



CONSTRUCTION RULES AND REGULATIONS

**The Empire State Building
New York, NY**

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SECTION I
BUILDING RULES AND REGULATIONS

A. General

CONTACT INFORMATION

Main..... 212.736.3100
Director of Operations Pia Silvestri (psilvestri@esbnyc.com)..... 212.736.3100

Tenant Services Emergency 212.736.0911

Assistant to Director of Operations:
Riza Solomon (rsolomon@esbnyc.com)..... 212.736.3100

Empire State Building Co., LLC
350 Fifth Avenue, Suite 300
New York, NY 10118
Phone: 212.736.3100
Fax: 212.967.6167

B. Compliance with Rules and Standards

All construction work proposed for “Tenant Alterations” must comply with NYC Department of Buildings, New York City, New York State and Federal Government agencies having jurisdiction over the project, the Administrative Code of the City of New York, ADA, and Empire State Building Rules and Regulations and Performance Standards.

C. Submission of Drawings

Tenant will submit to the Building Manager (Landlord) for review and comment prior to commencement of any work, four (4) sets, 1/8” scale, one hundred percent completed (signed & sealed) Architectural, Mechanical, Electrical, Plumbing (including sprinklers), Fire Alarm and Structural submissions. The drawings sets will be provided to Landlord’s consulting engineers for their review/comment.

Request for existing base building drawings by Tenant’s architect or engineer must be made in writing to the Building Manager. The Tenant will be responsible for all related charges and costs. Building Manager (Landlord) will not be responsible for base building drawings accuracy. Tenant’s architect(s) and engineer(s) to confirm accuracy of drawings.

The final “issue for construction”, conformed to Building Management (Landlord’s) comments, shall consist of one complete set of full-size and one “half-size” reduced drawings to Building Manager, 350 Fifth Avenue, Suite 300, New York, NY 10118

D. Permits and Applications

All work shall be filed with the NYC Dept. of Building and no work shall commence until the permits have been issued by the City of New York Department of Buildings. Copies of the permits and perforated/stamped plans must be given to the Building Manager, as well as posted/maintained on the construction site at all times.

The following expediter shall be used for the purposes of filing for permits:

Jessica Spiegel (Jessica@RizzoGroup.com)
Rizzo Group
1333 Broadway, 5th Floor
New York, NY 10018
(212) 695-5980

All Permit applications should be sent to:

Pia Silvestri Director of Operations
Empire State Building
350 Fifth Avenue, Concourse Suite 100
New York, NY 10118

All Tenants, Contractors, Architects and Engineers applying for a permit for construction at the Empire State Building are required to complete the applications as outlined below:

Business Name: Empire State Building Co. LLC
Address: 350 Fifth Avenue
Concourse Suite 100
New York, NY 10118

Phone: (212) 736 - 3100

Name of Signator: Pia Silvestri
Director of Operations

Name of 2nd Signator: Joe Bellina, RPA
General Manager

E. Contractors

The Landlord will furnish a pre-approved list of Contractors and subcontractors to the tenant. All alteration work requires the use of pre-approved contractors. All work must be performed with harmonious labor relations.

F. Certificate of Insurance Requirements

Before commencing any work to the premises, the Tenant is required to have their General Contractor and all subcontractors furnish a certificate of insurance to the Building Management office. See attached for Certificate of Insurance.

G. Access to the Building/Contractor Passes

Tenant to provide a list of contractors' names as well as a Tenant contact employees that will be working in the building. List to be submitted to Empire State Building's Operation's Department, Attention Brigid Fee (Bfee@esbnyc.com) so that passes can be made.

Passes will be available for pick-up at the Loading Dock of the Empire State Building. Contractors' passes will be issued following Contractors' presentation of an Official Government photo ID. No Contractors' pass will be issued without Government issued photo ID presented.

If weekend work is required, the Contractors must contact the Assistant Director of Operations for approval.

H. Deliveries and Building Freight Elevators

Delivery of all materials to the construction site must be made from the Loading Platform on West 33rd Street. The material must then be brought through to the basement via sidewalk elevators and then hauled through corridor to four freight elevators serving the building. Please note that not all elevators serve all floors.

All deliveries must be scheduled with Building Manager or building management personnel designated by the Building Manager. To schedule delivery of materials and use of freight elevators, submit request (see sample) to Building Management or use Work Speed. The normal operating hours for the freight elevators are 8:00AM- 6:00PM. Elevators are subject to availability and are available on a “first come first serve” basis. After hours use of the freight elevator for transport of construction materials/personnel must be scheduled in advance and may be subject charges (levied to tenant) at the prevailing rates. Should elevator mechanics be required for special delivery, the cost of having elevator mechanics on site shall be borne by tenant as applicable.

