Appendix C
Directors, Owners, Officers or Other High-Level Employees Background Information Form

To be completed by all persons identified in your response to Appendix A, section K.

Section A: Personal Information

1. Name (First, Middle, Last): David Kimmel			
2. Street Address (including Apartment or Suite #): 20 Mayer Drive			
3. City: Montebello		4. State: NY	5. Zip Code: 10901
6. Title: Chairperson, President & GM	7. Telephone Number: (845) 629-5918	8. E-mail Address: carawaykid@gmail.com	
9. Date of Birth: [redacted]	10. Social Security Number: [redacted]	11. Gender: ☑ Male ☐ Female	

Section B: Employment Information

12. Current or Most Recent Employer: State University of New York - Rockland		13. Date of Employment: Start Date: 09/01/2008 End Date: :	
14. Employer Address (including Apartment or Suite #): 145 College Road			
15. City: Suffern		16. State: NY	17. Zip Code: 10901
18. Daytime Telephone Number: (845) 574-4486	19. Fax Number: (845) 574-4153	20. E-mail Address: ssolomon@sunyrockland.edu	

Section C: Marijuana or Agriculture Business Experience

21. Other than the applicant, do you have any experience controlling, managing, operating or working for a marijuana or agriculture business?

☑ Yes ☑ No

22. Other than the applicant, are you currently associated with a marijuana or agriculture business in any state or country?

☐ Yes ☑ No

23. If you answered "yes" to question 21 or 22, attach a statement setting forth the following information for each marijuana or agriculture business with which you have been associated:

- The business name;
- Products or services offered;
- The business location;
- All titles and responsibilities held by you at the business, including the time frame for each;
- The dates of your association with the business;
- Whether you currently have a role at the business and, if not, when your involvement terminated and why; and
- Whether the business was ever alleged to have violated the laws or regulations of the state or country in which it operates during the time period when you were associated with the business and, if so, the nature and resolution of those allegations.

Section D: Other Relevant Business Experience

24. Do you have any experience controlling, managing, operating or working for any other business that you believe may be relevant to the department's evaluation of the applicant with whom you are associated?

☑ Yes ☑ No

25. If you answered "yes" to question 24, attach a statement setting forth the following information for each such business with which you have been associated:

- The business name;
- Products or services offered;
- The business location;
- All titles and responsibilities held by you at the business, including the time frame for each;
- The dates of your association with the business;
- Whether you currently have a role at the business and, if not, when your involvement terminated and why;
- Whether the business was ever alleged to have violated the laws or regulations of the state or country in which it operates during the time period when you were associated with the business and, if so, the nature and resolution of those allegations; and
- How this experience is relevant to the department's evaluation of the RFA response of the applicant with whom you are associated.

Section E: Licenses, Permits and Registrations

Provide information regarding all state licenses, permits and registrations ever held, current or expired by you. Attach additional pages if necessary.

26. State NY	27 [redacted] E[redacted]
30. State NY	31 [redacted] E[redacted]

Section F: Legal Proceedings

34. Have you, or has any entity over which you exercised management or control, had any petition filed by or against you, or otherwise sought relief under, any provision of the Federal Bankruptcy Act or under any State insolvency law in the last ten year period?

☐ Yes ☑ No

If the answer above is "yes", attach a statement providing the details of such proceeding or petition.

35. Have you, or has any entity over which you exercised management or control, ever had a professional license, permit or registration in Connecticut, or any other State, suspended, revoked or otherwise subjected to disciplinary action?

☐ Yes ☑ No

If the answer above is "yes", attach a statement providing the date(s), the type of license, permit or registration at issue, and a description of the circumstances relating to each suspension, revocation or other disciplinary action.

36. Are you a party to any legal proceedings where damages, fines or civil penalties may reasonably be expected to exceed $500,000 above any insurance coverage available to cover the claim?

☐ Yes ☑ No

If the answer above is "yes", attach a statement describing the litigation, including the title and docket number of the litigation, the name and location of the court before which it is pending, the identify of all parties to the litigation, the general nature of the claims being made and the impact an unfavorable opinion may have on the applicant or the applicant's operations.

37. Have you, or has any entity over which you exercised management or control, ever had any fines or other penalties over $10,000 assessed by any regulatory agency?

☐ Yes ☑ No

If the answer above is "yes", attach a statement providing the details of such fines or penalties.

