



PW1: Plan/Work Application

Application must be typewritten

☒ Orient and affix BIS job number label here ☒
122716784

1 LOCATION INFORMATION (required for all applications)

House No(s) 401 Street Name EAST 55TH STREET

Borough Manhattan Block 1367 Lot 1 BIN 1040460 CB No. 106

Work on Floor(s) CEL Apt./Condo No(s)

2 APPLICANT INFORMATION (required for all applications; fax, mobile phone and email address are optional information)

Last Name SMITH First Name CHAD Middle Initial

Business Name SMITH & ARCHITECTS Business Telephone (212) 683-4576

Business Address 4711 30TH AVENUE Business Fax () -

City ASTORIA State NY Zip 11103 Mobile Telephone (646) 382-8151

Email CHAD@SMITHANDARCHITECTS.COM License Number 028392

Choose one: ☐ P.E. ☒ R.A. ☐ Sign Hanger ☐ R.L.A. ☐ Other:

3 FILING REPRESENTATIVE (complete only if different from applicant specified in Section 2; fax, mobile phone, and email are optional info)

Last Name LOPEZ First Name ALEJANDRO Middle Initial

Business Name KM ASSOCIATES OF NY, INC. Business Telephone (212) 563-6760

Business Address 14 PENN PLAZA SUITE 1610 Business Fax (212) 563-6753

City NEW YORK State NY Zip 10122 Mobile Telephone () -

Email ALOPEZ@KMAOFNY.COM Registration Number 001830

4 FILING STATUS (required for all applications; choose one and provide specified associated information)

☐ Initial Filing 5, 7, 11, 12A, 25-26

Choose one only:

- ☐ Standard Plan Examination or Review
☐ Professional Certification PC1, POC1
☐ Professional Certification of Objections A11

☒ Prior to Approval Actions 25-26

☒ Amend Existing Filing 4A

☐ Subsequent Filing 6-7, 8A (Alt-2 only), 11

☐ Post Approval Amendment (PAA) 4A, 6, 24-25

Will PAA affect filing fees? ☐ YES ☒ NO

☐ New (Superseding) Applicant 4A, 25-26

☐ Reinstatement 24-26

☐ Withdrawal 26

☐ Specified in 4A and 6

☐ Entire Job

4A Indicate existing document number affected by filing: 08

5 JOB/PROJECT TYPES (choose one and provide specified associated information)

☐ Alteration Type 1 or Alteration Type 1 required to meet New Building requirements (28-101.4.5) 6A-E, 8B-C, 8F, 9-10, 12, 13C-F, 14, 18-20, 22 & PW1A, PD1

☐ Alteration Type 1, OT: 'No Work' 8C, 8F, 9-10 & 12, 13C-F, 14, 18-19, 22, PW1A, PD1

☐ Alteration Type 2 5A, 6A-D, 8A-B, 9-10, 13C-E, 14, 20, 22

☐ Alteration Type 3 5A, 6B-F, 8C, 9-10, 13C-E, 20, 22

☐ New Building 6A-E, 8F, 9A, 9C-K, 9M, 10, 12 & 13A-E, 14, 18-20, PW1A, PD1

☐ Sign 5A, 6B-D, 9A, 9D, 22-23

☐ Full Demolition 6B, 8D, 9A & 9C-D, 9K, 9M, 13D-E, 14, 21A, 22

☐ Subdivision 9A, 9D, 12A-B

☐ Condominium ☐ Improved 17

5A Directive 14 acceptance requested?

☐ YES ☐ NO

6 WORK TYPES (select all that apply but no more than allowed by job & filing type: OT required on all NB and Alteration 1 initial applications)

6A ☐ BL - Boiler PW1C

☐ FA - Fire Alarm

☐ FB - Fuel Burning PW1C

6B ☐ EQ - Construction

☐ Equipment 15

☐ FS - Fuel Storage PW1C

☐ FP - Fire Suppression

☐ MH - Mechanical

6C ☐ OT/GC - General

☐ Construction

☐ PL - Plumbing PW1B

☐ SD - Standpipe PW1B

☐ SP - Sprinkler PW1B

6D ☒ OT - Other, describe:

Certificate of Occupancy

6E ☐ CC - Curb Cut 16

☐ OT/LAN - Landscape

6F ☐ OT/ANT - Antenna

☐ OT/BPP - Builders Pavement Plan 8D

☐ OT/FPP - Fire Protection Plan

☐ OT/MAR - Marquee 8E, 26B

7 PLANS/CONSTRUCTION DOCUMENTS SUBMITTED (plans are required for most applications)

Are plans being submitted with this PW1? ☒ YES ☐ NO If YES, do the plans include: ☐ FO - Foundation ☐ EN - Energy Analysis

8 ADDITIONAL INFORMATION

8A	WT	Cost	WT	Cost	WT	Cost	8B	Is a building enlargement proposed?	8C	Estimated Job Cost \$ 0
								☐ NO enlargement is proposed	8D	Street Frontage: linear ft.
								☐ YES 12, PD1	8E	Height: ft. Width: ft.
								☐ Horizontal ☐ Vertical	8F	Total Building Square Footage: sq. ft.
								Additional Construction Floor Area: sq. ft.		

