



THE CITY OF NEW YORK
BUSINESS INTEGRITY COMMISSION
100 CHURCH STREET, 20TH FLOOR
NEW YORK, NEW YORK 10007

APPLICATION FOR A TRADE WASTE REMOVAL LICENSE

-----OFFICE USE ONLY-----

APPLICATION #: _____ DATE RECEIVED: _____

RECEIVED BY: _____

PART I – APPLICANT BUSINESS IDENTIFYING INFORMATION

*1. Name of applicant business. Also list trade name and registration application name, if different:

Business Name: _____

Trade Name: _____

*2. Main Office: _____

*3. Mailing Address: _____

*4. Garage Address: _____

*5. Business telephone number(s): _____ Fax Number: _____

*6. Cellular Number(s): _____

*7. Electronic Addresses:

Website: _____ E-mail Address: _____

*** (Asterisk) denotes material information on the application. Any material change in the information shall be reported to the Business Integrity Commission, in a notarized writing, within ten (10) calendar days thereof.**

Tax ID or SSN: _____

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***8. Agent for Service of Process in New York City.** State the name, address, and telephone number of the person of suitable age and discretion who shall be designated as the applicant business' agent for service of process in New York City. **The agent for service of process must be located within the five boroughs of New York City.**

Name: _____

Address: _____

Telephone No.: _____ Fax Number: _____

9. Type of Organization (check one):

a. _____ Sole Proprietorship (i.e., company is not incorporated and does business under the name of a person having ownership interest or under an assumed name, doing business as name, or trade name). **Attach a certified copy of the Certificate of Doing Business filed with the County Clerk in the county in which the business is located.**

b. _____ Partnership. (Check one). **Attach copy of current partnership agreement and Certificate of Partnership, certified by the County Clerk in the county in which the business is located.**

_____ General Partnership

_____ Limited Partnership (L.P.)

_____ Limited Liability Partnership (L.L.P.)

_____ Corporation. **Attach copy of the Certificate of Incorporation filed with the Secretary of State. If the applicant business is not incorporated in New York State, attach a certified copy of the Authority to Do Business certificate issued by the New York Secretary of State.**

10. If applicant business is a corporation, provide the tax identification number(s). Or if a partnership or sole proprietorship, provide the security numbers of all principals.

***11. Does the applicant business share any office space, staff or equipment (including, but not limited to, telephone lines) with any other business or organization?**

_____ Yes _____ No

If "Yes," provide details below:

Tax ID or SSN: _____

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12. **Past Names Used By Applicant Business.** List all names and address which the applicant has done business under (including, but not limited to, trade names, doing business as (d/b/a), and aliases) and the corresponding time periods.

Name and Address	From (Year)	To (Year)

*13. **Current Principals -- SCHEDULE A.** On Schedule A, identify all individuals who are principals of applicant business and provide the information requested. **Each current principal must submit a Principal Disclosure form and appear at the Commission to be photographed and fingerprinted prior to consideration of this application for a license.**

14. **Past Principals of the Applicant Business – SCHEDULE B.** On Schedule B, identify all individuals who have been principals of applicant business at any point during the past ten (10) years and provide the information requested.

15. **Current Principals Who Were Formerly Principals of Acquired Business(es) – SCHEDULE C.** If the applicant business acquired another private carting or trade waste business and/or transfer station in New York, New Jersey or Connecticut within the past ten (10) years, for each such acquisition, list on Schedule C any principal of the applicant business who was formerly a principal in the business the applicant business acquired and the information requested.

16. **Beneficial Interest – SCHEDULE D.** On Schedule D, identify all individuals, not already identified in question 13, 14 or 15 above, who have or have had a beneficial interest¹ in the applicant business at any point during the past 10 years, and disclose the required information.

17. **Acquired Trade Waste Businesses – SCHEDULE E.** If the applicant business acquired another private carting or trade waste business and/or transfer station in New York, New Jersey or Connecticut within the past ten (10) years, disclose the requested information for each acquisition on Schedule E and **attach a copy of the purchase and sale agreement.**

*18. **Other Trade Waste Interests – SCHEDULE F.** If the applicant business, currently or at any point during the past ten (10) years, has been a principal or held an equity interest in any business concern that collects, transfers, treats, stores, recycles, processes or disposes of trade waste as defined in Appendix A, disclose the required information in Schedule F. Include any and all such business concerns, including transfer stations, located in any state, territory or district of the United States, or in any foreign country, but do not include stock ownership in publicly traded corporations unless it amounts to more than 5% of said corporation.