Section G: Criminal Actions

38. Have you ever been convicted of a crime or received a suspended sentence, deferred sentence, or forfeited bail for any offense in criminal or military court or do you have any charges pending? ☑ Yes ☐ No

If the answer above is "yes", attach a statement providing the date(s) of conviction(s), name of individual(s) involved, the court(s) where the case(s) were decided, a description of the circumstances relating to each offense or for the pending charges and the outcome of the proceedings.

Section H: Criminal Background Check

I understand that the department may review criminal background records for purposes of evaluating my suitability to participate in the medical marijuana program. I hereby authorize the release of any and all information of a confidential or privileged nature to the department and its agents.

39. Signature:	40. Date Signed:
▶	11/02/2013

I hereby certify that the above information is correct and complete.

I fully understand that if I knowingly make a statement that is untrue and which is intended to mislead the Department of Consumer Protection or any person designated by the Department in the performance of their official function, I will be in violation of Section 53a-157b of the Connecticut General Statutes.

41. Signature:	42. Date Signed:
▶	11/02/2013

David Kimmel
Section C: Marijuana or Agriculture Business Experience
Question: 21.

Business Name: **Off-Season Fruit & Produce**

Products or Services Offered:

- Consulted on product development for fresh market, IQF and processed fruit and vegetable frozen channels.
- Consulted on regulatory requirements for USDA import, U.S. Entry and Customs clearance and USDA NOP Standards.
- Consulted on niche market demands and direct farm to market strategies to insure the most amount of money to the farmers, while offering the best possible SRP on the shelf to the customers.
- Consulted with growers on alternative treatment programs for meeting USDA Treatment program importation requirements, grading issues, packaging techniques, Q&A development programs, sanitary handling requirements and training programs in the fields and packing houses for the proper harvesting and transport of product.
- Importer of record for fresh market fruit & produce to the United States and Canada (Import Permit For Plants and Plant Products.)
- Wholesaler of Camarosa strawberries, Highbush blueberries, Navel oranges, stone fruits, pomegranate juice concentrate, organic and natural essences and extracted, folded aromas.
- Sourced raw ingredients and developed products for food and beverage manufacturers and store brand supermarket chains, focused in the health and wellness channels.

Business Location: One Blue Hill Plaza, Pearl River, NY

Title: President/Owner
From 7-16-1999 until 6-30-2004

- Oversight and hands-on management of product specification standards and Q&A standards.
- Crop forecasting and harvest projections.
- On-site crop and packing house inspections.
- On-site pesticide and fumigant testing.
- On-site USDA NOP testing and inspections.
- COA document verification and sign-off
- Bill of Landing, Custom and Clearance other import documental oversight and sign-off.

Business Name:	**The Heirloom Tomato Sauce Company**
Products or Services Offered:	Organic heirloom tomato based products
Location:	Bremen, Maine
Title:	V.P Product Development and Business Manager From 9-15-2008 until 11-15-2010 Organized 18 New England growers of heirloom tomatoes to grow strain-specific heirloom varieties for the company's product manufacturing requirements. Responsibility included strain and variety specification selection, purchasing oversight, periodic field inspections, harvest oversight, handling and processing logistics, packing requirements, co-packer manufacturing selection and sales and marketing strategic planning.
Associated with Business:	9-15-2009 until 11-15-2011 Involvement terminated in 2011 when the entire crop was struck with blight and business was closed.
Violation of Law or Regulation:	During the time of business' operation, the company was never alleged to have violated the laws or regulations of the state of country in which it operated in during this time period.

- Management of all tariff related issues.
- Management of all required USDA treatment programs.
- Laboratory testing sign-off on all fruit, produce and other food products to include USDA, FDA or client based requirements.
- Management of all USDA called inspections.
- Cold chain logistics oversight
- Purchasing and Letter of Credit coordination.
- International, state and federal regulatory interface.
- Marketing and sales strategic planning.
- Labeling design development and FDA requirement standards.
- Product ideation and development.
- Co-packer identification, selection and management oversight.
- Accounting and line item budgetary responsibility.

Associated with Business: 7-16-1998 until 1-30-2004
Involvement terminated in 2004 when the business was closed. The business was severely impacted by the affects of September 11, 2001. The New York Port of Authority was the main port of entry for the company's fresh market products for its tri-state natural market distribution and supply chain. The company could not regain the customers lost following 9-11.

Violation of Law or Regulation: During the time of business' operation, the company was never alleged to have violated the laws or regulations of the state of country in which it operated in during this time period.

USDA Permit#: 56-28482

David Kimmel
Section D: Other Relevant Business Experience
Question: 25.

