

Address, City, State, and Zip Code: 9780 S. Meridian Blvd., Suite 450, Englewood, CO 80112

Phone Number: 303-795-7956 Fax Number: _____

Printed Name and Title of Authorized Representative: Eric Rupe, Executive Vice President

Email Address: eric.rupe@lerchbates.com

Signature of Authorized Representative:  Date: 9/9/19

OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE

NEW JERSEY BUSINESS COMPLIANCE

Suppliers intending to do business in the State of New Jersey must comply with policies and procedures required under New Jersey statutes. All offerors submitting proposals must complete the following forms specific to the State of New Jersey. Completed forms should be submitted with the offeror's response to the RFP. Failure to complete the New Jersey packet will impact OMNIA Partners' ability to promote the Master Agreement in the State of New Jersey.

DOC #1	Ownership Disclosure Form
DOC #2	Non-Collusion Affidavit
DOC #3	Affirmative Action Affidavit
DOC #4	Political Contribution Disclosure Form
DOC #5	Stockholder Disclosure Certification
DOC #6	Certification of Non-Involvement in Prohibited Activities in Iran
DOC #7	New Jersey Business Registration Certificate

New Jersey suppliers are required to comply with the following New Jersey statutes when applicable:

- all anti-discrimination laws, including those contained in N.J.S.A. 10:2-1 through N.J.S.A. 10:2-14, N.J.S.A. 10:5-1, and N.J.S.A. 10:5-31 through 10:5-38;
- Prevailing Wage Act, N.J.S.A. 34:11-56.26, for all contracts within the contemplation of the Act;
- Public Works Contractor Registration Act, N.J.S.A. 34:11-56.26; and
- Bid and Performance Security, as required by the applicable municipal or state statutes.

**OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE**

DOC #1

**OWNERSHIP DISCLOSURE FORM
(N.J.S. 52:25-24.2)**

Pursuant to the requirements of P.L. 1999, Chapter 440 effective April 17, 2000 (Local Public Contracts Law), the offeror shall complete the form attached to these specifications listing the persons owning 10 percent (10%) or more of the firm presenting the proposal.

Company Name: Lerch Bates Inc.

Street: 9780 S Meridian Blvd., Suite 450

City, State, Zip Code: Englewood, CO 80112

Complete as appropriate:

I _____, certify that I am the sole owner of _____, that there are no partners and the business is not incorporated, and the provisions of N.J.S. 52:25-24.2 do not apply.

OR:

I _____, a partner in _____, do hereby certify that the following is a list of all individual partners who own a 10% or greater interest therein. I further certify that if one (1) or more of the partners is itself a corporation or partnership, there is also set forth the names and addresses of the stockholders holding 10% or more of that corporation's stock or the individual partners owning 10% or greater interest in that partnership.

OR:

I Eric Rupe _____, an authorized representative of Lerch Bates Inc. _____, a corporation, do hereby certify that the following is a list of the names and addresses of all stockholders in the corporation who own 10% or more of its stock of any class. I further certify that if one (1) or more of such stockholders is itself a corporation or partnership, that there is also set forth the names and addresses of the stockholders holding 10% or more of the corporation's stock or the individual partners owning a 10% or greater interest in that partnership.

(Note: If there are no partners or stockholders owning 10% or more interest, indicate none.)

Name	Address	Interest
None		

I further certify that the statements and information contained herein, are complete and correct to the best of my knowledge and belief.

9/9/19

Date


Authorized Signature and Title
Executive Vice President

**OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE**

DOC #2

NON-COLLUSION AFFIDAVIT

Company Name: Lerch Bates Inc.

Street: 9780 S. Meridian Blvd., Suite 450

City, State, Zip Code: Englewood, CO 80112

State of Colorado

County of Douglas

I, Eric Rupe of the Englewood
Name City

in the County of Douglas, State of Colorado
of full age, being duly sworn according to law on my oath depose and say that:

I am the Executive Vice President of the firm of Lerch Bates Inc.
Title Company Name

the Offeror making the Proposal for the goods, services or public work specified under the attached proposal, and that I executed the said proposal with full authority to do so; that said Offeror has not directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free, competitive bidding in connection with the above proposal, and that all statements contained in said proposal and in this affidavit are true and correct, and made with full knowledge that relies upon the truth of the statements contained in said proposal and in the statements contained in this affidavit in awarding the contract for the said goods, services or public work.

I further warrant that no person or selling agency has been employed or retained to solicit or secure such contract upon an agreement or understanding for a commission, percentage, brokerage or contingent fee, except bona fide employees or bona fide established commercial or selling agencies maintained by

Lerch Bates Inc.
Company Name


Authorized Signature & Title
Eric Rupe Executive Vice President

Subscribed and sworn before me

this 9th day of September, 2019
Lisa Faust
Notary Public of Colorado

My commission expires 11/17, 2022

LISA FAUST
Notary Public
State of Colorado
Notary ID # 20061 2791
My Commission Expires 11-17-2022

**OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE**

DOC #3

**AFFIRMATIVE ACTION AFFIDAVIT
(P.L. 1975, C.127)**

Company Name: Lerch Bates, Inc.
Street: 9780 S. Meridian Blvd., Suite 450
City, State, Zip Code: Englewood, CO 80112

Proposal Certification:

Indicate below company's compliance with New Jersey Affirmative Action regulations. Company's proposal will be accepted even if company is not in compliance at this time. No contract and/or purchase order may be issued, however, until all Affirmative Action requirements are met.

Required Affirmative Action Evidence:

Procurement, Professional & Service Contracts (Exhibit A)

Vendors must submit with proposal:

1. A photo copy of their Federal Letter of Affirmative Action Plan Approval

OR
2. A photo copy of their Certificate of Employee Information Report

OR
3. A complete Affirmative Action Employee Information Report (AA302) _____

Public Work – Over \$50,000 Total Project Cost:

- A. No approved Federal or New Jersey Affirmative Action Plan. We will complete Report Form AA201-A upon receipt from the
- B. Approved Federal or New Jersey Plan – certificate enclosed

I further certify that the statements and information contained herein, are complete and correct to the best of my knowledge and belief.

9/9/19**Date**



Authorized Signature and Title
 Eric Rupe, Executive Vice President

OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE

DOC #3, continued

P.L. 1995, c. 127 (N.J.A.C. 17:27)
MANDATORY AFFIRMATIVE ACTION LANGUAGE

PROCUREMENT, PROFESSIONAL AND SERVICE
CONTRACTS

During the performance of this contract, the contractor agrees as follows:

The contractor or subcontractor, where applicable, will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation. The contractor will take affirmative action to ensure that such applicants are recruited and employed, and that employees are treated during employment, without regard to their age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Public Agency Compliance Officer setting forth provisions of this non-discrimination clause.

The contractor or subcontractor, where applicable will, in all solicitations or advertisement for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation.

The contractor or subcontractor, where applicable, will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer advising the labor union or workers' representative of the contractor's commitments under this act and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

The contractor or subcontractor, where applicable, agrees to comply with any regulations promulgated by the Treasurer pursuant to P.L. 1975, c. 127, as amended and supplemented from time to time and the Americans with Disabilities Act.

The contractor or subcontractor agrees to attempt in good faith to employ minority and female workers trade consistent with the applicable county employment goal prescribed by N.J.A.C. 17:27-5.2 promulgated by the Treasurer pursuant to P.L. 1975, C.127, as amended and supplemented from time to time or in accordance with a binding determination of the applicable county employment goals determined by the Affirmative Action Office pursuant to N.J.A.C. 17:27-5.2 promulgated by the Treasurer pursuant to P.L. 1975, C.127, as amended and supplemented from time to time.

The contractor or subcontractor agrees to inform in writing appropriate recruitment agencies in the area, including employment agencies, placement bureaus, colleges, universities, labor unions, that it does not discriminate on the basis of age, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation, and that it will discontinue the use of any recruitment agency which engages in direct or indirect discriminatory practices.

The contractor or subcontractor agrees to revise any of its testing procedures, if necessary, to assure that all personnel testing conforms with the principles of job-related testing, as established by the statutes and court decisions of the state of New Jersey and as established by applicable Federal law and applicable Federal court decisions.

The contractor or subcontractor agrees to review all procedures relating to transfer, upgrading, downgrading and lay-off to ensure that all such actions are taken without regard to age, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation, and conform with the applicable employment goals, consistent with the statutes and court decisions of the State of New Jersey, and applicable Federal law and applicable Federal court decisions.

The contractor and its subcontractors shall furnish such reports or other documents to the Affirmative Action Office as may be requested by the office from time to time in order to carry out the purposes of these regulations, and public agencies shall furnish such information as may be requested by the Affirmative Action Office for conducting a compliance investigation pursuant to Subchapter 10 of the Administrative Code (NJAC 17:27).

Signature of Procurement Agent

OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE

DOC #4

C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM

Public Agency Instructions

This page provides guidance to public agencies entering into contracts with business entities that are required to file Political Contribution Disclosure forms with the agency. **It is not intended to be provided to contractors.** What follows are instructions on the use of form local units can provide to contractors that are required to disclose political contributions pursuant to N.J.S.A. 19:44A-20.26 (P.L. 2005, c. 271, s.2). Additional information on the process is available in Local Finance Notice 2006-1 (http://www.nj.gov/dca/divisions/dlgs/resources/lfns_2006.html). Please refer back to these instructions for the appropriate links, as the Local Finance Notices include links that are no longer operational.

