NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION

RECORD OF COMPLIANCE—Permit Application Supplement

Please read all instructions on reverse side before completing this application—Please TYPE or PRINT clearly

1. FULL NAME OF APPLICANT

2. MAILING ADDRESS (Principal Place of Business)
   Street
   City/State/Zip Code

3. NEW YORK STATE MAILING ADDRESS (If different)
   Street
   City/State/Zip Code

4. TYPE OF ORGANIZATION
   [ ] Individual [ ] Partnership
   [ ] Company [ ] Corporation [ ] Other ________________________
   If other than individual, provide Federal Taxpayer ID Number

5. Does the applicant currently hold any permit issued under the Environmental Conservation Law?
   [ ] Yes [ ] No

6. a. Has the applicant been denied a permit or has the applicant had a permit revoked or suspended under the Environmental Conservation Law?
   [ ] Yes [ ] No
   b. Is the applicant currently the subject of an enforcement action under the Environmental Conservation Law?
   [ ] Yes [ ] No

7. If any answer to questions 5, 6(a), or 6(b) is YES, provide details on a separate page and attach it to this form.

8. Has the applicant, and if the applicant is a corporation, has any officer, director, or large stockholder (owner of 25 percent or more of not publicly-traded stock) of the corporation, within the last ten (10) years, been:
   a. found in an administrative, civil or criminal proceeding to have violated any provision of the Environmental Conservation Law (ECL), any related order or determination of the Commissioner, any regulation promulgated pursuant to the ECL, the condition of any permit issued thereunder, or any similar statute, regulation, order or permit condition of any other state or federal government agency?
      [ ] Yes [ ] No
   b. an officer, director or large stockholder (owner of 25% or more of not publicly-traded stock) of a corporation which—during the time such person was an officer, director or large stockholder—was determined in an administrative, civil or criminal proceeding to have violated any provision of the Environmental Conservation Law (ECL), any related order or determination of the Commissioner, any regulation promulgated pursuant to the ECL, the condition of any permit issued thereunder, or any similar statute, regulation, order or permit condition of any other state or federal government agency?
      [ ] Yes [ ] No
   c. convicted of a criminal offense under the laws of any state or federal government agency, which involves environmental statutes or regulations, or fraud, bribery, perjury, theft or an offense against public administration as that term is used in Article 195 of the Penal Law, or an offense involving false written statements as those terms are defined in Article 175 of the Penal Law? Out-of-state history may be limited to misdemeanors, felonies and civil penalties assessed at $25,000 or more.
      [ ] Yes [ ] No
   d. an officer, director or large stockholder (owner of 25% or more of not publicly-traded stock) of a corporation which—during the time such person was an officer, director or large stockholder—was convicted of a criminal offense under the laws of any state or federal government agency, which involves environmental statutes or regulations, or fraud, bribery, perjury, theft, or an offense against public administration as that term is used in Article 195 of the Penal Law, or an offense involving false written statements as those terms are defined in Article 175 of the Penal Law? Out-of-state history may be limited to misdemeanors, felonies and civil penalties assessed at $25,000 or more.
      [ ] Yes [ ] No

9. If any answer to question 8a through 8d is YES, provide details on a separate page and attach it to this form.

10. Does the applicant currently owe any regulatory fees pursuant to Article 72 of the Environmental Conservation Law to the Department of Environmental Conservation?
    [ ] Yes, Amount $______________ [ ] No [ ] Under dispute for year(s) ______________ amount $______________

11. CERTIFICATION (By Applicant who is an individual)
    I hereby affirm under penalty of perjury that information provided on this form and attached statements and exhibits is true to the best of my knowledge and belief. I am aware that any false statement made herein is punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.
    ________________________________
    Date
    ________________________________
    Signature
    ________________________________
    Print Name

ITEMS 12 THROUGH 15 TO BE COMPLETED BY AN APPLICANT OTHER THAN AN INDIVIDUAL

12. SPECIFY UNDER WHAT LAW APPLICANT WAS ORGANIZED
    ________________________________
    (Title of ________________________________
    (entity); that I am authorized by that entity to make this application; that this application was prepared by me or under my supervision and direction; and that information provided on this form and attached statements and exhibits is true to the best of my knowledge and belief. I am aware that any false statement made herein is punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.
    ________________________________
    Date
    ________________________________
    Signature
    ________________________________
    Print Name

13. STATE

14. DATE OF ORGANIZATION

15. CERTIFICATION (By An Applicant Other Than An Individual)
    I hereby affirm under penalty of perjury that I am ________________________________
    (title of ________________________________
    (entity); that I am authorized by that entity to make this application; that this application was prepared by me or under my supervision and direction; and that information provided on this form and attached statements and exhibits is true to the best of my knowledge and belief. I am aware that any false statement made herein is punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.
    ________________________________
    Date
    ________________________________
    Signature
    ________________________________
    Print Name
Instructions for the Completion of
NYSDEC PERMIT APPLICATION—SUPPLEMENT
Record of Compliance

Make every effort to enter the information requested in the spaces provided on this form, but attach additional sheets where space prohibits full and complete answers. If Record of Compliance form has been previously submitted in same calendar year, indicate date of submission, DEC Region and Application Number.

Submit this form to the Regional Permit Administrator for the DEC region in which the facility is, or is proposed to be, located. See map below.

ITEM NUMBER
1. Enter the full name of the Applicant.
2. Enter the mailing address for applicant’s principal place of business.
3. Enter applicant’s New York State mailing address, if applicable.
4. Enter the type of organization.
5. Include all current permits.
6a. Answer “yes” if any permit that you applied for was denied, or if any permit you were granted was ever revoked, cancelled, suspended or otherwise involuntarily terminated.
6b. Answer “yes” if you are a party to any enforcement action pending with DEC.
7. Provide details for each “yes” answer to 6a or 6b. Be as specific as possible, using a separate sheet.
8. Check appropriate boxes.
9. Provide details for each “yes” answer to 8a through 8d. Be as specific as possible, using a separate sheet.
10. If a regulatory fee is owed, indicate the amount and status of any dispute filed.
11. This certification block is to be used only by an applicant who is an individual and not by a public or private corporation, co-partnership, political subdivision, government agency, authority, department or bureau of the State, municipality, industry, association, firm, trust, or estate. See 621.3(a)(2).
12. These questions and the certification block are to be completed only by an applicant that is a public or private corporation, co-partnership, political subdivision, industry, association, firm, trust, or estate and who is not an applicant who is an individual. See 621.3(a)(2).

Contact the Regional Permit Administrator, Division of Regulatory Affairs, at the appropriate office of the Department, as given below, for assistance regarding the above requirements.

Department of Environmental Conservation
Regional Offices
Division of Regulatory Affairs