Business Name: **George Lang Corporation**

Products or Services Offered:

- Product development for upscale, shelf-stable food and beverage products focused on flavor and nutrition.
- Restaurant conceptual development including all integral components (kitchen design, work flow, alcohol control programs, inventory control programs etc.)
- Design development phase management of architects, interior designers, lighting designers, graphic designers, uniform designers, contractors and vendors.
- Client representative for on-sight construction management including adherence to all bid documents as designed.
- Develop all budgets with related contractors.
- Insure all budgets are maintained as projected.
- Develop all financial projections for the operation.
- Undertake an executive search for key management employees and structure all contractual agreements.
- Develop and write employee handbooks and all employee training manuals.
- Assist in the training of the grand opening staff.
- Recipe development for all fresh product and baked goods.
- Laboratory interface for microbiological and shelf-life testing.
- Assist in the launch of the operation for three months to oversee any areas that need adjustment, rethinking or employees who require additional training.

Business Location: 33 West 67th, New York, New York

Title:

Assistant to the Vice President:	4/1979 -8/1983
Vice-President:	9/1983-10/1985

As vice president responsibilities included complete client interface and project management for all the company's clients internationally. Client list included CitiCorp, NY, Helmsley Hotels, NY, Sheraton Hotels International, Luciano Pavarotti, Museum of Modern Art, Doubletree Hotels, ADM Corporation, Movenpick, General Foods, Sky Chef and the Stamford Town Center. Additional responsibilities included oversight

	management of George Lang's restaurant, the Café des Artistes, New York.
Associated with Business:	4/1979 until 9/1985 Involvement terminated when I resigned to form my own company.
Violation of Law or Regulation:	During the time of business' operation, the company was never alleged to have violated the laws or regulations of the state of country in which it operated in during this time period.

Business Name: **Caraway Associates Ltd.**

Products or Services Offered:

- Product development for upscale, shelf-stable food and beverage products focused on flavor, health and wellness.
- Restaurant conceptual development including all integral components (kitchen design, work flow, alcohol control programs, inventory control programs etc.)
- Design development phase management of architects, interior designers, lighting designers, graphic designers, uniform designers, contractors and vendors.
- Client representative for on-sight construction management including adherence to all bid documents as designed.
- Develop all budgets with related contractors.
- Insure all budgets are maintained and managed as projected.
- Develop all financial projections for the operational entity.
- Undertake an executive search for key management employees and structure all contractual agreements.
- Develop and write employee handbooks and all employee training manuals.
- Assist in the training of the grand opening staff.
- Recipe development for all fresh product and baked goods.
- Laboratory interface for microbiological and shelf-life testing.
- Assist in the launch of the operation for three months to oversee any areas that need adjustment, rethinking or employees who require additional training.
- Guest lecturing and public speaker.
- Cookbook contributions
- Equipment development and pre-market testing.
- Restaurant management including Café Montana, NYC, El Teddy's NYC and Dick Clark's American Bandstand Grill , Miami.

Business Location: 124 West 87th, New York, New York

Title: President: 10/1985 - 9/1990

As president responsibilities included complete client interface and project management for all the company's clients internationally. Client list included Dick Clark Productions, The World Financial Center, NY, The NYC Boat House in Central Park, General Mills, IMAX Theaters and Intercontinental Hotels, Hilton Hotels, Bakers Pride Oven Company, Lukon Electronics, Mezzaluna, Eat Healthy Bloomingdales Diet, Goldstar Electronics and the Chattanooga Cho Choo.

Associated with Business:	10/1985 - 9/1990 Business was closed to daughters being born in 1986 and 1989 and a personal decision was made to stop traveling.
Violation of Law or Regulation:	During the time of business' operation, the company was never alleged to have violated the laws or regulations of the state of country in which it operated in during this time period.

Business Name: **Blue Hill Restaurant Corp.**

Products or Services Offered:

Restaurant management services for business and industry clients including Orange and Rockland Utilities, Dress Barn, Xenergy, Lederle, Verizon and the construction crew of the Palisades Mall.

- Food and Beverage facilities and operational management
- On-premise catering
- Off-premise catering
- Kitchen design
- Menu design and recipe development
- Interior design and workflow layout
- Event planning
- 24 hour storm emergency catering

Business Location: 1 Blue Hill Plaza, Pearl River, NY

Title: President: 10/1991 - 9/2005

As president and eventual sole owner, responsibilities included day to day management of multi-unit on and off-site operations including six restaurants, a music venue with a New York state liquor license, snack shop with New York state Lotto license and an off-premise catering company.