1. The disclosure is required for all contracts in excess of \$17,500 that are **not awarded** pursuant to a “fair and open” process (N.J.S.A. 19:44A-20.7).
2. Due to the potential length of some contractor submissions, the public agency should consider allowing data to be submitted in electronic form (i.e., spreadsheet, pdf file, etc.). Submissions must be kept with the contract documents or in an appropriate computer file and be available for public access. **The form is worded to accept this alternate submission.** The text should be amended if electronic submission will not be allowed.
3. The submission must be **received from the contractor and** on file at least 10 days prior to award of the contract. Resolutions of award should reflect that the disclosure has been received and is on file.
4. The contractor must disclose contributions made to candidate and party committees covering a wide range of public agencies, including all public agencies that have elected officials in the county of the public agency, state legislative positions, and various state entities. The Division of Local Government Services recommends that contractors be provided a list of the affected agencies. This will assist contractors in determining the campaign and political committees of the officials and candidates affected by the disclosure.
 - a. The Division has prepared model disclosure forms for each county. They can be downloaded from the “County PCD Forms” link on the Pay-to-Play web site at <http://www.nj.gov/dca/divisions/dlgs/programs/lpcl.html#12>. They will be updated from time-to-time as necessary.
 - b. A public agency using these forms **should edit them to properly reflect the correct legislative district(s)**. As the forms are county-based, **they list all legislative districts** in each county. **Districts that do not represent the public agency should be removed from the lists.**
 - c. Some contractors may find it easier to provide a single list that covers all contributions, regardless of the county. These submissions are appropriate and should be accepted.
 - d. The form may be used “as-is”, subject to edits as described herein.
 - e. The “Contractor Instructions” sheet is intended to be provided with the form. It is recommended that the Instructions and the form be printed on the same piece of paper. The form notes that the Instructions are printed on the back of the form; where that is not the case, the text should be edited accordingly.
 - f. The form is a Word document and can be edited to meet local needs, and posted for download on web sites, used as an e-mail attachment, or provided as a printed document.
5. It is recommended that the contractor also complete a “Stockholder Disclosure Certification.” This will assist the local unit in its obligation to ensure that contractor did not make any prohibited contributions to the committees listed on the Business Entity Disclosure Certification in the 12 months prior to the contract (See Local Finance Notice 2006-7 for additional information on this obligation at http://www.nj.gov/dca/divisions/dlgs/resources/lfns_2006.html). A sample Certification form is part of this package and the instruction to complete it is included in the Contractor Instructions. NOTE: This section is not applicable to Boards of Education.

OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE

Doc #4, continued **C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM**

Contractor Instructions

Business entities (contractors) receiving contracts from a public agency that are NOT awarded pursuant to a "fair and open" process (defined at N.J.S.A. 19:44A-20.7) are subject to the provisions of P.L. 2005, c. 271, s.2 (N.J.S.A. 19:44A-20.26). This law provides that 10 days prior to the award of such a contract, the contractor shall disclose contributions to:

- any State, county, or municipal committee of a political party
- any legislative leadership committee*
- any continuing political committee (a.k.a., political action committee)
- any candidate committee of a candidate for, or holder of, an elective office:
 - of the public entity awarding the contract
 - of that county in which that public entity is located
 - of another public entity within that county
 - or of a legislative district in which that public entity is located or, when the public entity is a county, of any legislative district which includes all or part of the county

The disclosure must list reportable contributions to any of the committees that exceed \$300 per election cycle that were made during the 12 months prior to award of the contract. See N.J.S.A. 19:44A-8 and 19:44A-16 for more details on reportable contributions.

N.J.S.A. 19:44A-20.26 itemizes the parties from whom contributions must be disclosed when a business entity is not a natural person. This includes the following:

- individuals with an "interest" ownership or control of more than 10% of the profits or assets of a business entity or 10% of the stock in the case of a business entity that is a corporation for profit
- all principals, partners, officers, or directors of the business entity or their spouses
- any subsidiaries directly or indirectly controlled by the business entity
- IRS Code Section 527 New Jersey based organizations, directly or indirectly controlled by the business entity and filing as continuing political committees, (PACs).

When the business entity is a natural person, "a contribution by that person's spouse or child, residing therewith, shall be deemed to be a contribution by the business entity." [N.J.S.A. 19:44A-20.26(b)] The contributor must be listed on the disclosure.

Any business entity that fails to comply with the disclosure provisions shall be subject to a fine imposed by ELEC in an amount to be determined by the Commission which may be based upon the amount that the business entity failed to report.

The enclosed list of agencies is provided to assist the contractor in identifying those public agencies whose elected official and/or candidate campaign committees are affected by the disclosure requirement. It is the contractor's responsibility to identify the specific committees to which contributions may have been made and need to be disclosed. The disclosed information may exceed the minimum requirement.

The enclosed form, a content-consistent facsimile, or an electronic data file containing the required details (along with a signed cover sheet) may be used as the contractor's submission and is disclosable to the public under the Open Public Records Act.

The contractor must also complete the attached Stockholder Disclosure Certification. This will assist the agency in meeting its obligations under the law. **NOTE: This section does not apply to Board of Education contracts.**

* N.J.S.A. 19:44A-3(s): "The term "legislative leadership committee" means a committee established, authorized to be established, or designated by the President of the Senate, the Minority Leader of the Senate, the Speaker of the General Assembly or the Minority Leader of the General Assembly pursuant to section 16 of P.L.1993, c.65 (C.19:44A-10.1) for the purpose of receiving contributions and making expenditures."

OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE

List of Agencies with Elected Officials Required for Political Contribution Disclosure
N.J.S.A. 19:44A-20.26

County Name:

State: Governor, and Legislative Leadership Committees

Legislative District #s:

State Senator and two members of the General Assembly per district.

County:

Freeholders

{County Executive}

County Clerk

Surrogate

Sheriff

Municipalities (Mayor and members of governing body, regardless of title):

**USERS SHOULD CREATE THEIR OWN FORM, OR DOWNLOAD
FROM THE PAY TO PLAY SECTION OF THE DLGS WEBSITE A
COUNTY-BASED, CUSTOMIZABLE FORM.**

**OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE**

DOC #5

STOCKHOLDER DISCLOSURE CERTIFICATION

Name of Business:

I certify that the list below contains the names and home addresses of all stockholders holding 10% or more of the issued and outstanding stock of the undersigned.

OR

I certify that no one stockholder owns 10% or more of the issued and outstanding stock of the undersigned.

Check the box that represents the type of business organization:

Partnership Corporation Sole Proprietorship



Limited Partnership Limited Liability Corporation Limited Liability Partnership

Subchapter S Corporation

Sign and notarize the form below, and, if necessary, complete the stockholder list below.

Stockholders:

Name:	Name:
Home Address:	Home Address:
Name:	Name:
Home Address:	Home Address:
Name:	Name:
Home Address:	Home Address:

Subscribed and sworn before me this <u>9th</u> day of <u>September</u> , 20 <u>19</u>	 (Affiant)	
(Notary Public) 	<u>Eric Rupe, Executive Vice President</u> (Print name & title of affiant)	
My Commission expires: <u>11/17/22</u>	(Corporate Seal)	
<table border="1"><tr><td>LISA FAUST Notary Public State of Colorado Notary ID # 20064042791 My Commission Expires 11-17-2022</td></tr></table>	LISA FAUST Notary Public State of Colorado Notary ID # 20064042791 My Commission Expires 11-17-2022	
LISA FAUST Notary Public State of Colorado Notary ID # 20064042791 My Commission Expires 11-17-2022		

OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE

DOC #6

Certification of Non-Involvement in Prohibited Activities in Iran

Pursuant to N.J.S.A. 52:32-58, Offerors must certify that neither the Offeror, nor any of its parents, subsidiaries, and/or affiliates (as defined in N.J.S.A. 52:32 – 56(e) (3)), is listed on the Department of the Treasury's List of Persons or Entities Engaging in Prohibited Investment Activities in Iran and that neither is involved in any of the investment activities set forth in N.J.S.A. 52:32 – 56(f).

Offerors wishing to do business in New Jersey through this contract must fill out the Certification of Non-Involvement in Prohibited Activities in Iran here:

http://www.state.nj.us/humanservices/dfd/info/standard/fdc/disclosure_investmentact.pdf.

Offerors should submit the above form completed with their proposal.

**OMNIA PARTNERS EXHIBITS
EXHIBIT G- NEW JERSEY BUSINESS COMPLIANCE**

DOC #7

**NEW JERSEY BUSINESS REGISTRATION CERTIFICATE
(N.J.S.A. 52:32-44)**

Offerors wishing to do business in New Jersey must submit their State Division of Revenue issued Business Registration Certificate with their proposal here. Failure to do so will disqualify the Offeror from offering products or services in New Jersey through any resulting contract.

<http://www.state.nj.us/treasury/revenue/forms/njreg.pdf>



FIRM PROFILE

For over 72 years, Lerch Bates has set the international standard for elevator consulting. Lerch Bates understands the way people interact with buildings and how building systems come together to enhance overall use and effectiveness. We bring this insight to all facets of vertical and horizontal transportation, logistics, and façade access.

HISTORY OF THE FIRM

Our history reflects the entrepreneurial spirit and the vision of our founders – Charles Lerch and Quentin Bates, as well as their interest in contributing to the dynamic changes in building technology and construction through the past 72 years.

Since our founding in 1947 as the first independent elevator consulting firm in the US, we have added offices and capabilities around the world, bringing industry leading expertise and technology to our work with clients on diverse and challenging projects.

Our influence as innovators of design concepts is seen as many of our “firsts” have become industry standards that can be recognized in many of the world’s tallest buildings.

EXPERIENCE

For new construction or modernization, Lerch Bates consultants are welcome members of the architectural design team because we bring a multiple discipline approach. We are current with today’s architecture and the latest technology and we optimize system design for the benefit of our clients. Additionally, clients benefit from our 70+ year reputation as an innovator and industry leader. We serve as a regular sounding board for elevator equipment manufacturers on trends and issues. We are a key industry resource.