9 ADDITIONAL CONSIDERATIONS, LIMITATIONS OR RESTRICTIONS

9A Review is requested under which Building Code? ☐ 2022 ☐ 2014 ☐ 2008 ☐ 1968 ☐ Prior to 1968

YES	NO	YES	NO
9B	☐ Alteration required to meet New Building requirements (28-101.4.5) If yes, 13A-B	☐ Change in number of dwelling units	
	☐ Alteration is a major change to exits	☐ Change in Occupancy/Use	
9C	☐ Façade Alteration	☐ Change is inconsistent with current Certificate of Occupancy	
	☐ Adult Establishment If YES, plot diagram (except DM)	☐ Change in number of stories	
	☐ Compensated Development (Inclusionary Housing)	☐ Infill Zoning	
	☐ Low Income Housing (Inclusionary Housing)	☐ Loft Board YES NO Work Includes:	
	☐ Single Room Occupancy (SRO) Multiple Dwelling	☐ Quality Housing ☐ Prefab wood I-joists	
	☐ Filing includes Lot Merger/Reapportionment If YES, 17	☐ Site Safety Job/Project ☐ Structural cold-formed steel	
9D	☐ Landmark	☐ Included in LMCCC ☐ Open-web steel joists	
	☐ Little 'E' or RD Site	☐ Filing to address violations (list #s—max. 5):	
	☐ Unmapped/CCO Street		
	☐ Requesting legalization of work where no work without a permit violations have been issued		
	☐ Other (please specify on line provided below):	☐ Filing to comply with Local Laws (list #s—max. 2)	
	☐ CRFN(s) Restrictive Declaration/Easement (max. 4):		
	☐ CRFN(s) Zoning Exhibit (I, II, III, etc. - max. 4)		
9E	☐ BSA Calendar Numbers (max. 5):		
9F	☐ CPC Calendar Numbers (max. 5):		
9G	☐ Work includes lighting fixture and/or controls, installation or replacement. [ECC §404 and §505]		
9H	☐ Work includes modular construction under NYS jurisdiction	9I	High Rise Team tracking #:
	☐ Work includes modular construction under NYC jurisdiction		
9J	☐ Structural peer review required per BC 16. If YES, provide NYS P.E. license number:		
9K	☐ Work includes permanent removal of standpipe, sprinkler or fire suppression related systems		
9L	☐ Work includes partial demolition as defined in AC §28-101.5, or the raising/moving of a building. If YES, 21B		
	☐ Structural stability affected by proposed work		
9M	☐ Work involves or will result in:		
	1) an amount of soil disturbance greater than or equal to 20,000 square feet; or		
	2) the creation of 5,000 square feet or more of impervious surface.		
	☐ Work is part of a larger common plan or development or sale that involves or will result in:		
	1) an amount of soil disturbance greater than or equal to 20,000 square feet; or		
	2) the creation of 5,000 square feet or more of impervious surface.		

10 NYCECC COMPLIANCE (New York City Energy Conservation Code)

- ☐ To the best of my knowledge, belief and professional judgment, all work under this application is in compliance with the NYCECC*
Code Compliance Path (choose **one**): ☐ NYCECC ☐ ASHRAE
Energy Analysis (choose **one**): ☐ Tabular Analysis ☐ REScheck ☐ COMcheck ☐ Energy Modeling (EN1)
- ☐ To the best of my knowledge, belief and professional judgment, all work under this application is exempt from the NYCECC* in accordance with one of the following (choose **one**):
☐ The work is an alteration of a State or National historic building.
☐ The scope of the work is entirely in a "low-energy building" and is limited to the building envelope.
☐ The entire scope of work involves a temporary structure and/or one or more of the following work types: FA, FP, SD, SP, FS, EQ, CC, OT/BPP, OT/FPP. Other work types are not exempt.
☐ This is a post-approval amendment and exempt under a prior edition of the Energy Code. See statement of exemption on attached drawings.

