall be empowered to issue such remedial orders as are consistent with applicable NLRB standards.

19. With regard to this Agreement and any and all matters discussed herein, the parties knowingly and voluntarily waive the right to file any petitions, charges, objections, or complaints before any court or governmental agency, including, but not limited to, any petition, objection, or unfair labor practice charge before the Board, and agree that the Arbitrator shall be the exclusive forum in which to resolve any such dispute.

20. If any provision or portion of this Agreement is deemed unlawful, invalid or unenforceable, it shall not affect the remainder of this Agreement and the parties shall promptly meet to negotiate substitute provisions, which effectuate the intent of the parties. Failing agreement the matter shall be submitted to the Arbitrator for final and binding resolution.

21. Unless mutually agreed to in writing by the parties, all terms of this Agreement, including, but not limited to, those relating to the provision of information, access and neutrality, shall continue uninterrupted until replaced by a collective bargaining agreement(s) covering the Bargaining Unit Employees.

22. The parties hereto are fully authorized to enter into and execute this Agreement.

Agreed and Accepted:

Date: March 16, 2015

Richard L. Knowles

Union USW

Name: Richard J. Knowles

Title: Sub-District Director

Date: 3/17/15

Employer MYCanna

Name: John Vavalo

Title: Director / Principal Engineering and Extraction

Labor Peace Agreement

This LPA will be in effect until 8/31/2018

The Labor Peace Agreement is entered into by and between UFCW District Union Local One (Union) and New York Canna (NYCANNA) (Employer).

Whereas, The Employer intends to submit an application to the New York State Department of Health to be licensed to manufacture and dispense medical marijuana, pursuant to Article 33 of the New York Public Health Law (PHL), one of the requirements of which is that the Employer document that it has entered into a PLA as required by PHL 3365{1}.

Whereas, Union is a bona fide labor organization representing employees employed by various employers in New York State for purposes of collective bargaining such employees terms and conditions of employment under the National Labor Relations Act (NLRA).

Whereas the Union is attempting or intends to attempt to represent the employer's employees for purposes of collectively bargaining their terms and conditions of employment under the NLRA.

THEREFORE the Employer and Union agree to the following;

Employer will ensure that its to-be-hired employees will enjoy a neutral atmosphere in which to make their decision about joining the union

Employer will use the sample contracts received from other UFCW local unions as a template for bargaining any collective bargaining agreement located at the plant and at the yet to be determined dispensary locations

Employer and the Union will work together to make the facility and the dispensary locations great places to work, with livable wages, good benefits and great working conditions. During the term of this LPA, the Union and its members will not engage in any picketing, work stoppages, boycotts or other economic interference of the Employers business during the duration of the labor agreement.

FOR EMPLOYER

John Vavalo
Principal, NYCANNA

FOR UNION:

Frank C. DeRiso, President of
United Food and Commercial Workers
District Union Local One

NYC

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Attachment G

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One River Grants Consultant Agreement

GGS Structures, Inc. Consulting Agreement

BioTrackTHC Letter of Intent

Young Q.C. & Consulting, LLC Consulting Agreement

Dank Consulting Group, LLC dba Denver Consulting Group Agreement

Dannible & McKee , LLP Engagement Letter

Attachment G

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT 1

CONSULTING AGREEMENT

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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SCHEDULE "A"

SCHEDULE "B"

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EXHIBIT 2

CONSULTING AGREEMENT

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SCHEDULE "A"

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SCHEDULE "B"

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT 3

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT 4

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EXHIBIT 5

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT 6

CONSULTING AGREEMENT

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SCHEDULE "A"

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SCHEDULE "B"

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT 7

CONSULTING AGREEMENT

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SCHEDULE "A"

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Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXHIBIT 8

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Attachment H

Security Plan

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Section 5 - Security and Control

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Attachment J

Staffing Plan

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Staffing Plan

Job Description Table

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Attachment J

Staffing Plan –

Job Application

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Job Application

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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NEW YORK CANNA

Job Application

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Attachment J

Staffing Plan –

Employee Handbook

New York Canna, Inc.

Employee Handbook

Effective: May 2015

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Welcome to New York Canna, Inc.

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About this Handbook

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Employment

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EMPLOYEE RIGHTS AND RESPONSIBILITIES UNDER THE FAMILY AND MEDICAL LEAVE ACT

Basic Leave Entitlement

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- for incapacity due to pregnancy, prenatal medical care or child birth;
- to care for the employee's child after birth, or placement for adoption or foster care;
- to care for the employee's spouse, son, daughter, or parent, who has a serious health condition; or
- for a serious health condition that makes the employee unable to perform the employee's job.