Our modernization and maintenance services are used extensively by building owners and managers who know we will work on their behalf to design and preserve the integrity of their asset, guiding them through the process to the correct elevator solutions for their building, its aesthetics and its budget.

Lerch Bates Inc. has participated in the design and modernization of some of the most iconic buildings including Burj Khalifa, Dubai, UAE; World One, Mumbai, India; CMA Tower, Riyadh, KSA; and Palm Trump Tower, Dubai, UAE.

SERVICES

- Architectural Design
- Due Diligence
- Inspection
- Maintenance
- Modernization

BUILDING TYPE

- Commercial
- Hotel
- Residential
- Healthcare
- Retail
- Education
- Government
- Transit
- Sports & Leisure

DISCIPLINES

- Elevator Consulting
- Façade Access
- Building Maintenance
- Equipment Services
- Logistics



Lerch Bates Inc. DUNS: 08-737-5556

Dashboard

Company Info

Address:
9780 S Meridian Blvd Ste 450
Englewood, CO 80112

DBA's:
LERCH BATES

Phone:
(303) 723-7956

Fax:

URL:
www.lerchbates.com

Location Type:
Headquarter

Risk Interpreter

Risk of Debt Write-Off



Low Risk High Risk

Based on the D&B Financial Stress Score, the probability of failure for this company in the next 12 months is 0.80%, which makes it a Moderate-High risk for you to incur a write-off. You can adjust your credit limits and collections strategies to reduce your exposure or increase your bad debt reserves to counter this risk.

Cash Flow Risk



Low Risk High Risk

Based on the D&B Delinquency Predictor reporting a payment behavior of Inconsistent and/or slower payments, this company is predicted to have a Moderate risk of a negative impact to your cash flow. You can adjust your payment terms, credit limits and collections strategies to mitigate this risk.

Payment Behavior



On Time 180 Days BT

According to the D&B PAYDEX® Score, this company paid its vendors on average 19 days beyond credit terms.

Scores

PAYDEX®		Delinquency Predictor		Financial Stress		Supplier Eval. Risk Rating	Credit Limit Rec.	DandB Rating
Score	Class	Score	Class	Score	Class	Rating	Recommendation	Rating
65 ▼	3	481 ▼	3	1408 ▼	4	5 ▼	\$25K	1R3

Recent Alerts

There are currently no alerts issued for this company. If you only recently began monitoring this company, you will not receive your first alerts until score changes or events occur. To configure your alerts notification settings, please

Payments Summary

Current PAYDEX®: 65 Equal to 19 days beyond terms
Industry Median: 77 Equal to 5 DAYS BEYOND terms
Payment Trend: ↔ Unchanged, compared to payments three months ago

Total payment Experiences in D&Bs File (HQ): 70
Payments Within Terms (not dollar weighted): 75%

Average Highest Credit:	2,503
Largest High Credit:	25,000
Highest Now Owning:	7,500
Highest Past Due:	5,000

Scores

PAYDEX®

65



3 Month PAYDEX®

70

19 days beyond terms



Understanding My Score

Payment History

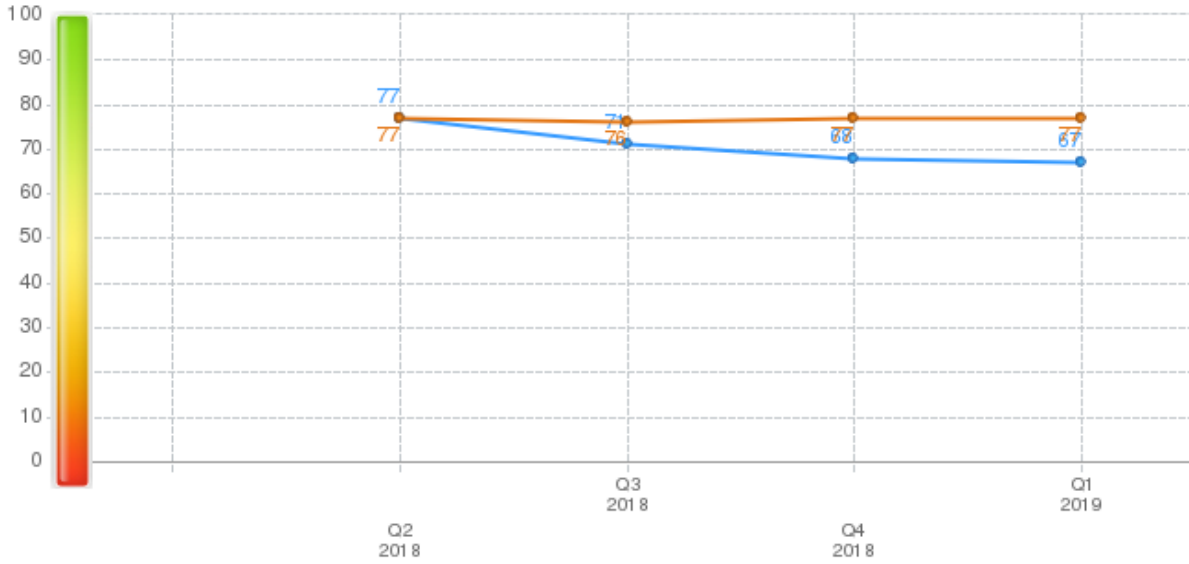
Total (Last 24 Months): 70

Date ▼	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/f (Mo.)
05/2019	Ppt	\$7,500	\$7,500	\$0		1 mo
05/2019	Ppt	\$7,500	\$0	\$0		2-3 mos
05/2019	Ppt	\$5,000	\$0	\$0		6-12 mos
05/2019	Ppt	\$2,500	\$750	\$0		1 mo
05/2019	Ppt	\$2,500	\$0	\$0		1 mo

Key

PAYDEX®	Payment Practices	PAYDEX®	Payment Practices
100	Anticipate	40	60 Days Beyond Terms
90	Discount	30	90 Days Beyond Terms
80	Prompt	20	120 Days Beyond Terms
70	15 Days Beyond	1-19	Over 120 Days Beyond Terms
60	22 Days Beyond Terms	UN	Unavailable
50	30 Days Beyond Terms		

Trending & Industry Comparison



• This Company (65) • Industry Median: (77)

	Jun 2018	Jul 2018	Aug 2018	Sep 2018	Oct 2018	Nov 2018	Dec 2018	Jan 2019	Feb 2019	Mar 2019	Apr 2019	May 2019
This Company	77	77	77	76	69	68	68	68	68	68	67	65
Industry Quartiles												
Upper	80	--	--	80	--	--	80	--	--	80	--	--
Medium	77	--	--	77	--	--	76	--	--	77	--	--
Lower	68	--	--	69	--	--	68	--	--	68	--	--

Based on payments collected over the last 4 quarters.

- Current PAYDEX® for this business is 65 , or equal to 19 days beyond terms
- The 12-month high is 77 , or equal to 5 days beyond terms.
- The 12-month low is 65 , or equal to 19 days beyond terms.
- The present industry median score is 77 , or equal to 5 days beyond terms.
- Industry upper quartile represents the performance of the payers in the 75th percentile
- Industry lower quartile represents the performance of the payers in the 25th percentile

Delinquency Predictor Score

Score **481** ▼ Class **3** Percentile **32%**

Moderate risk of severe payment delinquency over next 12 months



Understanding My Score

Incidence of Delinquent Payment:

Among Companies with this Classification: **5.80%**
 Average compared to business in D&Bs database: **10.20%**

Factors Affecting Your Score:

Increase in proportion of delinquent payments in recent payment experiences

Proportion of past due balances to total amount owing

Proportion of slow payments in recent months

Higher risk industry based on delinquency rates for this industry

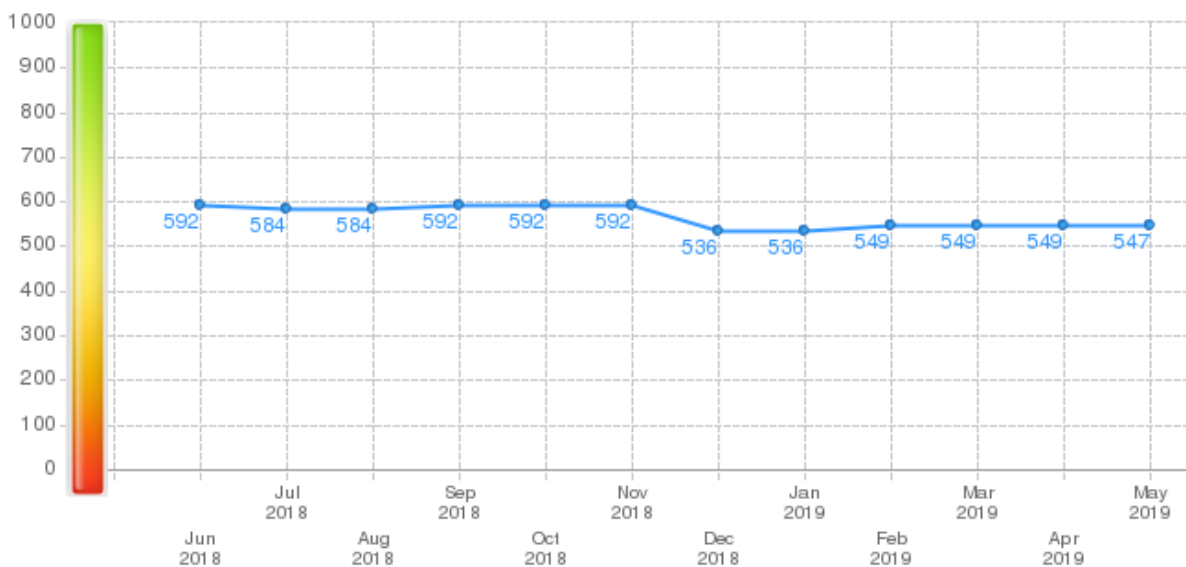
Evidence of open liens

Notes:

- The Delinquency Predictor Score Risk Class indicates that this firm shares some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience severe delinquency.
- The probability of delinquency shows the percentage of firms in a given percentile that are likely to pay creditors in a severely delinquent manner. The average probability of delinquency is based on businesses in D&B's database and is provided for comparative purposes.
- The Delinquency Predictor Score percentile reflects the relative ranking of a firm among all scorable companies in D&B's file.
- The Delinquency Predictor Score offers a more precise measure of the level of risk than the Risk Class and Percentile. It is especially helpful to customers using a scorecard approach to determining overall business performance.