11 JOB DESCRIPTION

See Section 24

11A RELATED DOB JOB NUMBERS

11B Primary application Job No.

12 ZONING CHARACTERISTICS

12A District(s) R10				12B Street legal width: 60 ft.			
Overlay(s) C1-5				Street Status: ☒ Public ☐ Private			
Special Dist.(s)				If the zoning lot includes multiple tax lots, list all tax lots here ►			
Map Number 8D							

12C Proposed: Use*	Zoning Floor Area	District	FAR	Proposed Lot Details:	Proposed Yard Details:
	sq. ft.			Lot Type: ☐ Corner ☐ Interior ☐ Through	Check here if no yards: or
	sq. ft.			Lot Coverage %	Front Yard ft.
	sq. ft.			Lot Area sq. ft.	Rear Yard ft.
	sq. ft.			Lot Width ft.	Rear Yard Equivalent ft.
	sq. ft.			Proposed Other Details:	Side Yard 1 ft.
	sq. ft.			Enclosed Parking? ☐ YES ☐ NO	Side Yard 2 ft.
Proposed Totals	sq. ft.			If YES, # of parking spaces:	
Existing Total	sq. ft.			Perimeter Wall Height ft.	

*Use can be one of the following: residential, commercial, manufacturing, or community facility. List only **one** use per line.

13 BUILDING CHARACTERISTICS *Main use/dominant occupancy per AC §28-101.5 **Use 2022 Code equivalents †Residential w/other use

13A Primary structural system, choose **one**: ☐ Masonry ☐ Concrete (CIP) ☐ Concrete (Precast)
☐ Wood ☐ Steel (Structural) ☐ Steel (Cold-Formed) ☐ Steel (Encased in Concrete)

13B	Existing	Proposed	13D Building Type:
Structural Occupancy/Risk Cat.			☐ 1, 2, or 3 Family ☐ Other
Seismic Design Cat.			Mixed-use building?† ☐ YES ☐ NO
13C Occupancy Classification*	RES	R-2	13E
Construction Classification	1	1	Building Height
Multiple Dwelling Classification	HAEA	HAEA	Building Stories
			Dwelling Units

13F Building was originally erected pursuant to which Building Code: ☐ 2022 ☐ 2014 ☐ 2008 ☐ 1968 ☐ Prior to 1968
The earliest Code with which this building or any part of it is required to comply: ☐ 2022 ☐ 2014 ☐ 2008 ☐ 1968 ☐ Prior to 1968

14 FILL (choose **one**)

- ☐ Not Applicable ☐ On-Site ☐ Off-Site ☐ Under 300 cubic yards

15 CONSTRUCTION EQUIPMENT

- ☐ Chute ☐ Sidewalk Shed ☐ Construction Material: _____
☐ Fence Size: _____ linear ft. BSA/MEA Approval No. _____
☐ Supported Scaffold ☐ Other: _____

16 CURB CUT DESCRIPTION

Size of cut (with splays): _____ ft.
Distance to nearest corner: _____ ft.
to street: _____

17 TAX LOT CHARACTERISTICS

Original tax lots being merged or reapportioned (if applicable):

--	--	--	--	--	--	--	--	--	--

Tentative tax lot numbers (new tax lots only):

--	--	--	--	--	--	--	--	--	--

18 FIRE PROTECTION EQUIPMENT

	Existing		Proposed	
	YES	NO	YES	NO
Fire Alarm	☒	☐	☒	☐
Fire Suppression	☐	☒	☐	☒
Sprinkler	☒	☐	☐	☒
Standpipe	☒	☐	☐	☒

19 OPEN SPACES

	Existing	Proposed		Existing	Proposed
Plaza Area	sq. ft.	sq. ft.	Arcade Area	sq. ft.	sq. ft.
Parking Area	sq. ft.	sq. ft.	Parking Spaces		
Loading Berths	sq. ft.	sq. ft.	Loading Berths		

20 SITE CHARACTERISTICS

YES NO

- ☐ ☐ Tidal Wetlands
☐ ☐ Coastal Erosion Hazard Area
☐ ☐ Fire District

YES NO

- ☐ ☐ Freshwater Wetlands
☐ ☐ Urban Renewal
☐ ☐ Flood Hazard Area *If yes, 20A*

YES NO

- ☐ ☐ Substantial improvement?
☐ ☐ Substantially damaged?
☐ ☐ Floodshields part of proposed work?