Military Family Leave Entitlements

Eligible employees whose spouse, son, daughter, or parent is on covered active duty or call to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered servicemember during a single 12-month period. A covered servicemember is: (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness*; or (2) a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy, for a serious injury or illness.*

***The FMLA definitions of "serious injury or illness" for current servicemembers and veterans are distinct from the FMLA definition of "serious health condition".**

Benefits and Protections

During FMLA leave, the employer must maintain the employee's health coverage under any "group health plan" on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least 12 months, have 1,250 hours of service in the previous 12 months*, and if at least 50 employees are employed by the employer within 75 miles.

***Special hours of service eligibility requirements apply to airline flight crew employees.**

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Employees may choose or employers may require use of accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer's normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer's normal call-in procedures.

Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supportive of the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Unlawful Acts by Employers

FMLA makes it unlawful for any employer to:

- interfere with, restrain, or deny the exercise of any right provided under FMLA; and
- discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.

FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

FMLA section 109 (29 U.S.C. § 2619) requires FMLA covered employers to post the text of this notice. Regulation 29 C.F.R. § 825.300(a) may require additional disclosures.

For additional information:
1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627
WWW.WAGEHOUR.DOL.GOV

U.S. Department of Labor | Wage and Hour Division

WHD Publication 1420 Revised February 2013

Redacted pursuant to N.Y. Public Officers Law, Art. 6

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Appendix A

Rules and Policies for Medical Marihuana Employees

Attachment K

All of New York Canna's facilities are located in an area with internet connectivity, as shown below in reports from the National Telecommunications & Information Administration, an agency of the United States Department of Commerce charged with creating a database of internet availability in the United States.

I. Syracuse Manufacturing Facility:

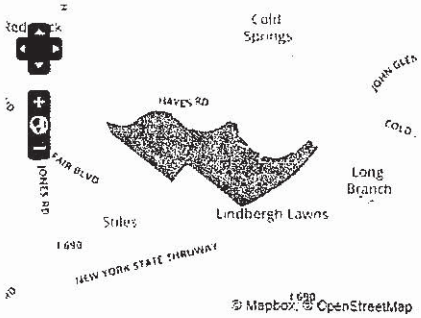
241 Farrell Road, Geddes, New York 13209

National Broadband Map
How connected is my community?

Homepage · Analyze · Map · Developer · About · Native Nations

241 farrell road, geddes, new york 13209 FIND

Print this page · About area · Compare Areas



Search Results: Broadband Providers for this Area

Below is the list of broadband providers operating in all or part of the census block for the address above. If you entered a zip code or city name, the list below only displays the broadband providers offering service in the Census Block that is in the center of that zip code or city. See About and the FAQ to learn more about the data gathering process

Help improve this data by confirming the availability and speed information. This dataset is updated approximately every six months and your input is important to us. Click Expand All to see details about each provider and to give us feedback

Show Wired · Show Wireless Expand All

Advertised Speeds Above 3 Mbps Data as of: 06/30/14

New Visions Communications Inc.		1 Gbps+	»
Level 3 Communications, LLC		1 Gbps+	»
Time Warner Cable Inc.		50 - 100 Mbps	»
Call Rich		50 - 100 Mbps	»
Verizon Communications Inc.	10 - 25 Mbps		»
AT&T Inc.	10 - 25 Mbps		»
T-Mobile	10 - 25 Mbps		»
ViaSat, Inc.	10 - 25 Mbps		»
	10 - 25 Mbps		»
Sprint Nextel Corporation	6 - 10 Mbps		

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NEWVISIONS

Date: 5/12/15
Installation Location: New York Canna – 241 Farrell Rd Syracuse, NY 13209
Contact: John Vavalo – johnvavalo@jmichaelshoes.com

Your Proposed New Visions Service

High Speed Internet Service

- 100/100 Mbps- High Speed Internet@ **$ 134.99**

Total Proposed Monthly Bill: $ 134.99

_____Static IP Addresses available: 19.95 each or up to 5 at 39.95 (Optional)

High Speed Internet connection of 100/100 Mbps.*Pricing based on a 3 year service contract, fees and taxes not included.

AGREED & ACCEPTED:

BY: _____ DATE: _____

PRINT NAME: _____

TITLE: _____

II. East Syracuse Dispensing Facility:

6518 Basile Rowe, East Syracuse, New York 13057

National Broadband Map
How connected is my community?