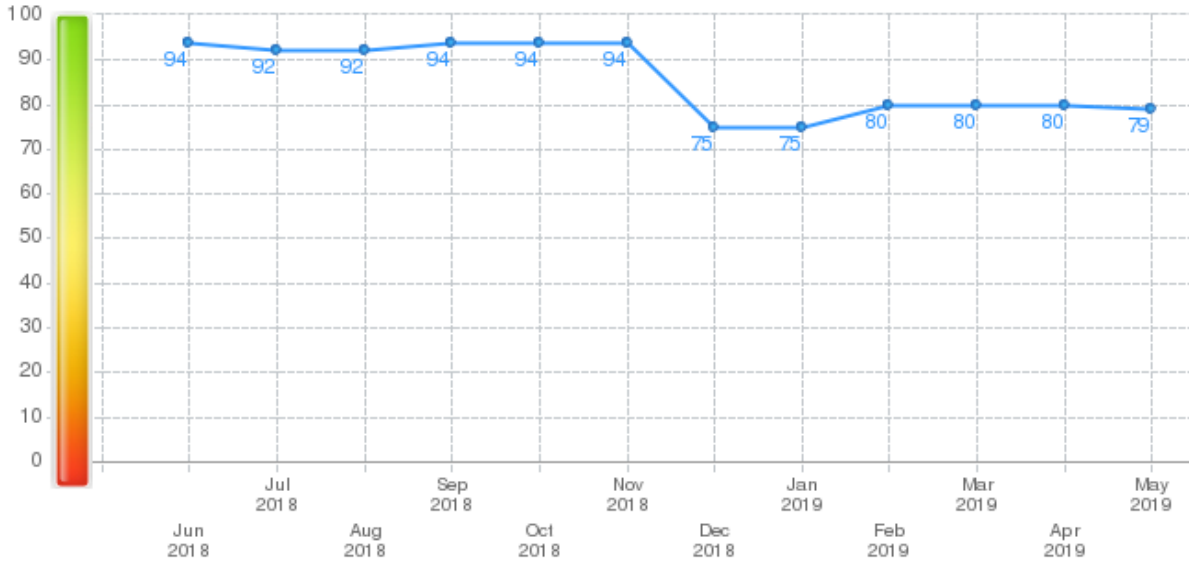
Key			
Risk Class	% of Businesses within this Class	Percentile	Score
1	10%	91-100	580-670
2	20%	71-90	530-579
3	40%	31-70	481-529
4	20%	11-30	453-480
5	10%	1-10	101-452

Trends - Scores, 12 Month



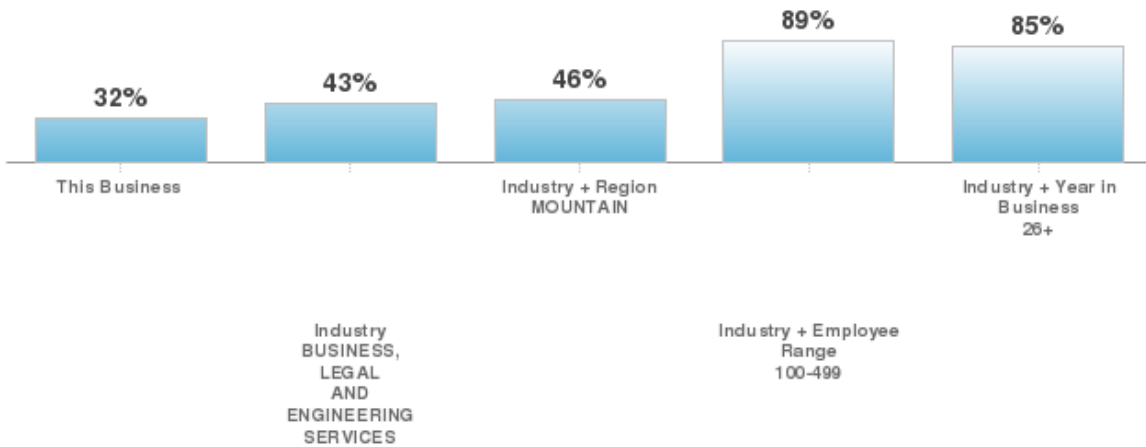
• **My Company (481)**

Trends - Percentile, 12 Month



• My Company (32%)

Industry Comparison



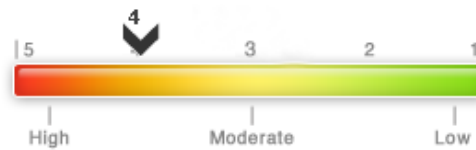
This business has a Credit Score Percentile that shows:

- Higher risk than other companies in the same region.
- Higher risk than other companies in the same industry.
- Higher risk than other companies in the same employee size range.
- Higher risk than other companies with a comparable number of years in business.

Financial Stress Score

Score **1408** ▼ Class **4** Nat'l % **14%**

Moderate to high risk of severe financial stress, such as a bankruptcy, over the next 12 months



Understanding My Score

Incidence of Financial Stress:

Among Companies with this Classification: **0.84%**

Average compared to business in D&Bs database: **0.48%**

Factors Affecting This Company's Score:

Composite credit appraisal is rated fair.

Low proportion of satisfactory payment experiences to total payment experiences.

UCC Filings reported.

High proportion of past due balances to total amount owing.

High number of inquiries to D&B over last 12 months.

Evidence of open liens

- The Financial Stress Class Summary Model predicts the likelihood of a firm ceasing business without paying all creditors in full, or reorganization or obtaining relief from creditors under state/federal law over the next 12 months. Scores were calculated using a statistically valid model derived from D&B's extensive data files.

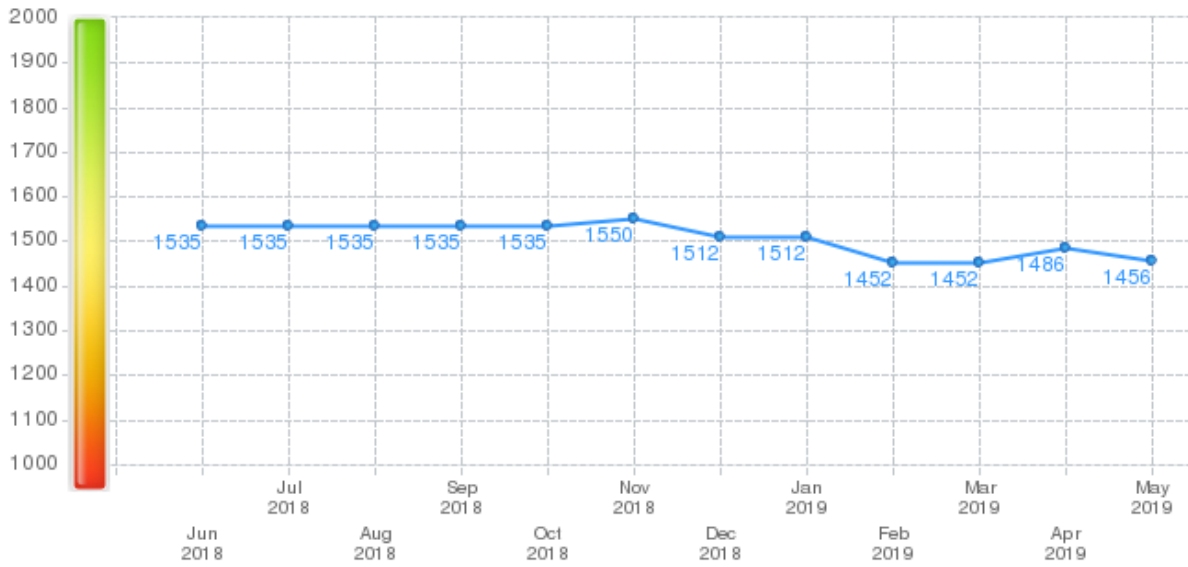
Notes:

- The Financial Stress Class indicates that this firm shares some of the same business and financial characteristics of other companies with this classification. It does not mean the firm will necessarily experience financial stress.
- The Incidence of Financial Stress shows the percentage of firms in a given Class that discontinued operations over the past year with loss to creditors. The Incidence of Financial Stress - National Average represents the national failure rate and is provided for comparative purposes.
- The Financial Stress National Percentile reflects the relative ranking of a company among all scorable companies in D&B's file.
- The Financial Stress Score offers a more precise measure of the level of risk than the Class and Percentile. It is especially helpful to customers using a scorecard approach to determining overall business performance.
- All Financial Stress Class, Percentile, Score and Incidence statistics are based on sample data from