21 DEMOLITION DETAILS **Mechanical equipment other than handheld devices to be used for demolition or removal of debris (BC §3306.4).*

YES NO

- 21A** ☐ ☐ Demo. filing is for a secondary structure? *If YES, specify structure being demolished:* _____
☐ ☐ Mechanical means* from out of building? *If YES, mechanical means will demolish:* ☐ entire structure or ☐ part of structure
☐ ☐ Mechanical means* from within building? *If YES, describe equipment proposed:* _____
- 21B** ☐ ☐ Demolition work affects the exterior building envelope
☐ ☐ The scope of work involves raising/moving of a building

22 ASBESTOS ABATEMENT COMPLIANCE (choose one)

- ☐ The scope of work requires related asbestos abatement as defined in NYC Department of Environmental Protection (DEP) regulations.
☐ The scope of the work is **not** an asbestos project as defined in the regulations of the NYC DEP. *DEP Control # is required.*
 DEP ACP-5 Control No. _____
☐ The scope of work is exempt from the asbestos requirement as defined in the regulations promulgated by the NYC DEP (15 RCNY 1-23(b)) or is an alteration to a building constructed pursuant to plans submitted for approval on or after April 1, 1987, in accordance with § 28-106.1.

23 SIGN

Purpose:	Type:	Estimated Cost: \$
☐ Advertising	☐ Illuminated 23A	Total Square Feet: _____
☐ Non-Advertising	☐ Non-Illuminated	Height above Curb: _____ ft. _____ in.
Location: ☐ Ground ☐ Roof 23B ☐ Wall		Height above Roof: _____ ft. _____ in.

YES NO

☐ ☐ Is sign inside building line? *If 'NO', sign projects by:* _____ ft. _____ in.
☐ ☐ Designed for changeable copy? *If no, 23C*
☐ ☐ Does an OAC have an interest in this sign or location? *If yes, 23G*
☐ ☐ Within 900' and within view of an arterial highway? *If yes, 23D*
☐ ☐ Within 200' and within view of a park ½ acre or more? *If yes, 23E*

If answer is 'YES' to either of the above two questions and this is an advertising sign, OAC sign number is required in Section 23F.

23A Illuminated type: ☐ Direct ☐ Flashing ☐ Indirect

YES NO

☐ ☐ If sign projects beyond building line, is owner billed for annual permit? *If no, specify in 26B*

23B ☐ ☐ Is roof sign tight, closed or solid?

23C Sign wording. *If extensive, provide only key wording.*

23D Distance from Arterial Highway: _____ ft.

23E Distance from Park ½ acre or more: _____ ft.

23F OAC Sign Number: _____

23G OAC Registration Number: _____

24 COMMENTS (place additional comments on an AI 1 form; see Guide for proper incorporation of professional certification statements)

Filing PAA to split cellar uses on schedule A. Changing zoning use group of the cellar "One(1) store 9west wing:401-415 East 55th Street)" from 2 to 6.
 Also delete the duplicate cellar "One (1) store (west wing: 401-415 East 55th Street)" that has 46# of persons.
 Include cellar line: doctor's office, building office, garage offices, offices (west wing: 401-415 east 55th Street)
 Updating section 18 fire protection equipment.

25 APPLICANT'S STATEMENTS & SIGNATURES *(required for all applications)*

Falsification of any statement is a misdemeanor and is punishable by a fine or imprisonment, or both. It is unlawful to give to a City employee, or for a City employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both. I understand that if I am found after hearing to have knowingly or negligently made a false statement or to have knowingly or negligently falsified or allowed to be falsified any certificate, form, signed statement, application, report or certification of the correction of a violation required under the provisions of this code or of a rule of any agency, I may be barred from filing further applications or documents with the Department. I prepared or supervised the preparation of the construction documents and specifications herewith submitted and to the best of my knowledge and belief, the construction documents and work shown thereon comply with the provisions of the NYC Administrative Code and other applicable laws and rules. ☐ (—check here if) except as set forth in the accompanying documents. I acknowledge that I have read and complied with all instructions pertaining to this application and supplementary schedules submitted. **Cluster Development Statement** (if applicable): I hereby state that all submissions relating to this job are identical to those previously filed under the group lead job number, except as specified herein.