Passenger Elevator cars are not to be used in any way for transporting materials or construction personnel. No material or equipment shall be carried under or on top of elevators.

Freight Elevator ratings and size

- Freight Car 1 (Sub-Base To 80) – 3,500 – 4,500 lb rating – 5’-6” deep by 6’-11” wide by 8’-10” high; Door Opening: 7’-1” by 41”
- Freight Car 2 (Sub-Base To 57) – 3,500 lb rating – 5’-6” deep by 7’-2” wide by 9’-0” high; Door Opening: 7’-1” by 41”
- Freight Car 5 & 6 (Street to Sub-Base) – 5,000 lb rating – 6’-1” deep by 6’-11” wide by 8’-6” high; Door Opening: 7’-1” by 6’-0”

All materials are to be brought in proper containers and deliveries must be made directly to space under alterations. No storage or staging of materials is allowed on loading dock, in freight elevator lobby, in public corridors, elevator lobbies or any space other than site of construction.

All dollies, hand trucks, jacks, etc. shall be in good condition; iron wheels are not permitted in the building. Overflow or leakage from containers will not be tolerated.

All carpeted areas that will be affected by the moving of equipment or containers should be protected by pre-approved building standard means. Refer to Building Standard for protection requirements.

I. Exterior 33rd Street Hoist

Any contractors accessing floors that are serviced by the exterior hoist are not [permitted to use the interior freights. In the event that a contractor needs to leave from a hoist- serviced floor, the exterior hoist must be used to exit, unless in the event of an emergency.](#)

J. Protection of Public Areas & Building Equipment

All public areas such as elevator lobbies, corridors, lobbies, loading docks, toilets, etc. shall be maintained clean and protected using W&H standard materials. Equipment and other property belonging to the Building shall also receive protection and shall be repaired if damaged in the course of construction, to the satisfaction of the Landlord. The wall to wall floor protection consists of brown paper, masonite sheets taped together (brown tape), covered by Filmtex, and walls to be protected by W&H corrugated paper (with masonite underneath in freight areas), provided by building at tenants expense.

Shoe – wiping mats (either wetted down or sticky) to be provided at all entry points to adjacent areas.

K. Certificate and Completion of Work

The Tenant and/or Tenant's General Contractor shall submit the following certificates to the Building Management Office upon completion of work, including, but not limited to:

1. Building Notice Application approvals and sign-offs issued by the Department of Buildings. Electrical and HVAC certificates issued by:
 1. DOB.
 2. FDNY.
 3. Special Inspections.
4. Equipment use permits.
2. A properly executed air balancing report signed by the project's professional mechanical engineer shall be submitted to the Building Manager upon completion of HVAC work.
3. Copies of release of lien from the GC and all sub-contractors.
4. Tenant to submit to Building Manager upon completion of work a "close-out" book which will include all detailed "As-Built" documents for Architectural, Structural, HVAC, Sprinklers, Fire Alarm and Electrical Circuiting Plans. All Guarantees, warranties and operating manuals of equipment installed shall be provided. (Two hard copies and CAD drawings in Autocad 2000 or later are required).
5. At completion of project, General Contractor to complete project completion checklist.

See Building Manager for completion check-list.

L. Refusal of Permission

The Building Management Office also reserves the right to halt construction, at tenant's expense, upon failure of the Tenant General Contractor to comply with any of the Building Design Guidelines and Construction Specification Standards.

M. Amendment to Rules and Standards

Landlord reserves the right to amend any of these Rules and Standards at any time.

N. Violations of Building Rules

Repeated violations of any of the building rules contained herein, including use of passenger elevators, shall constitute grounds for Landlord requiring ejection of the offender, whether tradesman, subcontractor, or General Contractor. Depending on the severity of the violation(s), the offender may be barred from performing work throughout the building and any building supervised by W & H Properties and Malkin Properties.

Penalties will be charged for violations of certain Building Rules, in addition to any costs incurred by the Building. These Rules include (but are not limited to);

- Use of passenger elevators by construction personnel - \$250 per occurrence
- Use of non-designated (tenant only) restrooms - \$250 per occurrence
- Smoking anywhere in the building - \$250 per occurrence
- Use of radios on jobsite - \$250 per occurrence
- Noisy work during non-designated times - \$250 per occurrence

- Class “E” fire alarm activation- \$2,500.00 first occurrence, \$5,000.00 per occurrence thereafter.

Rules and penalty amounts are subject to change.