Key

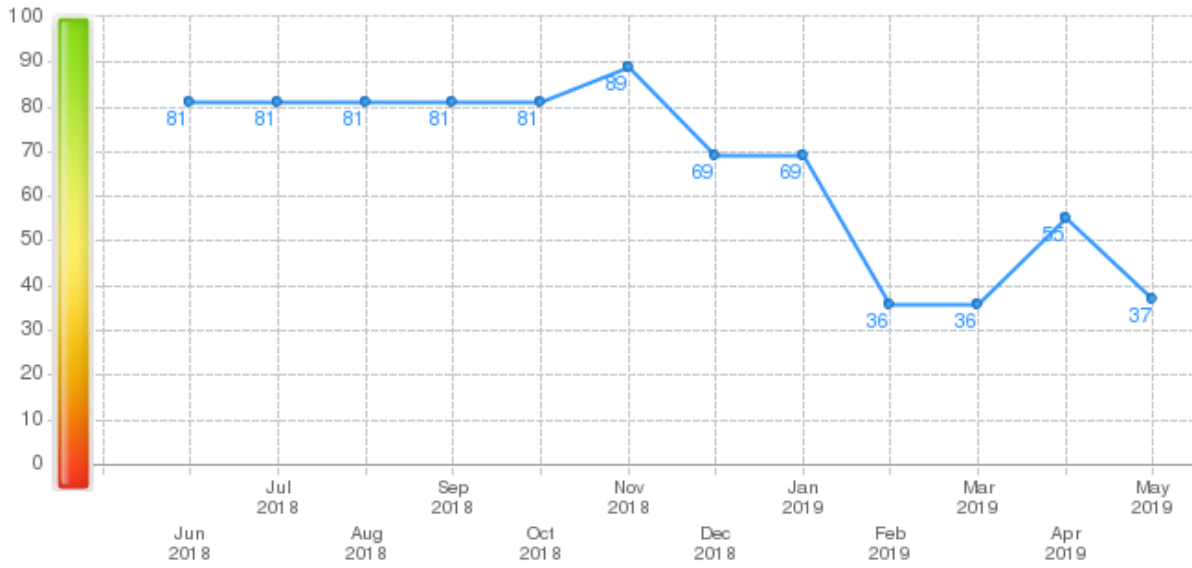
Score	Class	Percentile	Incidence of Financial Stress
1570-1875	1	95-100	0.03%
1510-1569	2	69-94	0.09%
1450-1509	3	34-68	0.24%
1340-1449	4	2-33	0.84%
1001-1339	5	1	4.70%

Trends - Scores, 12 Month



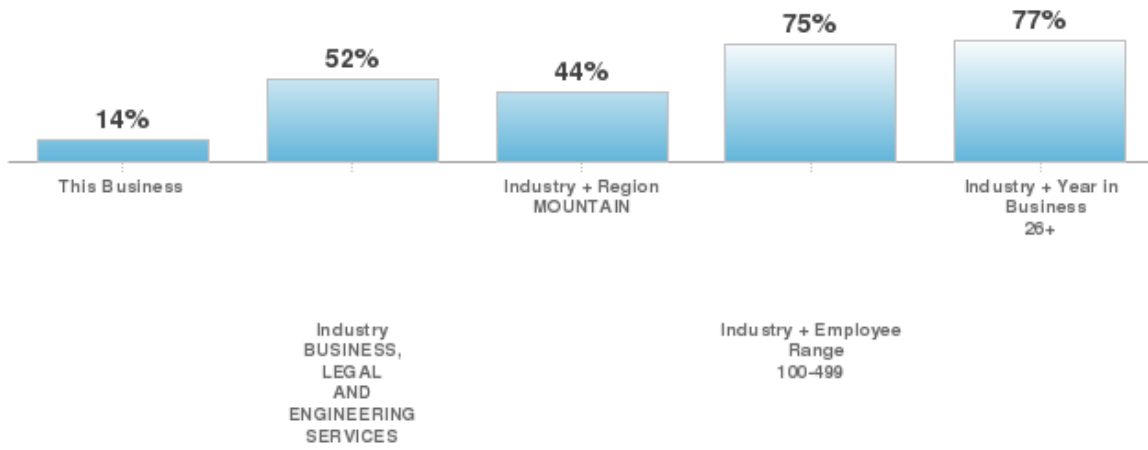
• My Company (1,408)

Trends - Percentile, 12 Month



• My Company (14%)

Industry - Comparison



This Business has a Financial Stress Percentile that shows:

- Higher risk than other companies in the same region.
- Higher risk than other companies in the same industry.
- Higher risk than other companies in the same employee size range.
- Higher risk than other companies with a comparable number of years in business.

Supplier Evaluation Risk Rating

5 ▼



Moderate risk of supplier experiencing severe financial stress over the next 12 months.

Understanding My Score

Factors Affecting This Company's Score:

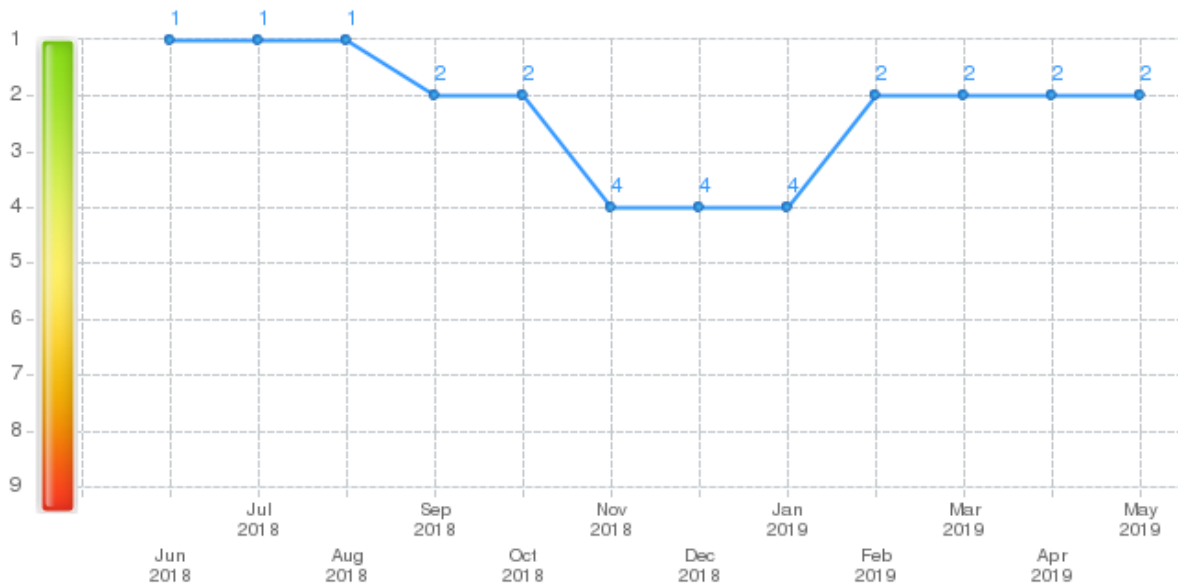
Proportion of past due balances to total amount owing

Proportion of slow payment experiences to total number of payment experiences reported

Evidence of open liens

Unstable Paydex over last 12 months.

Trends



• This Company (5)

Credit Limit Recommendation

Risk Category

3

Moderate

Conservative Credit Limit

\$25k

Aggressive Credit Limit

\$80k



Understanding My Score

D&B's Credit Limit Recommendation is intended to help you more easily manage your credit decisions. It provides two recommended dollar guidelines:

A conservative limit, which suggests a dollar benchmark if your policy is to extend less credit to minimize risk.

An aggressive limit, which suggests a dollar benchmark if your policy is to extend more credit with potentially more risk.

The dollar guideline amounts are based on a historical analysis of credit demand of customers in D&B's U.S. payments database which have a similar profile to your business.

D&B Rating

Rating

1R3

Number of employees: **1R** indicates 10 or more employees
 Composite Credit Appraisal: **3** is fair

D&B Rating	Date Applied
1R3	2018-10-15
--	2016-11-04
1R2	2016-02-22
1R3	2015-03-23
1R2	2014-03-19
1R3	2013-10-15
3A1	2013-06-04
3A2	2012-12-04
3A1	2012-04-12
3A2	2010-06-15

Understanding My Score

Factors Affecting Your Score

of Employees Total: **175 (40 here)**

Worth: **\$12,431,444**

Working Capital: **\$10,895,839**

Payment Activity (based on 70 experiences):

Average High Credit: **\$2,503**

Highest Credit: **\$25,000**

Total Highest Credit: **\$107,800**

Note: The Worth amount in this section may have been adjusted by D&B to reflect typical deductions, such as certain intangible assets.