*19. **Non-Trade Waste Businesses – SCHEDULE G.** On Schedule G, list any equity interest currently held or held at any point during the past ten (10) years by the applicant business in any non-trade waste business (whether currently active or not). Do not include stock ownership in publicly traded corporations.

Tax ID or SSN: _____

20. How many individuals (not including the principals of the applicant business) does the applicant business currently employ? _____

***21. Employees of Applicant Business – SCHEDULE H.** On Schedule H, identify the current employees of the applicant business and provide the requested information. **Place an asterisk next to the name of employee required to provide disclosure pursuant to 17 RCNY Section 3-01.** A copy of the appendix to the regulations which outlines which employees are required to provide disclosure is attached as Appendix B to this application.

***22. Operator of Vehicles – SCHEDULE I.** For each employee or principal who will operate a vehicle during the conduct of the applicant’s business, provide the operator’s name, driver’s license number, license class and expiration date in Schedule I **and attach a copy of each driver’s license.**

***23. Vehicles – SCHEDULE J.** For each vehicle to be used during the conduct of applicant’s business, list vehicle identification numbers, registration numbers and license plate numbers on Schedule J **and attach a copy of each vehicle registration card and each insurance card.**

***24. Automobile Liability Insurance – SCHEDULE K.** Does the applicant business maintain automobile liability insurance coverage for each vehicle listed in response to question 23 above?
 _____ Yes _____ No

If “no,” state reason(s):

***25.** Currently, or at any point during the past ten (10) years, has the applicant business or any current or past principals been issued a license, permit, registration or authorization to operate in the trade waste industry, including but not limited to waste removal companies, transfer stations, recycling centers, and landfills, in New York City, New York State, New Jersey, and Connecticut?
 _____ Yes _____ No

If “yes,” provide the requested information below.

Name and Address of Holder of License, Permit, Authority to Operate	Name of Issuing Agency and State	Type of Trade Waste Business	Status of License, Permit, Authority to Operate	Was a Deposition Conducted by the Issuing Agency? If yes, provide date(s) of deposition and name of deponent

Tax ID or SSN: _____

*26. Has the applicant business or any current or past principals ever had a license, permit, registration or authority to operate from any government agency denied, suspended or revoked?
 _____ Yes _____ No

If "yes," provide the requested information below.

Name of Holder	Date of Denial, Suspension or Revocation	Agency	Reason

*27. Currently, or at any point during the past ten (10) years, is/has the applicant business, any current or past principal² of the applicant business or predecessor trade waste business, or any employee of the applicant business or predecessor trade waste business been a member of a trade association related to the waste industry (including but not limited to waste removal companies, transfer stations, recycling centers, and landfills)?
 _____ Yes _____ No

If "yes," provide the following information

Name and Address of Trade Association	Name of Applicant Business' Representative. If Principal, Name of Principal	Dates of Membership	Office Held in Trade Association, if any.

² The information concerning any past principal may be limited to the period pertaining to when the former principal was a principal of the applicant business or predecessor trade waste business.

PART II – APPLICANT BUSINESS CRIMINAL, CIVIL AND ADMINISTRATIVE HISTORY

28. During the past ten (10) years, has the applicant business or any past principal³ of the applicant business been convicted of any misdemeanor or felony in any jurisdiction?
 _____ Yes _____ No

If “Yes,” provide the details below. **Do not include information relating exclusively to traffic violations.**

Principal or Business Name	Date of Arrest	Date of Conviction	Indictment, Docket or Index No.	Charges and Sentence	Court and Jurisdiction

*29. Are there any misdemeanor or felony charges pending against the applicant business or any past principal of the applicant business in any jurisdiction?
 _____ Yes _____ No

If “Yes,” provide the details below. **Do not include information relating exclusively to traffic violations.**

Principal or Business Name	Date of Arrest	Indictment, Docket or Index No.	Charge	Status	Court and Jurisdiction

³ “Past Principal” for purposes of Part II refers only to individuals who were principals of the applicant during the past ten (10) years. The information concerning any past principal may be limited to the period pertaining to when the former principal was a principal of the applicant business.