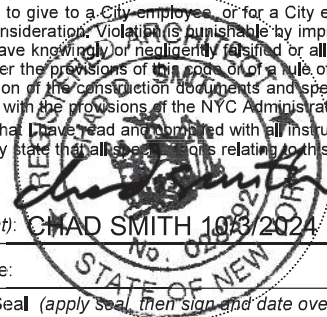
For initial New Building and Alteration 1 applications filed under the 2022 NYC Building Code only: does this building qualify for high-rise designation? ☐ YES ☐ NO

Directive 14 initial applications only: I certify that the construction documents submitted and all construction documents related to this application do not require a new or amended Certificate of Occupancy as there is no change in use, exits, or occupancy. ☐ YES ☐ NO

Name (print): **CHAD SMITH**

Sign & Date:

P.E./R.A. Seal (apply seal, then sign and date over seal)



26 PROPERTY OWNER'S STATEMENTS & SIGNATURES

Falsification of any statement is a misdemeanor and is punishable by a fine or imprisonment, or both. It is unlawful to give to a City employee, or for a City employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both. I understand that if I am found after hearing to have knowingly or negligently made a false statement or to have knowingly or negligently falsified or allowed to be falsified any certificate, form, signed statement, application, report or certification of the correction of a violation required under the provisions of this code or of a rule of any agency, I may be barred from filing further applications or documents with the Department. Furthermore, I understand that I am responsible for insuring that a final inspection be performed when the permitted work is complete, and that a satisfactory report of final inspection be submitted, along with all required submittal documents, so that the NYC Department of Buildings may issue a Letter of Completion or Certificate of Occupancy within the time prescribed by law.

I have authorized the applicant to file this application for the work specified herein and all future amendments. I will not knowingly authorize any work that is not in compliance with all applicable laws, rules, and regulations.

YES NO

☐ ☐ **Fee Exemption Request (Non-Profit Owned and Operated)**

In accordance with Administrative Code §28-112.1, Exception 1, I certify that the deed holder is a corporation or association organized and operated exclusively for the purposes indicated in such section, and that the property is used exclusively by such entity for such purposes. ★

☐ ☐ **Fee Exemption Request (NYCHA/HHC, NYC Agency, or Other Government Owned and Operated)**

The building or any part thereof to be constructed, renovated, altered or demolished is owned and operated exclusively for the purposes of the NYC Agency, NYC Authority, NYS Agency, Federal Government or any other government entity. ★

☐ ☐ **Owner's Certifications Regarding Occupied Housing**

The building to be altered, constructed or demolished contains one or more occupied dwelling units.

☐ ☐ The building to be altered, constructed or demolished contains one or more dwelling units that will remain occupied during construction. These occupied dwelling units have been clearly identified on the submitted construction documents.

☐ ☐ The site of the building to be altered or demolished, or the site of the new building to be constructed, contains occupied housing accommodations subject to rent control or rent stabilization under Chapters 3 and 4 of Title 26 of the New York City Administrative Code. **If yes, select one of the following:**

☐ The owner is not required to notify the New York State Homes and Community Renewal (NYSOCR) of the owner's intention to file because the nature and scope of the work proposed, pursuant to NYSOCR regulations, does not require notification.

☐ The owner has notified the New York State Homes and Community Renewal (NYSOCR) of its intention to file such construction documents/apply for such permit and has complied with all requirements imposed by the regulations of such agency as preconditions for such [filing/application].

Provide date NYSOCR notified: _____

☐ ☐ **Owner's Certification for Directive 14 Applications (if applicable)**

I have read and am fully aware of the applicant's statement that the construction documents submitted and all construction documents related to this application will not require a new or amended Certificate of Occupancy as there is no change in use, exits, or occupancy and the work is not inconsistent with the current certificate of occupancy. Furthermore, I understand that I am responsible for retaining a qualified design professional to perform a final inspection when the permitted work is complete and this professional must submit a satisfactory final inspection report to the NYC Department of Buildings within the time following inspection prescribed by Department rule.

Notes for Section 26A: Section required if unit owner signed Section 26. Signature required for authorized representative of Condo or Co-Op Board.

★ For fee waivers, please see the PW1 User Guide

Owner Type: ☐ Individual ☐ Partnership ☐ NYCHA/HHC

☐ Corporation ☐ Other Government ☐ NYC Agency

☐ Condo Unit Owner or Co-Op Tenant-shareholder 26A

Is the deed holder a non-profit organization? ☐ YES ☐ NO

Name (please print): _____

Relationship to Owner: _____

Business Name/Agency: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

Email Address: _____

Signature & Date ►

26A CONDO/CO-OP BOARD (see note in bottom left corner of page)

Name (please print): _____

Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

Email Address: _____

Signature & Date ►

26B LESSEE RESPONSIBLE FOR ANNUAL SIGN OR MARQUEE PERMIT

Name (please print): _____

Relationship to Owner: _____

Business Name/Agency: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Telephone Number: _____ Fax: _____

Email Address: _____