Payments

Timeliness of Historical Payments

Current 65 Equal to 19 days beyond terms
PAYDEX®:
Industry Median: 77 Equal to 5 DAYS BEYOND terms
Payment Trend: ↔ Unchanged, compared to payments three months ago

Total payment Experiences in D&Bs File (HQ): 70
Total payment Experiences during the last 3 months: 35
Payments Within Terms (not dollar weighted): 75
Total Placed For Collection: NA
Average Highest Credit: 2,503
Largest High Credit: 25,000
Highest Now Owing: 7,500
Highest Past Due: 5,000

Payment Summary

Total (Last 24 Months): 70

	Total Received	Total Dollar Amount	Largest High Credit Payment summary	Within Terms	Days Slow			
					31	30-80	81-90	90
Top Industries								
Misc business credit	8	\$2,350	\$750	26%	74	0	0	0
Telephone communicatns	5	\$10,400	\$7,500	100%	0	0	0	0
Air courier service	4	\$3,600	\$2,500	97%	3	0	0	0
Nonclassified	3	\$10,500	\$5,000	52%	0	0	48	0
Misc equipment rental	2	\$2,750	\$2,500	100%	0	0	0	0
Public finance	2	\$2,550	\$2,500	100%	0	0	0	0
Misc business service	2	\$1,250	\$1,000	100%	0	0	0	0
Mfg computer storage	1	\$25,000	\$25,000	50%	50	0	0	0
Trucking non-local	1	\$20,000	\$20,000	0%	50	50	0	0
Ret misc merchandise	1	\$7,500	\$7,500	100%	0	0	0	0
Data processing svcs	1	\$5,000	\$5,000	100%	0	0	0	0
Ret stationery	1	\$2,500	\$2,500	100%	0	0	0	0
Whol office supplies	1	\$2,500	\$2,500	50%	50	0	0	0
Natnl commercial bank	1	\$750	\$750	100%	0	0	0	0
Erects building equip	1	\$500	\$500	100%	0	0	0	0
Investment advice	1	\$250	\$250	0%	100	0	0	0
Reg misc coml sector	1	\$100	\$100	100%	0	0	0	0
Electric services	1	\$50	\$50	100%	0	0	0	0
Radiotelephone commun	1	\$50	\$50	0%	100	0	0	0
Short-trm busn credit	1	\$50	\$50	100%	0	0	0	0
Other Categories								
Cash experiences	30	\$10,100	\$5,000	--	--	--	--	--
Unknown	1	\$50	\$50	--	--	--	--	--
Unfavorable comments	0	\$0	\$0	--	--	--	--	--
Placed for collections with D&B:	0	\$0	\$0	--	--	--	--	--
Other	0	N/A	\$0	--	--	--	--	--
Total in D&B's file	70	\$107,800	\$25,000	--	--	--	--	--

Payments Beyond Terms

Total (Last 24 Months):14

Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/f (Mo.)
05/2019	Ppt-Slow 30	2,500	\$2,500	\$500	N30	1 mo
05/2019	Ppt-Slow 30	750	\$0	\$0	--	6-12 mos
05/2019	Ppt-Slow 30	250	\$100	\$0	Lease Agreemnt	1 mo
05/2019	Slow 30	250	\$0	\$0	--	2-3 mos
05/2019	Slow 30	50	\$0	\$0	--	2-3 mos
05/2019	Slow 30	50	\$0	\$0	--	2-3 mos
05/2019	Slow 90	5,000	\$5,000	\$5,000	--	--
04/2019	Ppt-Slow 30	25,000	\$7,500	\$0	--	1 mo
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
11/2018	Slow 30-60	20,000	\$0	\$0	--	2-3 mos

All Payments

Total (Last 24 Months): 70

Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/f (Mo.)
05/2019	Ppt	\$7,500	\$7,500	\$0	--	1 mo
05/2019	Ppt	\$7,500	\$0	\$0	--	2-3 mos
05/2019	Ppt	\$5,000	\$0	\$0	--	6-12 mos
05/2019	Ppt	\$2,500	\$750	\$0	--	1 mo
05/2019	Ppt	\$2,500	\$0	\$0	--	1 mo
05/2019	Ppt	\$2,500	\$2,500	\$0	--	1 mo
05/2019	Ppt	\$1,000	\$50	\$0	--	1 mo
05/2019	Ppt	\$1,000	\$0	\$0	--	6-12 mos
05/2019	Ppt	\$750	\$750	\$0	N30	1 mo
05/2019	Ppt	\$250	\$0	\$0	--	4-5 mos
05/2019	Ppt	\$100	\$0	\$0	Lease Agreemnt	6-12 mos
05/2019	Ppt	\$100	\$0	\$0	--	4-5 mos
05/2019	Ppt	\$50	\$0	\$0	--	1 mo
05/2019	Ppt	\$50	\$0	\$0	--	6-12 mos
05/2019	Ppt-Slow 30	\$2,500	\$2,500	\$500	N30	1 mo
05/2019	Ppt-Slow 30	\$750	\$0	\$0	--	6-12 mos
05/2019	Ppt-Slow 30	\$250	\$100	\$0	Lease Agreemnt	1 mo
05/2019	Slow 30	\$250	\$0	\$0	--	2-3 mos
05/2019	Slow 30	\$50	\$0	\$0	--	2-3 mos
05/2019	Slow 30	\$50	\$0	\$0	--	2-3 mos
05/2019	Slow 90	\$5,000	\$5,000	\$5,000	--	--

Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/f (Mo.)
05/2019	(022)	\$1,000	\$0	\$0	Cash account	6-12 mos
05/2019	(023)	\$750	\$0	\$0	Cash account	6-12 mos
05/2019	(024)	\$50	--	--	Cash account	2-3 mos
04/2019	Ppt	\$2,500	\$0	\$0	--	6-12 mos
04/2019	Ppt-Slow 30	\$25,000	\$7,500	\$0	--	1 mo
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	Slow 30	--	\$250	\$250	--	--
04/2019	(032)	\$100	--	--	Cash account	1 mo
04/2019	(033)	\$50	--	--	Cash account	1 mo
04/2019	(034)	\$50	--	--	Cash account	1 mo
03/2019	Ppt	\$2,500	--	--	--	1 mo
03/2019	(036)	\$100	--	--	Cash account	1 mo
02/2019	(037)	\$500	--	--	Cash account	6-12 mos
02/2019	(038)	\$50	--	--	Cash account	1 mo
11/2018	Ppt	\$5,000	\$0	\$0	--	6-12 mos
11/2018	Slow 30-60	\$20,000	\$0	\$0	--	2-3 mos
11/2018	(041)	\$100	--	--	Cash account	1 mo
11/2018	(042)	\$50	--	--	Cash account	6-12 mos
10/2018	Ppt	\$250	\$250	\$0	--	1 mo
10/2018	(044)	\$250	--	--	Cash account	1 mo
10/2018	(045)	\$50	--	--	--	1 mo
09/2018	(046)	\$100	--	--	Cash account	6-12 mos
08/2018	Ppt	\$250	\$0	\$0	--	6-12 mos
08/2018	(048)	\$500	\$0	\$0	--	6-12 mos
08/2018	(049)	\$100	--	--	--	1 mo
08/2018	(050)	\$50	--	--	Cash account	1 mo
07/2018	Slow 15	\$50	\$50	\$50	--	--
07/2018	(052)	\$750	--	--	Cash account	1 mo
06/2018	(053)	\$50	--	--	Cash account	1 mo
04/2018	(054)	--	--	--	Cash account	6-12 mos
04/2018	(055)	\$100	--	--	Cash account	1 mo
04/2018	(056)	\$100	--	--	Cash account	1 mo
04/2018	(057)	\$100	--	--	Cash account	1 mo
04/2018	(058)	\$100	--	--	Cash account	1 mo
04/2018	(059)	\$100	--	--	Cash account	1 mo
04/2018	(060)	\$100	--	--	Cash account	1 mo

Date	Paying Record	High Credit	Now Owes	Past Due	Selling Terms	Last sale w/f (Mo.)
03/2018	Ppt	\$50	\$0	--	--	6-12 mos
02/2018	Ppt	\$50	--	--	--	1 mo
02/2018	(063)	\$100	--	--	Cash account	1 mo
12/2017	(064)	\$50	--	--	Cash account	1 mo
10/2017	(065)	\$50	--	--	Cash account	1 mo
09/2017	(066)	\$250	--	--	Cash account	1 mo
09/2017	(067)	\$50	--	--	Cash account	1 mo
08/2017	(068)	\$5,000	--	--	Cash in advance	1 mo
06/2017	(069)	--	\$0	\$0	Cash account	6-12 mos
05/2017	Ppt	\$500	\$0	\$0	--	6-12 mos

Indications of slowness can be the result of disputes over merchandise, skipped invoices, etc. Accounts are sometimes placed in collection even though the existence or amount of debt is disputed.

The public record items contained in this report may have been paid, terminated, vacated or released prior to the date this report was printed.

History & Operations

Currency: Shown in USD unless otherwise indicated

Company Overview

Company Name:	LERCH BATES INC.	URL:	www.lerchbates.com
Doing Business As:	LERCH BATES	Stock Symbol:	NA
Street Address:	9780 S Meridian Blvd Ste 450 Englewood, CO 80112	History:	NA
Mail Address:	NA	Operations:	profitable
Phone:	(303) 723-7956	Present Management Control:	57 Years
Line of Business:	Business consulting services	Annual Sales:	NA
		Year Started:	1947
		Manager:	NA
		Gross Revenue:	NA
		Financial Condition:	NA

History

The following information was reported: **01/24/2019**

Officer(s):

BARTON T STEPHAN, PRES-CEO
JEFF MARSH, EXE V PRES
JACK TORNQUIST, V PRES
JAY POPP, EXEC V PRES
JOHN ARTHER, CFO

DIRECTOR(S):

THE OFFICER(S)

The Colorado Secretary of State's business registrations file showed that Lerch Bates Inc. was registered as a Corporation on November 26, 1974, under the file registration number 19871280485.

Business started 1947 by Charles Lerch. Present control succeeded 1962. 99% of capital stock is owned by an ESOP plan. 1% of capital stock is owned by employee minority shareholders.

RECENT EVENTSL.

On January 24, 2019, sources stated that Lerch, Bates & Associates/Hospital Group, Inc., Littleton, CO, has merged with and into Lerch Bates Inc., Englewood, CO, on December 26, 2006. With the merger, Lerch, Bates & Associates/Hospital Group, Inc. ceased to exist as a legal entity and all operations were integrated into Lerch Bates Inc. Terms of the transaction were undisclosed. Further details are unavailable.

On June 24, 2015, sources stated that Lerch Bates Inc., Littleton, CO, has completed the acquisition of Joseph Neto & Associates, Inc., New York, NY, on June 9, 2015. With the acquisition, Joseph Neto & Associates, Inc. has ceased to exist as a separate legal entity and will now operate as a branch of Lerch Bates Inc. Employees and management were retained. Terms of the transaction

were not disclosed. Further details are not available.