Tax ID or SSN: _____

30. During the past ten (10) years, has the applicant business or any current or past principal of the applicant business been found in violation of the administrative rules or regulations of any municipal, state or federal agency where the violation related to the conduct of a business that removes or recycles trade waste, a trade waste broker business or the operation of a dump, landfill or transfer station where the penalty imposed for the violation resulted in the suspension or revocation of any license, permit or registration, the imposition of a fine of \$5,000 or more or the imposition of an injunction of six (6) months or more?

_____ Yes _____ No

If "Yes," provide the details below.

Principal or Business Name	Agency or Court and Docket No.	Nature of the Investigation/Charges	Outcome

*31. Are there any administrative charges by an municipal, state or federal agency, relating to the conduct of a business that removes or recycles trade waste, a trade waste broker business or the operation of a dump, landfill or transfer station, presently pending against the applicant business or any current or past principal of the applicant business where the applicant business or any current or past principal of the applicant business faces the possible sanction of suspension or revocation of any license, permit or registration or where a fine of \$5,000 or more, or an injunction of six (6) months or more could be imposed?

_____ Yes _____ No

If "Yes," provide the details below.

Principal or Business Name	Agency or Court and Docket No.	Nature of the Investigation/Charges	Status

32. During the past ten (10) years, has the applicant business or any current or past principal of the applicant business been found liable in any civil action(s) brought by any municipal, state or federal government where the civil charges were related to the conduct of a business that removes or recycles trade waste, a trade waste broker business or the operation of a dump, landfill or transfer station?
 _____ Yes _____ No

If "Yes," provide the details below.

Principal or Business Name	Agency or Court, Docket No., and Date	Nature of the Civil Investigation/Charges	Outcome

*33. Are there any pending civil actions brought by a municipal, state or federal government where the civil charges are related to the conduct of a business that removes or recycles trade waste, a trade waste broker business or the operation of a dump, landfill or transfer station, against the applicant business or current or past principal of the applicant business?
 _____ Yes _____ No

If "Yes," provide the details below.

Principal or Business Name	Agency or Court, Docket No., and Date	Nature of the Civil Investigation/Charges	Status

34. During the past ten (10) years, has the applicant business or any current or past principal of the applicant business:

a. been the subject or target of any investigation involving any alleged violation of criminal law?
_____ Yes _____ No

b. been charged with any misdemeanor or felony criminal offenses in any jurisdiction?
_____ Yes _____ No

c. been the subject or target of any investigation regarding an alleged violation of any other federal, state or local statute?
_____ Yes _____ No

d. received a subpoena or been asked to testify before any court, grand jury, or legislative, civil, criminal or administrative body involving any criminal matter or any other matter related to the trade waste industry?
_____ Yes _____ No

e. received a subpoena requiring the production of documents in connection with a federal, state or local investigation related to the trade waste industry?
_____ Yes _____ No

f. been cited for contempt of any court, grand jury, or legislative, civil, criminal or administrative body?
_____ Yes _____ No

g. entered a plea of nolo contendere to any felony or misdemeanor charge?
_____ Yes _____ No

h. entered into a judicial consent decree, administrative order on consent or similar agreement or been the subject of a default decree, related to the trade waste industry not already noted in answer to Part II, questions 3 or 4?
_____ Yes _____ No

i. been subject to an injunction in any judicial action or proceeding with respect to the trade waste industry?
_____ Yes _____ No

j. been granted immunity from prosecution for any conduct constituting a crime under state or federal law?
_____ Yes _____ No

k. had judgment entered against him/her/it as a result of a civil action related to the conduct of a business that removes or recycles trade waste, a trade waste broker business or the operation of a dump, landfill or transfer station?
_____ Yes _____ No

If you answer “yes” to any of the questions in 34 (a)-(k) above, provide the requested information:

Principal or Applicant Involved	Agency or Court and Docket No.	Nature of Action/Investitation/Case	Charges Brought, if any	Status or Outcome

35. Has the applicant business or any of its past principals ever:

a. filed with a government agency or submitted to a government employee a written instrument which the applicant or any of its principals knew contained a false statement or false information?