Homepage · Analyze · Map · Developer · About · Native Nations

6518 basile rowe, east syracuse, new york 13057 FIND

Search Results: Broadband Providers for this Area

Print this page · About area · Compare Areas

Below is the list of broadband providers operating in all or part of the census block for the address above. If you entered a zip code or city name, the list below only displays the broadband providers offering service in the Census Block that is in the center of that zip code or city. See About and the FAQ to learn more about the data gathering process.

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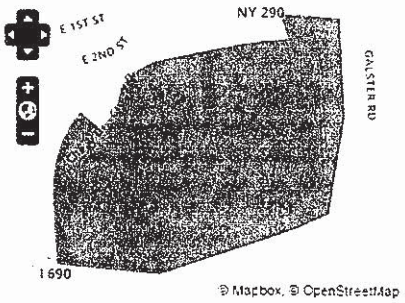

Show Wired · Show Wireless Expand All

Advertised Speeds Above 3 Mbps			Data as of 06/30/14
Level 3 Communications, LLC		1 Gbps+	»
Northland Communications (NY)		1 Gbps+	»
Verizon Communications Inc.		100 Mbps - 1 Gbps	»
Fibertech Networks, LLC		100 Mbps - 1 Gbps	»
Time Warner Cable Inc.		50 - 100 Mbps	»
Call Rich		50 - 100 Mbps	»
AT&T Inc.	10 - 25 Mbps		»
T-Mobile	10 - 25 Mbps		»
ViaSat, Inc.	10 - 25 Mbps		»
	10 - 25 Mbps		»
Sprint Nextel Corporation	6 - 10 Mbps		

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Map »

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Summarize

III. Binghamton Dispensing Facility:
1166 Upper Front Street, Binghamton, New York 13905

National Broadband Map
How connected is my community?

Homepage · Analyze · Map · Developer · About · Native Nations

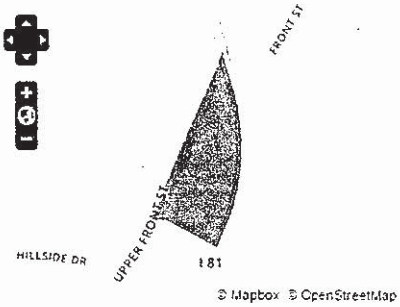
1166 upper front street, binghamton, new york 13905 FIND

Search Results: Broadband Providers for this Area

Print this page · About area · Compare Areas

Below is the list of broadband providers operating in all or part of the census block for the address above. If you entered a zip code or city name, the list below only displays the broadband providers offering service in the Census Block that is in the center of that zip code or city. See About and the FAQ to learn more about the data gathering process.

Help improve this data by confirming the availability and speed information. This dataset is updated approximately every six months and your input is important to us. Click Expand All to see details about each provider and to give us feedback.



Show Wired · Show Wireless Expand All

Advertised Speeds Above 3 Mbps Data as of 06/30/14

Time Warner Cable Inc.	50 - 100 Mbps	»
Plexicomm	25 - 50 Mbps	»
Verizon Communications Inc.	10 - 25 Mbps	»
AT&T Inc.	10 - 25 Mbps	»
T-Mobile	10 - 25 Mbps	»
ViaSat, Inc.	10 - 25 Mbps	»
	10 - 25 Mbps	»

Advertised Speeds Above 768 kbps and Below 3 Mbps Data as of 06/30/14

Spacenet Inc.	768 kbps - 1.5 Mbps
Sprint Nextel Corporation	768 kbps - 1.5 Mbps

Most Common Speed: 10 Mbps Data Source · Download · API Call

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Map »
Rank
Summarize

IV. Albany Dispensing Facility

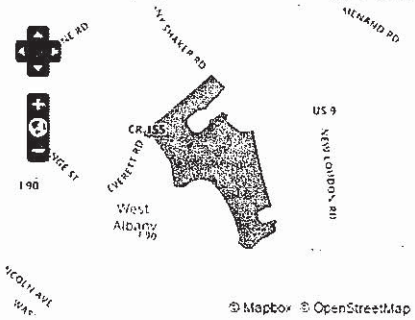
105 Everett Road, Albany, New York 12205

National Broadband Map
How connected is my community?

Homepage · Analyze · Map · Developer · About · Native Nations

105 everett road, albany, new york 12205 FIND

Print this page · About area · Compare Areas



© Mapbox © OpenStreetMap

Search Results: Broadband Providers for this Area

Below is the list of broadband providers operating in all or part of the **census block** for the address above. If you entered a zip code or city name, the list below only displays the broadband providers offering service in the Census Block that is in the center of that zip code or city. See About and the FAQ to learn more about the data gathering process.