O. Structural Work

Any structural modification must be reviewed and approved by building structural engineer prior to commencement of work. This includes and core drilling or trenching. No conduits/core drilling or cutouts are permitted to be installed in the floor slab without written approval from the Building Manager (Landlord). Building Manager (Landlord) reserves the right to restrict locations of such items to areas that will not interfere with the buildings framing system or components. No Conduits or cut-outs are permitted outside of tenant’s premises.

P. Building Services and Related Fees

Contact Building Management services Pia Silvestri, Director of Operations – 212-736-3100 for current fee schedule.

Q. General Conditions/Requirements for All Work

1. There is no smoking allowed anywhere in the building.
2. No radio playing is permitted on the jobsite.
3. Use electric equipment only: fuel powered equipment is not permitted.
4. Do not burn materials or debris on premises.
5. All entrance locksets shall be master keyed as required by the building management.
6. Windows shall not be opened without Building approval. Any windows that are opened must be closed at the end of the work day.
7. No exterior hoisting will be permitted. All products specified are to be assembled on-site and delivered to the site in such a manner so as to allow unobstructed passage through the building freight elevators, lobbies, corridors, etc. The general contractor will be responsible for protection of all finished spaces as required.
8. If suspected asbestos containing material is uncovered during tenant's renovation, Building Management is to be notified immediately to remediate.
9. General Contractor to provide a superintendent or foreman (project manager) capable of communicating with Building Management on premises at all times. In addition, a laborer capable of communicating with Building Management is to be on site to police job at all times, continually keeping area safe, broom clean, and free of all debris.
10. Contractor to inform Building Management of any incidents (e.g. damage, leaks, thefts, etc.) or injuries and submit a detailed incident report within one business day of the incident.
11. If Tenant’s General Contractor or subcontractors are negligent in any of their responsibilities, Tenant shall be charged for any corrective work performed on tenant’s behalf by the Landlord.
12. General Contractor to provide Building Management with an emergency contact list with an administrative fee.
13. Harmonious relations shall be used by all contractors and subcontractors performing any and all work in a professional manner. Labor shall work in close harmony with one another as well as with the building management and building’s maintenance personnel.
14. Construction personnel are to use only the assigned bathroom and wash-up facilities as directed by Building Management.
15. Contractors and vendors who operate cellular phones, PDA’s and/or two-way communication devices should keep the volume on these devices no louder than necessary. When passing through tenant or public spaces, the device should be set to vibrate. Where the use of the device is necessary in a work space, the contractor should be mindful of his or her surroundings and keep

- conversations and the volume on cellular phones and two-way communications to a minimum. There is to be no loitering in Building common areas for use of these devices.
16. All work shall be accomplished in strict conformance to the applicable local, state, OSHA and base building standard codes and requirements. Removal of materials and equipment items shall be done when safely disconnected from operating services by contractor skilled in this trade.
 17. Do not allow demolished materials to accumulate inside or outside of Building. Remove from the site all rubbish and debris resulting from work of demolition. Wet down debris to control dust.
 18. The general contractor shall be responsible for all temporary services and utilities during the course of demolition including adjacent tenants. Cost or use charges for temporary facilities are chargeable to the tenant.
 19. All fire exits and/or stairways to be kept clear, marked and accessible and doors are to remain closed at all times to maintain fire evacuation integrity of stairwell.
 20. At all times contractor shall maintain: 1. Operable exit signage & egress lighting. 2. Safe egress passage to all exits. 3. Active fire detection/suppressing system or fire watch.
 21. Use designated transportation routes to Tenant work area. Contractor is not to use fire exits, stairways or passenger elevator cars as a means of daily access to and from construction site, or for storage of equipment and materials.
 22. The practice of "chocking" open doors or making hardware inoperative will not be permitted.
 23. Avoid and prevent the disturbance to other Tenants. Work in or around other Tenant areas must be coordinated in advance with Building Management and proper security must be provided at Tenant's expense.
 24. No work is to be performed in Building's mechanical equipment rooms, service areas or electrical closets without first checking in with Building Management/ Engineer
 25. Restore damaged fireproofing at existing structure due to new construction.
 26. Electric panel covers are not to be left off at any time unless when being worked on. Cover shall be replaced each night before leaving the site.
 27. General Contractor to provide temporary lighting and power per code for duration of project. The contractor shall clearly label lighting panels and breakers used for lighting. Temporary lighting to be removed at the completion of construction.
 28. All work shall be subject to inspection by Building Management. Such supervision and inspection shall be at Tenant's expense, if applicable. Any and all deficiencies noted, as a result of the inspection, shall be corrected by the Tenant, or the Tenant's contractor at the Tenant's expense, if applicable. Any and all punch list items identified by Building Management shall be corrected within twenty (20) working days, unless such items affect life safety in which case they should be addressed immediately, Building Management has the right to back-charge tenant for additional Building Management and consultant services.
 29. Landlord shall not be responsible for any disturbance or deficiency created in the air conditioning or other mechanical, electrical or structural facilities within the building as a result of the alterations. If such disturbance or deficiency results, it shall be the Tenant's responsibility to correct the resulting conditions immediately and to restore the services to the complete satisfaction of the Landlord, its architect and engineers. Building Management reserves the right to make such corrections at the Tenant's expense.
 30. All equipment shall be identified by system number, and their performance/operating data on the design drawings. All equipment shall be specified, with manufacturers name, model number, etc.
 31. Contractor's Drawings, Tagging and Labeling: All wires must be properly tagged at panel, and all panels properly phase balanced after addition of separate circuits where change were made. All valves must likewise be properly tagged. Failure to properly tag all wires and valves will result in additional charges to Tenant as Building Management test and tags all wires and valves where General Contractor has made changes. All plumbing lines, electrical lines and telephone wires in another Tenants' premises must be tagged to the Landlord's approval before completion of project if services traverse other occupied Tenant spaces or building common areas. Any slab penetrations must be properly tagged with suite and purpose. A type-written complete directory in the electrical panel must be upgraded by Tenant's General Contractor to reflect all circuits both new and existing. A dated, 8 1/2" x 11" complete panel directory, on the Electrical subcontractor's letterhead shall be furnished to Building Management as part of the project closeout documentation.
 32. "Safe-off", with valves, caps or plugs, all services supplying plumbing fixtures and equipment in areas designated for demolition, prior to the start of demolition work.