_____ Yes _____ No

b. falsified business records?

_____ Yes _____ No

c. given, or offered to give, money or any other benefit to a labor official with intent to influence that labor official with respect to any of his or her official acts, duties or decisions as a labor official?

_____ Yes _____ No

d. given any money or thing of value to a labor union or labor official or representative that was not expressly permitted by section (c) of the Taft-Hartley Act, 29 U.S.C. Section 186?

_____ Yes _____ No

e. given, or offered to give, money or any other benefit to a public servant with intent to influence that public servant with respect to any of his or her official acts, duties or decisions?

_____ Yes _____ No

f. given, or offered to give, money or other benefit to an official or employee of a private business with intent to induce that official or employee to engage in unethical or illegal business practices?

_____ Yes _____ No

g. agreed with another trade waste business not to compete in the conduct and furnishing of trade waste services?

_____ Yes _____ No

h. agreed with another trade waste business to divide or allocate customers or to respect an existing division or allocation of customers by geography, territory or otherwise?

_____ Yes _____ No

i. discussed with another private carter the prices to be submitted for a trade waste contract bid?

_____ Yes _____ No

j. associated with any person that you knew, or should have known, was a member or associate of an organized crime group?

_____ Yes _____ No

If “yes” to any of the questions in 35 (a) – (j) above, provide the requested information:

Name of Principal or Applicant Business	Agency, Labor Union or Trade Waste Business Involved	Name of Person(s) (including public and labor union officials) involved	Document or Amount of Money Involved	Reason for Engaging in Practice	Date of Occurrence

PART IV -- APPLICANT FINANCIAL INFORMATION

36. **Financial Accounts.** List each financial account used by the applicant business⁴ during the past five (5) years, including, but not limited to, accounts maintained at banks, credit unions, brokerage firms or other financial institutions and provide the requested information.

TYPE OF ACCOUNT	NAME/ADDRESS OF INSTITUTION	ACCOUNT NO.	NAME/PHONE NO. OF ACCOUNT OFFICER	NAMES AND ADDRESSES OF ALL PERSONS AUTHORIZED TO SIGN ON BEHALF OF THE APPLICANT BUSINESS

⁴If the applicant business is a sole proprietorship, or is organized in such a fashion that the financial accounts of the business are in the name of one or more individuals, include information also as to those accounts.

37. **Real Property.** List each direct or indirect interest in real property (other than a primary residence) currently held by applicant business. If none, state "none."

ADDRESS	PERSON OR ENTITY FROM WHOM ACQUIRED	CO-OWNERS	APPROXIMATE PURCHASE OR RENTAL COST	APPROXIMATE CURRENT VALUE

38. **Loans or Notes Held by Applicant Business.** List all outstanding loans made or outstanding notes held by applicant business in excess of \$5,000. (This refers to monies that are owed to the applicant business. It includes, but is not limited to, notes on routes or trade waste removal businesses that have been sold to others.) If none, state "none."

NAME AND ADDRESS OF DEBTOR	ORIGINAL AMOUNT AND DATE OF LOAN	TERMS OF LOAN AND SECURITY, IF ANY	APPROXIMATE BALANCE OUTSTANDING

39. **Loans Owed By Applicant Business.** Does the applicant business have any indebtedness in excess of \$5,000, including, but not limited to, loans, lines of credit, notes due on routes or trade waste removal companies purchased, and mortgages on real property (other than a primary residence)?

_____ Yes _____ No

If "yes," provide the requested information below.

NAME AND ADDRESS OF CREDITOR	ACCOUNT NO.	AMOUNT OF INDEBTED-NESS	MATURITY DATE	TERMS OF REPAYMENT	NAME & PHONE # OF LOAN OFFICER

40. Has the applicant business or any predecessor trade waste business been subject to forfeiture, receivership or independent monitoring in the past ten years?

_____ Yes _____ No

If "yes," **attach a copy of agreement or documentation** and provide the requested information below.

Name of Applicant Business	Judicial Body	Court Decision	Dates Involved

Tax ID or SSN: _____

41. Have the applicant business filed all required tax returns and tax forms related to the applicant business (including, but not limited to, income tax returns, sales tax forms, and property tax forms) by the due date or within a properly obtained extension period for each of the past three years?