Associated with Business: 10/1991 - 9/2005
Lease was lost due to building ownership conversion.

Violation of Law or Regulation: During the time of business' operation, the company was never alleged to have violated the laws or regulations of the state of country in which it operated in during this time period.

Business Name: **State University of New York - Rockland**

Products or Services Offered:

Adjunct Professor

- Alcohol and Beverage Management
- Purchasing and Inventory Control
- Food & Culture in America
- Developed online course on Purchasing and Inventory Controls

Business Location: 145 College Road, Suffern NY

Title: Adjunct Professor 2008-present

Teaching and educational responsibilities include proper control and handling of alcoholic beverages, Dram Shop laws, liabilities, state regulatory understanding, licensing, substance abuse, inventory procedures, FIFO, storage procedures, bid document development, beverage service training, wine service training, testing, class management and syllabus development, hand-out creation, USDA NOP organic certification, kosher and halal standards, marketing and promotion, beverage costing, spirit manufacturing, beer production, GMO's, wild caught, farm raised, grass fed beef corporate food chain domination and food and politics.

Associated with Business: Fall 2008 - present

Violation of Law or Regulation: During the time of business' operation, the company was never alleged to have violated the laws or regulations of the state of country in which it operated in during this time period.

The experience outlined above is relevant as it relates to;

- The successful handling and sale of controlled substances (alcohol and tobacco products) and understands the responsibility thereof.
- The ability to conceive, design and project manage operations that include multi-faceted operations, security controls, theft prevention, transportation systems and complete financial and product accountability.
- Budgetary responsibility for operations with gross revenues of over five million dollars annually.
- Training instructor in a classroom and real world environment.
- Management of over 30 full-time employees.
- Day to day operational responsibility in situations where dangerous equipment, tools and chemicals are regularly available.
- Strong background in maintaining a sanitary food quality environment.
- Product development experience in the health and wellness channels.
- Product manufacturing experience.
- Leadership experience.
- Quality assurance experience.
- Employee manual and handbook writing experience.
- Multi-tasking capabilities.
- Inventory control background and experience in perishables, shelf stable, chemical/MSDS related products and controlled substances.
- Cash handling experience.
- Accounting software experience (Peachtree)
- Experienced with security systems and programs.
- Experience with bar code and RFID scanning systems.
- Experience in software inventory control systems.
- Experience in dealing with state and federal regulatory agencies.
- Understanding of consistency in product.
- Understanding of customer service.
- Understanding of supply and demand by customer requirement.
- Ability to source ingredients from qualified suppliers.
- Laboratory microbiological, pesticide, fumigant or contaminant detection and testing experience and understanding.
- FDA labeling regulatory understanding.
- USDA NOP regulatory understanding.
- Development of opening and closing procedures.
- Experience in vault and safe management.

36. Are you a party to any legal proceedings where damages, fines or civil penalties may reasonably be expected to exceed $500,000 above any insurance coverage available to cover the claim?

☐ Yes ☑ No

If the answer above is "yes", attach a statement describing the litigation, including the title and docket number of the litigation, the name and location of the court before which it is pending, the identify of all parties to the litigation, the general nature of the claims being made and the impact an unfavorable opinion may have on the applicant or the applicant's operations.

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Section G: Criminal Actions

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If the answer above is "yes", attach a statement providing the date(s) of conviction(s), name of individual(s) involved, the court(s) where the case(s) were decided, a description of the circumstances relating to each offense or for the pending charges and the outcome of the proceedings.

Section H: Criminal Background Check

I understand that the department may review criminal background records for purposes of evaluating my suitability to participate in the medical marijuana program. I hereby authorize the release of any and all information of a confidential or privileged nature to the department and its agents.

39. Signature:	40. Date Signed:
▶ [signature]	11-8-13

I hereby certify that the above information is correct and complete.

I fully understand that if I knowingly make a statement that is untrue and which is intended to mislead the Department of Consumer Protection or any person designated by the Department in the performance of their official function, I will be in violation of Section 53a-157b of the Connecticut General Statutes.

41. Signature:	42. Date Signed:
▶ [signature]	11-8-13

CT DEPT OF EMERGENCY SERVICES AND PUBLIC PROTECTION
STATE POLICE BUREAU OF IDENTIFICATION
1111 COUNTRY CLUB RD
MIDDLETOWN, CT. 06457

[redacted]

David Kimmel
Appendix C
Section E. Licenses, Permits and Registrations
Additional Permit

[redacted]