BARTON T STEPHAN born 1956. Attended University of Iowa, (Loris College) Iowa and graduated Marketing in 1978 with a BS degree. 2004-present, active here. 1978-2004 worked for Kone Elevator Company, Moline, IL.

JEFF MARSH. Antecedents not available.

JACK TORNQUIST. ack holds a degree in Architecture from Iowa State University.

JAY POPP. Antecedents not available.

JOHN ARTHER. Antecedents not available.

Business address has changed from 8089 S Lincoln St Ste 300, Littleton, CO, 80122 to 9780 S Meridian Blvd Ste 230, Englewood, CO, 80112.

Business Registration

We currently don't have enough data to display this section.

Operations

01/24/2019

Description:

Provides business consulting services (100%).

Has 1000 account(s). Terms are Cash, Net 30 days. Sells to commercial concerns. Territory : undetermined.

Nonseasonal.

Employees: 175 which includes officer(s). 40 employed here.

Facilities: Owns 10,500 sq. ft. in on 2&3 floor of a three story brick building.

Branches: This business has additional branches; detailed branch information is available in D&B's linkage or family tree products.

Subsidiaries: This business has 4 subsidiaries.

Lerch, Bates & Associates/Hospital Group Inc (100%) chartered 1984. Operates as architect consultant.

Lerch Bates North America, Inc, Littleton, CO. (100%) chartered 1995. Operates as elevator consulting.

Citidel Consulting Inc (100%) chartered 1995. Operates as window washing equip. design consulting.

LBA Ltd, London, England. (50%) chartered 1990. Operates as joint venture.

SIC & NAICS

SIC:

Based on information in our file, D&B has assigned this company an extended 8-digit SIC. D&B's use of 8-digit SICs enables us to be more specific to a company's operations than if we use the standard 4-digit code. The 4-digit SIC numbers link to the description on the Occupational Safety & Health Administration (OSHA) Web site. Links open in a new browser window.

8748 0000 Business consulting, nec

NAICS:

541618 Other Management Consulting Services

Public Filings

Currency: Shown in USD unless otherwise indicated

Summary

The following data includes both open and closed filings found in D&B's database on this company.

Record Type	# of Records	Most Recent Filing Date
Bankruptcy Proceedings	0	-
Judgments	0	-
Liens	1	06/28/17
Suits	0	-
UCCs	9	04/15/19

The following Public Filing data is for information purposes only and is not the official record.
Certified copies can only be obtained from the official source.

Judgments

We currently don't have enough data to display this section.

Liens

A lien holder can file the same lien in more than one filing location. The appearance of multiple liens filed by the same lien holder against a debtor may be indicative of such an occurrence.

Amount: 11495
Status: Open
CASE NO. K470492
Type State: County Tax
Filed By: TAX COLLECTOR
Against: LERCH BATES INC
Where Filed: SAN FRANCISCO COUNTY RECORDERS OFFICE, SAN FRANCISCO, CA
Date Status Attained: 06/28/178
Date Filed: 06/28/17
Latest Info Received: 07/26/17

Suits

We currently don't have enough data to display this section.

UCC Filings

Collateral: Inventory including proceeds and products - Account(s) including proceeds and products - Equipment including proceeds and products - Fixtures including proceeds and products - and OTHERS
Type: Original
Sec.Party: WELLS FARGO BANK, NATIONAL ASSOCIATION, DENVER, CO
Debtor: LERCH BATES INC.
Filing No.: 20152063103
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 07/09/15
Latest Info Received: 08/19/15

Type: Amendment
Sec.Party: WELLS FARGO BANK, NATIONAL ASSOCIATION, DENVER, CO
Debtor: LERCH BATES INC.and OTHERS
Filing No.: 20162111362
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO

Date Filed: 12/14/16
Latest Info Received: 01/20/17
Original Filing No.: 20152063103
Original UCC Filed Date: 07/09/15

Collateral: All Assets and proceeds
Type: Amendment
Sec.Party: WELLS FARGO BANK, NATIONAL ASSOCIATION, DENVER, CO
Debtor: LERCH BATES INC.and OTHERS
Filing No.: 20162111364
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 12/14/16
Latest Info Received: 01/20/17
Original Filing No.: 20152063103
Original UCC Filed Date: 07/09/15

Collateral: Leased Computer equipment and proceeds
Type: Original
Sec.Party: DELL FINANCIAL SERVICES L.P., AUSTIN, TX
Debtor: LERCH BATES INC.
Filing No.: 2007F007745
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 01/23/07
Latest Info Received: 02/23/07

Type: Amendment
Sec.Party: DELL FINANCIAL SERVICES L.P.
Debtor: LERCH, BATES & ASSOCIATES INC.
Filing No.: 2009F019717
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 03/06/09
Latest Info Received: 04/01/09
Original Filing No.: 2004F061787
Original UCC Filed Date: 06/03/04

Type: Continuation
Sec.Party: DELL FINANCIAL SERVICES L.P.DELL FINANCIAL SERVICES, L.P.,
AUSTIN, TX
Debtor: LERCH, BATES & ASSOCIATES INC.
Filing No.: 20142038081
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 04/24/14
Latest Info Received: 05/09/14
Original Filing No.: 2004F061787
Original UCC Filed Date: 06/03/04

Type: Amendment
Sec.Party: DELL FINANCIAL SERVICES L.P.DELL FINANCIAL SERVICES, L.P.,
AUSTIN, TX
Debtor: LERCH BATES INC.and OTHERS
Filing No.: 20142042946
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO

Date Filed: 05/07/14
Latest Info Received: 06/13/14
Original Filing No.: 2004F061787
Original UCC Filed Date: 06/03/04

Type: Continuation
Sec.Party: DELL FINANCIAL SERVICES L.P.DELL FINANCIAL SERVICES, L.P.,
AUSTIN, TX
Debtor: LERCH BATES INC.and OTHERS
Filing No.: 20192031663
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 04/15/19
Latest Info Received: 04/22/19
Original Filing No.: 2004F061787
Original UCC Filed Date: 06/03/04

Type: Original
Sec.Party: DELL FINANCIAL SERVICES L.P., AUSTIN, TX
Debtor: LERCH BATES INC.
Filing No.: 2007F027366
Filed With: SECRETARY OF STATE/UCC DIVISION, DENVER, CO
Date Filed: 03/19/07
Latest Info Received: 04/11/07

The public record items contained herein may have been paid, terminated, vacated or released prior to today's date.

Government Activity

Summary

Borrower (Dir/Guar): NO
Administrative Debt: NO
Contractor: YES
Grantee: NO
Party excluded from federal program(s): NO
Possible Candidate:
Labor Surplus Area: N/A
Small Business: N/A
8(A) Firm: N/A

The public record items contained herein may have been paid, terminated, vacated, or released prior to today's date

The public record items contained herein may have been paid, terminated, vacated or released prior to today's date.

Financials

Key Business Ratios from D&B

We currently do not have enough information to generate the graphs for the selected Key Business Ratio.

- This Company

Key Financial Comparisons

	(\$)	(\$)	(\$)
This Company's Operating Results Year Over Year			
Net Sales	NA	NA	NA
Gross Profit	NA	NA	NA
Net Profit	NA	NA	NA
Dividends / Withdrawals	NA	NA	NA
Working Capital	NA	NA	NA
This Company's Assets Year Over Year			
Cash	NA	NA	NA
Accounts Receivable	NA	NA	NA
Notes Receivable	NA	NA	NA
Inventories	NA	NA	NA
Other Current	NA	NA	NA
Total Current	NA	NA	NA
Fixed Assets	NA	NA	NA
Other Non Current	NA	NA	NA
Total Assets	NA	NA	NA
This Company's Liabilities Year Over Year			
Accounts Payable	NA	NA	NA
Bank Loan	NA	NA	NA
Notes Payable	NA	NA	NA
Other Current Liabilities	NA	NA	NA
Total Current Liabilities	NA	NA	NA
Other Long Term and Short Term Liabilities	NA	NA	NA
Deffered Credit	NA	NA	NA
Net Worth	NA	NA	NA
Total Liabilities and Net Worth	NA	NA	NA

Assets(\$)		Liabilities(\$)	
Cash	6040824	Accts Pay	4586039
Accts Rec	9791602	L.T. Liab-(1yr)	962885
Prepaid	612337		
Current Assets	16,444,763.00	Current Liabs	5,548,924.00
Fixt & Equip	706346	L.T. Liab-Other	4763672
Investments-Other	5595825	Def. Credits/Income	220050
Other Assets	217156	COMMON STOCK	30728
		UNEARNED ESOP OTHER	-3315762
		RETAINED EARNINGS	15716478
Total Assets	22,964,090.00	Total Liabilities	22,964,090.00

Sales \$39,918,873; cost of goods sold \$36,439,016. Gross profit \$3,479,857. Operating income \$3,479,857; other income \$78,313; net income \$3,558,170.

Prepared from statement(s) by Accountant: ACM LLP, Denver, CO. Extent of audit, if any, not indicated.

Explanations

Key Business Ratios

	This Company	Industry Median	Industry Quartile
Solvency			
Quick Ratio	NA	NA	NA
Current Ratio	NA	NA	NA
Current Liabilities to Net Worth	NA	NA	NA
Current Liabilities to Inventory	NA	NA	NA
Total Current	NA	NA	NA
Fixed Assets to Net Worth	NA	NA	NA
Efficiency			
Collection Period	NA	NA	NA
Inventory Turn Over	NA	NA	NA
Sales to NWC	NA	NA	NA
Acct Pay to Sales	NA	NA	NA
Profitability			
Return on Sales	NA	NA	NA
Return on Assets	NA	NA	NA
Return on NetWorth	NA	NA	NA

Special Events

10/15/2018

A Rating change has occurred on this company.