_____ Yes _____ No

If "no," provide the requested information below.

Name and Address of Principal or Applicant Business During Year(s) in Question	Tax Year Involved	Type of Return Involved and Whether Federal, State or City Tax Returns	Date(s) When Late Return(s) Were Filed	Reason for Late or Non-Filing	Penalty Assessed, if any

42. Have the applicant business paid all required taxes and insurance premiums related to the business (including, but not limited to, business income taxes, sales taxes, commercial rent taxes, property taxes, unemployment insurance premiums and workers compensation premiums) for the three tax years preceding the date this application is submitted?

_____ Yes _____ No

If "no," provide an explanation below. If applicant business is contesting such taxes in a pending judicial or administrative proceeding, attach the relevant documentation.

43. **Tax Liens.** List below any tax liens entered against the applicant business by any tax authority. If none, state "none."

DATE ENTERED AND DOCKET NO.	NAME OF TAX AUTHORITY	ORIGINAL AMOUNT	AMOUNT OUTSTANDING

44. **Other Monies Owed to Tax Authorities.** List below the requested information on any monies currently owed by applicant business to tax authorities, other than those tax debts already listed on Question 43 above. Indicate the status of the matter (i.e., the date by which the relevant party will make payment, whether the tax authorities have instituted proceedings against the applicant, etc.) If none, state "none."

DATE	NAME OF TAX AUTHORITY	AMOUNT	STATUS

45. **Bankruptcy Proceedings.** During the past ten years, has the applicant business, any predecessor trade waste business or any current principal of the applicant business been a debtor in a bankruptcy or reorganization proceeding?

_____ Yes _____ No

If "yes," provide the requested information below.

CAPTION	DATE FILED	DOCKET #	COURT/JURIS-DICTION	STATUS

46. **Gifts to Applicant Business.** Identify all persons or entities from whom the applicant business or any principal of the applicant business has received gifts valued at \$1,000 or more during the past three (3) years. If none, state "none."

SOURCE OF GIFT	RECIPIENT	RELATIONSHIP OF SOURCE OF GIFT TO RECIPIENT	NATURE AND AMOUNT OF GIFT	DATE OF GIFT

47. **Gifts Given By Applicant Business.** Identify all persons or entities to whom/which the applicant business or any principal of the applicant business has given gifts valued at \$1,000 or more during the past three (3) years, excluding any organization recognized by the Internal Revenue Service under section 501(c)(3) of the Internal Revenue Code. If none, state "none."

RECIPIENT	IDENTIFY PRINCIPAL WHO GAVE GIFT -- IF APPLICANT BUSINESS, SO STATE	RELATIONSHIP OF RECIPIENT TO APPLICANT BUSINESS OR PRINCIPAL	NATURE AND AMOUNT OF GIFT	DATE OF GIFT

48. Name of the person who prepared or assisted in the preparation of this application. If not a current principal, disclose the person's address.

Name: _____

Address: _____

SCHEDULE A – PRINCIPALS OF APPLICANT BUSINESS

	Principal #1	Principal #2
Name (First, Middle, and Last; include maiden name where applicable)		
Home Address(es)		
Home Telephone Number(s)		
Fax Number(s)		
Cellular Number(s)		
Date of Birth		
Social Security Number(s)		
Business Address(es)		
Business Telephone Number(s)		
Title or Position		
From (date) to (date)		
% of ownership		
Number of shares		

Tax ID or SSN: _____

SCHEDULE A (cont'd)– PRINCIPALS OF APPLICANT BUSINESS

	Principal #3	Principal #4
Name (First, Middle, and Last; include maiden name where applicable)		
Home Address(es)		
Home Telephone Number(s)		
Fax Number(s)		
Cellular Number(s)		
Date of Birth		
Social Security Number(s)		
Business Address(es)		
Business Telephone Number(s)		
Title or Position		
From (date) to (date)		
% of ownership		
Number of shares		