33. All mechanical and plumbing connections to building water systems, waste and vent lines, etc. are to be performed after normal working hours and coordinated with the Building Management/Engineers. Provide isolation/shut-off valves for all water lines (Mechanical and Plumbing) with no interruption of tenant service during normal business hours and not without being coordinated with building.
34. Base building fire alarm system integrity shall be maintained at all times. Existing ceiling mounted speakers, smoke detectors and strobes shall be carefully removed from ceiling tiles and walls and placed high in space, secured to the structural steel. Do not disconnect or remove or paint over any fire alarm wiring, devices or fire alarm panels without active participation from Building Management. Carefully protect BBFAS wiring during construction.
35. Per New York City code requirements for floor coverage, the Fire Detection and Protection System must be on-line and the Class "E" system must be maintained. If the above cannot be met, a fire watch must be maintained with a minimum of 24 hour advance notification to the Building Management Office that the General Contractor requires fire detection/protection systems to be off-line. The fire watch is to meet all applicable and governing agency codes, and provide adequate and proper documentation. Fire watch shall perform no other duties while on watch. If requested, certified fire watch can be provided by Building Management at the Tenant's expense. If the fire watch is provided by a Tenant's contractor, all responsibilities/duties of such fire watch shall be in compliance with NYC Local Law 5. Any work performed on the Class "E" System must be done by Empire State Building Fire Alarm contractor. Terminations and contacts provided by Siemens Building Technologies. All requests to take the Class "E" System off-line including sprinkler drain downs requests, if applicable, must be made in writing to the Building Management Office with a minimum of 72 hours in advance. Failure to comply may result in the issuance of monetary fines. All associated fees/fines will be submitted to and are the sole responsibility of the tenant.
36. Provide and maintain filter on supply and return grille openings as applicable, to keep dust from entering the Building's air supply systems. Provide double filters, or apply bulk filter media over package filters at all HVAC equipment running during construction, including perimeter induction units. Upon completion of demolition/construction all filters are to be removed, equipment cleaned to Building Management satisfaction and unit primary filters to be replaced. If this is not cleaned to Building Management satisfaction, Building Management will perform cleaning at Tenant's expense.
37. Core drilling will be allowed before 8 a.m. or after 6 p.m. only after complete survey and probe of slab and fill is performed to assure they are clear of any existing conduit or obstructions. Permission to perform such drilling must be obtained from the Building Manager. All work shall be properly fire stopped and safed. Core drilling in electrical closets is strictly forbidden.
38. Adhesives, sealants and sealant primers must comply with volatile organic compound (VOC) limits as outlined in south coast air quality management district (SCAQMD) Rules 1168 effective July 1, 2005 and amended on January 7, 2005.
39. Aerosol adhesives must comply with Green Seal standard for commercial adhesives GS-36 requirements in effect on October 19, 2000.