Corporate Linkage

Parent

Company Name	DUNS #	City, State
BATES LERCH INC	08-737-5556	ENGLEWOOD, COLORADO

Headquarters (US)

Company Name	DUNS #	City, State
BATES LERCH INC	08-737-5556	ENGLEWOOD, COLORADO

US Linkages

Company Name	DUNS #	City, State
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Subsidiaries

LERCH BATES NORTH AMERICA INC	11-050-3567	ENGLEWOOD, COLORADO
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Branches

BATES LERCH INC	80-549-6960	DALLAS, TEXAS
BATES LERCH INC	94-278-9124	ANNAPOLIS, MARYLAND
BATES LERCH INC	07-987-8733	NEW YORK, NEW YORK
BATES LERCH INC	06-929-3871	LITTLE ELM, TEXAS
BATES LERCH INC	79-405-1784	BOSTON, MASSACHUSETTS
BATES LERCH INC	80-446-7843	TEMECULA, CALIFORNIA
BATES LERCH INC	19-743-2706	BOTHELL, WASHINGTON
BATES LERCH INC	18-682-7481	MINNEAPOLIS, MINNESOTA
BATES LERCH INC	01-782-7952	ATLANTA, GEORGIA
BATES LERCH INC	94-345-2078	LANSDALE, PENNSYLVANIA
BATES LERCH INC	62-195-5244	CHICAGO, ILLINOIS
BATES LERCH INC	00-779-5680	LAKE FOREST, CALIFORNIA
BATES LERCH INC	10-288-4376	SNOHOMISH, WASHINGTON
BATES LERCH INC	79-445-2024	MADISON, WISCONSIN
BATES LERCH INC	02-586-3056	TEMPE, ARIZONA
BATES LERCH INC	79-513-0017	CUYAHOGA FALLS, OHIO
BATES LERCH INC	14-800-9608	HINGHAM, MASSACHUSETTS
BATES LERCH INC	00-774-6274	CHICAGO, ILLINOIS
BATES LERCH INC	55-637-0153	CAMPBELL, CALIFORNIA

International Linkages

Company Name	DUNS #	Country	City, State / Province
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Subsidiaries

LERCH BATES INC	20-107-6978	CANADA	CALGARY, ALBERTA
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90 DAY MARKETING AND SALES PLAN – LERCH BATES

First 10 days to 30 days

Within the first 10 days of award Lerch Bates will assemble the team responsible for actively managing our relationship with OMNIA. This team will consist of the Executive Leadership members (Vice Presidents of Business Development and Market Development), the local Regional Managers for each support office, and the field resources (Consultants and Field Technicians) needed to properly staff this effort. There will also be a significant focus on understanding the University of California / OMNIA organizational culture: values, mission, goals, and current (if any) strategic plans relative to the Vertical Transportation auditing scope of work. It's important for Lerch Bates to understand our clients and their expectations for developing long term partnerships. It's equally important to outline our strategic plan for the scope of services rendered at this time and mitigate any significant challenges our team may face.

During this time our dedicated team will provide a full organizational chart complete with the key team members that will assisting with this effort. This organizational chart will be distributed to each OMNIA team member providing contact information for each Lerch Bates team member.

First 30 days to 60 days

After the Lerch Bates team has been assembled and started to better understand our client, we will develop the action plan for completing the requested audits throughout your portfolio. This will be completed by reviewing the overall vertical transportation portfolio, identifying elevators that are creating operational issues, making these units a higher priority, and finally presenting the final audit schedule to the OMNIA team. It will be important to identify milestones along the way to ensure the audit schedule is in line with our client's expectations.

Lerch Bates will create a personalized, secure file sharing portal for our client that will allow multidirectional file sharing capabilities for information relative to the project.

Our Business Development team will provide the internal training resources for the following processes:

- Contacting local office resources for auditing services
- Accessing online file sharing portals
- Requesting pricing for additional services

60 days to 90 days

Within 90 days of contract award, our team will be in place with full implementation of our services and training for the OMNIA team members. The plan to be implemented will be one that is fully reproducible and efficient. The national reach of our company and standardized service offering will allow Lerch Bates to provide the same level of service across the country, which we feel is extremely important to this partnership. Within 90 days we find that the value of our services is defined in identifying deficiencies in contractual obligations of contractors, working to improve overall uptime of the vertical transportation and reduce out of contract spend for our clients with a focus on call back reduction.

OMNIA Partners

FEE SCHEDULE			
Gearless Traction			
<10 Stops	\$500		
10-20 stops	\$525		
20+ stops	\$550		
Geared Traction			
<10 Stops	\$475		
10-20 stops	\$500		
20+ stops	\$535		
Hydraulic			
<4 Stops	\$425		
>5 stops	\$450		
Escalators/Walks			
Internal review	\$650		
Specialty			
ADA Lift	\$325		
Dumbwaiter	\$325		
Stage Lift	\$325		



LERCH BATES

Building Insight

Role	Name	Title	Email	Phone
1. Executive Support	Jeff Marsh	Executive Vice President	Jeff.marsh@lerchbates.com	303.723.7940
2. Marketing	Jim Turner	Vice President Market Development East	James.turner@lerchbates.com	312.884.8217
3. Sales	Joe Gibson	Vice President Market Development West	Joe.gibson@lerchbates.com	720.401.0833
4. Sales Support	Sharon Loseke	Business Manager	Sharon.Loseke@lerchbates.com	208.297.9221
5. Financial Reporting	Sharon Loseke	Business Manager	Sharon.Loseke@lerchbates.com	208.297.9221
6. Accounts Payable	Scott Neelley	Controller	Scott.Neelley@lerchbates.com	303.723.7975
7. Contracts	Cathy Gilcrest	Contract Administrator	Cathy.Gilcrest@lerchbates.com	303.723.7974



Equal Employment Opportunity and Affirmative Action

To: All Employees and Applicants

Date: December 1, 2018

It is the ongoing policy and practice of Lerch Bates to provide equal opportunity in employment to all employees and applicants. No person shall be discriminated against in any condition of employment because of race, color, national origin, sex, sexual orientation, gender expression, religion, age, or protected veteran status.

The policy of equal employment opportunity (EEO) shall apply to all terms, conditions and privileges of employment, including but not limited to: hiring, testing, training and development, promotion, transfer, compensation, benefits, educational assistance, termination, layoffs, social and recreational programs and retirement. Lerch Bates is committed to making employment decisions based on valid requirements, without regard to race, color, national origin, sex, sexual orientation, gender expression, religion, age, disability or protected veteran status. Lerch Bates will analyze its personnel actions rigorously to ensure compliance with this policy.

Additionally, Lerch Bates will not discharge or in any other manner discriminate against employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other employees or applicants as a part of their essential job functions cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or (c) consistent with the contractor's legal duty to furnish information.

Lerch Bates' EEO Coordinator is Regina Crowell, VP of Human Resources, Lerch Bates, Inc. She is responsible for compliance with State and Federal EEO laws and affirmative action regulations. She is also responsible for implementing Lerch Bates' Affirmative Action Plan (AAP) including equal employment practices, monitoring, and internal reporting. If you believe you have not been treated in accordance with this policy, please contact her at the Global Support Center, 9780 S. Meridian Blvd., Suite 450, Englewood, CO 80112, phone number 303.795.7956.

Our AAP for Veterans and the Disabled is available to you in her office during regular office hours or by appointment. All employees and applicants for employment are protected, by both company policy and equal employment opportunity/affirmative action regulations and laws from coercion, intimidation, interference, or discrimination for filing a complaint or assisting in an investigation.

I personally endorse the policy of equal employment opportunity. I ask for your continued assistance and support in maintaining an environment that reflects Lerch Bates' commitment to equal employment opportunity and affirmative action. All personnel with responsibility for employment and personnel decisions are directed to perform their duties in accordance with this policy.

Bart Stephan, President & CEO



LERCH BATES

Building Insight

Policy: Standards of Conduct

Updated: 02.2018

Lerch Bates is responsible for providing a safe and secure workplace and strives to ensure that all individuals associated with the company are treated in a respectful and fair manner. We hold ourselves and each other to a high standard of ethical conduct and integrity. We expect that each employee will use sound judgement and values-based decision making skills when determining the way to represent themselves and the organization. Below is a non-exhaustive list of general guidelines of expected standards of conduct of each of us.

1. Every employee will always conduct him or herself with safety at the forefront of their mind at all times.
2. Every employee will treat each other with dignity and respect and will commit themselves to resolving conflicts in a way that values each person's perspective and ideas. Fighting and threats of violence are never tolerated.
3. We will come to work prepared to do our best and will use our time on the job to benefit the organization, avoiding distractions such as social media.
4. We represent our clients' best interest when dealing with suppliers.
5. We will not perform duties while under the influence of alcohol or drugs.
6. We will not misuse or misappropriate any Lerch Bates property, finances, materials or tools for personal gain.
7. We commit ourselves to protecting the Lerch Bates brand at all times, including adhering to these conduct standards and marketing protocol.
8. We avoid conflicts of interest at all times, with our clients and our outside activities including other employment opportunities.
9. We do not misuse our positions of power with suppliers, clients or within our own organization for personal gain.
10. We protect the confidential information of our organization at all times from inappropriate release, including financial, client and employee information.

If you are concerned about a conflict of interest or the potential appearance of a breach of the standards of conduct in any way, please report your concerns to your supervisor or Human Resources.

DESCRIPTIONS (Continued from Page 1)

Insurance is Primary and Non-Contributory on the General Liability Policy subject to the policy terms and conditions. The Umbrella Policy is excess of the General, Automobile and Employers Liability Policies.

FOR INFORMATION ONLY