Tax ID or SSN: _____

SCHEDULE B – PAST PRINCIPALS OF APPLICANT BUSINESS

	Principal #1	Principal #2
Name (First, Middle, and Last; include maiden name where applicable)		
Home Address(es)		
Home Telephone Number(s)		
Fax Number(s)		
Cellular Number(s)		
Date of Birth		
Social Security Number(s)		
Business Address(es)		
Business Telephone Number(s)		
Title or Position		
From (date) to (date)		
% of ownership		
Number of shares		
Reason for leaving		

Tax ID or SSN: _____

SCHEDULE B (cont'd) – PAST PRINCIPALS OF APPLICANT BUSINESS

	Principal #3	Principal #4
Name (First, Middle, and Last; include maiden name where applicable)		
Home Address(es)		
Home Telephone Number(s)		
Fax Number(s)		
Cellular Number(s)		
Date of Birth		
Social Security Number(s)		
Business Address(es)		
Business Telephone Number(s)		
Title or Position		
From (date) to (date)		
% of ownership		
Number of shares		
Reason for leaving		

**SCHEDULE C – CURRENT PRINCIPALS OF APPLICANT BUSINESS WHO
FORMERLY WERE PRINCIPALS OF ACQUIRED BUSINESS(ES)**

	Principal #1	Principal #2
Name (First, Middle, and Last; include maiden name where applicable)		
Name of Acquired Business		
Address of Acquired business		
Position in Acquired Business		
% of ownership in acquired business		
Date of ownership		

Tax ID or SSN: _____

**SCHEDULE D – HOLDERS OF A BENEFICIAL INTEREST
IN THE APPLICANT BUSINESS**

	Beneficial Holder #1	Beneficial Holder #2
Name (first, middle and last) Also include maiden name where Applicable		
Home Address		
Home Telephone Number		
Cellular Number		
Date of Birth		
Social Security Number		
Name of Employer and Address of (if applicable)		
Employer Telephone Number		
If Employed by Applicant, State Job Title and Dates During Which Job Was Held		
Nature and Percentage of Beneficial Interest in Applicant Business		
How Beneficial Interest Was Acquired (i.e. purchase & purchase price, inheritance, etc.)		

Tax ID or SSN: _____

**SCHEDULE D (cont'd) – HOLDERS OF A BENEFICIAL INTEREST
IN THE APPLICANT BUSINESS**

	Beneficial Holder #3	Beneficial Holder #4
Name (first, middle and last) Also include maiden name where Applicable		
Home Address		
Home Telephone Number		
Cellular Number		
Date of Birth		
Social Security Number		
Name of Employer and Address of (if applicable)		
Employer Telephone Number		
If Employed by Applicant, State Job Title and Dates During Which Job Was Held		
Nature and Percentage of Beneficial Interest in Applicant Business		
How Beneficial Interest Was Acquired (i.e. purchase & purchase price, inheritance, etc.)		

Tax ID or SSN: _____

SCHEDULE E – ACQUIRED TRADE WASTE BUSINESS(ES)

Seller's Name and Address	Name Use by Seller When Seller Operated the Business if different	Date Purchased	Purchase Price

**SCHEDULE F -- OTHER TRADE WASTE INTERESTS
OF APPLICANT BUSINESS**

	Business #1	Business #2	Business #3	Business #4
Other Trade Waste Business Name				
Other Trade Waste Business Address				
Other Trade Waste Business Phone Number				
Type of Equity or Other Interest (if "other," explain type of interest)				
Period Equity Held				
% of Total Equity				

**SCHEDULE G – NON-TRADE WASTE BUSINESS(ES)
OF APPLICANT BUSINESS**

	Business #1	Business #2	Business #3	Business #4
Other Non-Trade Waste Business Name				
Other Non-Trade Waste Business Address				
Other Non-Trade Waste Business Phone Number				
Type of Business				
Type of Equity or Other Interest (if "other," explain type of interest)				
Period Equity Held				
% of Total Equity				

Tax ID or SSN: _____

SCHEDULE J – VEHICLES USED IN APPLICANT BUSINESS

Type of Vehicle	Manufacturer and Year of Manufacture	VIN Number	Registration Number	License Plate No. and State of Issuance

Tax ID or SSN: _____

**SCHEDULE K – INSURANCE COVERING VEHICLES USED
IN APPLICANT BUSINESS**

Name of Insurance Carrier	Vehicle VIN Number	Policy Number	Liability Limits	Deductible

CERTIFICATION

This certification must be completed by the applicant's current principals before a notary public.