Help improve this data by confirming the availability and speed information. This dataset is updated approximately every six months and your input is important to us. Click Expand All to see details about each provider and to give us feedback.

[redacted] · Show Wired · Show Wireless Expand All

Advertised Speeds Above 3 Mbps		Data as of 06/30/14
Level 3 Communications, LLC		[redacted] 1 Gbps+ »
TW Telecom Inc.		[redacted] 1 Gbps+ »
Lightower Fiber Networks		[redacted] 1 Gbps+ »
TVC Albany, Inc.		100 Mbps - 1 Gbps »
Fibertech Networks, LLC		100 Mbps - 1 Gbps »
Time Warner Cable Inc.		50 - 100 Mbps »
Verizon Communications Inc.	10 - 25 Mbps	»
AT&T Inc.	10 - 25 Mbps	»
T-Mobile	10 - 25 Mbps	»
ViaSat, Inc.	10 - 25 Mbps	»
[redacted]	10 - 25 Mbps	»
Sprint Nextel Corporation	6 - 10 Mbps	

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Map »

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V. Yonkers Dispensing Facility

1291 Saw Mill River Road, Yonkers, New York 10710

National Broadband Map
How connected is my community?

Homepage · Analyze · Map · Developer · About · Native Nations

1291 saw mill river road, yonkers, new york 10710 FIND

Print this page · About area · Compare Areas

Search Results: Broadband Providers for this Area

Below is the list of broadband providers operating in all or part of the census block for the address above. If you entered a zip code or city name, the list below only displays the broadband providers offering service in the Census Block that is in the center of that zip code or city. See About and the FAQ to learn more about the data gathering process.

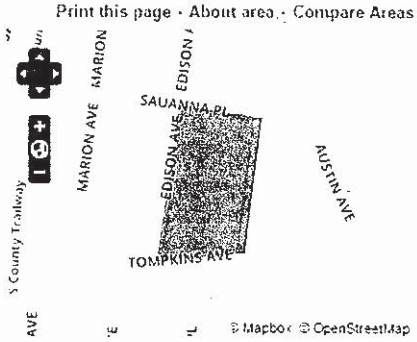
Help improve this data by confirming the availability and speed information. This dataset is updated approximately every six months and your input is important to us. Click Expand All to see details about each provider and to give us feedback.

· Show Wired · Show Wireless Expand All

Advertised Speeds Above 3 Mbps		Data as of: 06/30/14
Verizon Communications Inc.		100 Mbps - 1 Gbps »
CSC Holdings		100 Mbps - 1 Gbps »
AT&T Inc.	10 - 25 Mbps	»
T-Mobile	10 - 25 Mbps	»
ViaSat, Inc.	10 - 25 Mbps	»
	10 - 25 Mbps	»
Sprint Nextel Corporation	6 - 10 Mbps	
Platinum Equity, LLC	3 - 6 Mbps	

Advertised Speeds Above 768 kbps and Below 3 Mbps		Data as of: 06/30/14
Spacenet Inc.	768 kbps - 1.5 Mbps	

Most Common Speed: 10 Mbps Data Source · Download · API Call



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Summarize »

Gmail by Google

Emily Hart <emily.spinner@gmail.com>

FW: Optimum Business Sales

1 message

Scheer, Jeffrey <SCHEERJ@bsk.com>
To: "Emily Hart ([redacted]" <[redacted]>

Thu, Jun 4, 2015 at 4:45 PM

Begin forwarded message:

FROM: Bianca Couamin <BCOUAMIN@cablevision.com>
DATE: June 1, 2015 at 11:06:08 AM EDT
TO: "dom@nycanna.net" <dom@nycanna.net>
SUBJECT: OPTIMUM BUSINESS SALES

Dear Ms. Rachelle,

Good morning and thank you for your inquiry on our Optimum Business services. All Optimum Business services and products are offered at the location of 1291 Saw Mill River Rd, Yonkers, NY 10710. If you have any questions or concerns please contact me via email. Thank you and have a great day!

BIANCA COUAMIN

OPTIMUM COMMERCIAL SALES

Optimum Business Sales

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Legal Disclosures: Bankruptcy

Redacted pursuant to N.Y. Public Officers Law, Art. 6

B18 (Official Form 18) (12/07)

United States Bankruptcy Court

Redacted pursuant to N.Y. Public Officers Law, Art. 6

EXPLANATION OF BANKRUPTCY DISCHARGE

Redacted pursuant to N.Y. Public Officers Law, Art. 6

Attachment M – Statement of Compliance

New York Canna submits to the Department, in response to Question 94, and as Attachment M to this Application, the sworn statements of the following executives:

1. Dennis DuVal, Chief Executive Officer
2. John Vavalo, President and Director
3. James Esposito, Treasurer and Director
4. Dominic Falcone, Secretary and Director
5. Malcolm Morrison, Director
6. Scott Bergin, Vice-President
7. Philip Hague, Chief Product Officer

each of whom state, on the attached pages and under oath, that New York Canna, Inc., a New York business corporation and applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

ATTACHMENT M

I, Dennis T. DuVal, Chief Executive Officer of New York Canna, Inc., make this oath and say that: New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

Dated: June 3, 2015

Dennis T. DuVal

STATE OF NEW YORK)

SS.:

COUNTY OF ONONDAGA)

On the 3 day of June in the year 2015 before me personally appeared Dennis T. DuVal, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Notary Public

JEFFREY B. SCHEER
Notary Public, State of New York
No. 02SC5082709
Qualified in Onondaga County
My Commission Expires July 28, 2017

ATTACHMENT M

I, John Vavalo, President and Director of New York Canna, Inc., make this oath and say that: New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

Dated: June 3, 2015

John Vavalo

STATE OF NEW YORK)
SS.:
COUNTY OF ONONDAGA)

On the 3 day of June in the year 2015 before me personally appeared John Vavalo, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Notary Public

JEFFREY B. SCHEER
Notary Public, State of New York
No. 02SC5082709
Qualified in Onondaga County
My Commission Expires July 28, 2017

ATTACHMENT M

I, James Esposito, Treasurer and Director of New York Canna, Inc., make this oath and say that: New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

Dated: June 3, 2015

James Esposito

STATE OF NEW YORK)
SS.:
COUNTY OF ONONDAGA)

On the 3rd day of June in the year 2015 before me personally appeared James Esposito, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Notary Public

LAURA VALCARCEL
NOTARY PUBLIC-STATE OF NEW YORK
No. 01VA6278518
Qualified in Kings County
My Commission Expires March 25, 2017

ATTACHMENT M

I, Dominic Falcone, Secretary and Director of New York Canna, Inc., make this oath and say that: New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

Dated: June 3, 2015

Dominic Falcone

STATE OF NEW YORK)
SS.:
COUNTY OF ONONDAGA)

On the 3 day of June in the year 2015 before me personally appeared Dominic Falcone, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Notary Public

VERA DEDAJ
NOTARY PUBLIC-STATE OF NEW YORK
No. 01DE6245708
Qualified In Westchester County
My Commission Expires August 01, 2015

ATTACHMENT M

I, Malcolm Morrison, Director of New York Canna, Inc., make this oath and say that: New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

Dated: June 3, 2015

Malcolm Morrison

STATE OF NEW YORK)
SS.:
COUNTY OF ONONDAGA)

On the 3rd day of June in the year 2015 before me personally appeared Malcolm Morrison, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Kimberly A Gatto
Notary Public

KIMBERLY A. GATTO
Notary Public, State of New York
No. 01GA6202181
Qualified in Rensselaer County
Commission Expires March 9, 20 17

ATTACHMENT M

I, Scott Bergin, VicePresident and Director of New York Canna, Inc., make this oath and say that:New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act,10 NYCRR Part 1004,and Article 33 of the Public Health Law, together with all otherapplicable New York State and local laws.

Dated: June 03, 2015

Scott Bergin

STATE OF NEW YORK)
NEW YORK SS.:
COUNTY OF ~~ONONDAGA~~)

On the 3rd day of June in the year 2015 before me personally appeared Scott Bergin, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Notary Public

WILSON B. DIEP
Notary Public, State of New York
No. 01DI6000207
Qualified in Queens County
Commission Expires Dec. 15, 2017

ATTACHMENT M

I, Phillip Hague, Chief Product Officer of New York Canna, Inc., make this oath and say that: New York Canna, Inc., a New York business corporation and an applicant for registration as a Registered Organization under the New York Compassionate Care Act, is able to comply with all applicable state and local laws and regulations relating to the activities it will engage in under its registration, including, but not limited to, the Compassionate Care Act, 10 NYCRR Part 1004, and Article 33 of the Public Health Law, together with all other applicable New York State and local laws.

Dated: June 3, 2015

Phillip Hague

STATE OF NEW YORK)
SS.:
COUNTY OF ONONDAGA)

On the 3rd day of June in the year 2015 before me personally appeared Phillip Hague, 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 executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Kimberly A. Gatto
Notary Public

KIMBERLY A. GATTO
Notary Public, State of New York
No. 01GA6202181
Qualified in Rensselaer County
Commission Expires March 9, 2017