ANY MATERIAL FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OR REVOCATION OF A TRADE WASTE LICENSE, THEREBY PRECLUDING THE APPLICANT FROM DOING BUSINESS AS A PRIVATE CARTER. IN ADDITION, SUCH FALSE SUBMISSION MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, _____, being duly sworn, state: that I am
(Full Name)

_____ of _____; and
(Title/Position) (Applicant Name)

I have read and understood the questions contained in the attached application and its attachments, which consists of _____ pages; and to the best of my knowledge the information given in response to each question and in the attachment is full, complete and truthful; that the New York City Business Integrity Commission and the New York City Department of Investigation may, by any means they or each of them deem appropriate, determine the accuracy and truth of the statements made in this application; and that all the information submitted is for the express purpose of inducing the Business Integrity Commission to issue the applicant a license to operate a trade waste business as contained within Local Law 42.

(Signature of Principal)

By: _____
(If corporation or partnership, state title)

Sworn to before me

this _____ day of _____, 20_____

Notary Public

Tax ID or SSN: _____

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RELEASE AUTHORIZATION FOR APPLICANT

I, _____, am the _____ and a principal of _____
(Print Name) (Title/Position)
_____ (the "Applicant"); I am over the
age of 21 and I have the authority to execute this release on behalf of the applicant.

The applicant has authorized the New York City Business Integrity Commission ("Commission") to conduct an investigation into its background and the background of its principals, affiliates, agents and employees for the purpose of determining whether the applicant meets the licensing standards set forth in Local Law 42 of 1996 of the City of New York.

The applicant hereby authorizes any and all of the entities and individuals described below to release to the Commission any and all information, documentary or otherwise, pertaining to the applicant and/or its principals, affiliates, agents and employees as may be requested by the Commission. Any such information may be requested by and released to any employee, agent or representative of the Commission.

The applicant hereby authorizes the release of any such information by any federal, state, local, or foreign government or agency, any private organization or entity, and/or any individual in his or her personal or professional capacity. These entities and individuals include, but are not limited to, accountants, attorneys, banks, bookkeepers, common carriers, courts, credit reporting companies, data systems management companies, educational institutions, employee benefits managers, employees of the applicant, employers of the applicant's principal(s), financial institutions, internet service providers, investigative firms, investment firms, labor unions, law enforcement agencies, media companies, motor vehicle departments, pension funds, probation departments, selective service boards, taxing authorities, telecommunications companies and utilities.

This release shall apply to any such entities and individuals wherever they may be located, within or without the City of New York, State of New York, or United States of America. They may convey information in whatever form and by whatever means requested by the Commission, whether by telephone, fax, mail, computer media or by any other means.

This release authorization is effective for a period of five years as of the date set forth below. A photocopy or fax of this authorization will be construed as valid as though it were the original.

In connection with the release of information pursuant to this authorization, the applicant hereby waives the benefit of any confidentiality agreement and of any privileges pertaining to confidentiality and any rights to privacy that may be accorded by federal, state or local law.

NOTICE TO ENTITIES AND INDIVIDUALS RELEASING INFORMATION: The applicant hereby waives any right to be notified when an entity or individual releases information pursuant to this authorization and hereby authorizes the Commission to direct any such entity or individual not to provide such notification

Sworn to before me

(Signature of Principal)

This _____ day of _____, 20 ____

By: _____
(If corporation or partnership, state title)

Notary Public

**APPENDIX A
DEFINITIONS**

"Applicant" shall mean, if a business entity submitting an application for a license, permit or registration, the entity and each principal thereof.

"Beneficial Interest" shall mean profit, benefit or advantage resulting from a business regardless of whether the person who enjoys such profit, benefit or advantage holds formal ownership or title in the business.

"Position" in a trade association shall mean an officer, member of the board of directors, partner, trustee, shareholder holding ten percent or more of the outstanding shares of stock in such association, or administrator, business agent or other status involving participation directly or indirectly in the management or control of such association.

"Predecessor Trade Waste Business" shall mean any business engaged in the removal, collection or disposal of trade waste in which one or more principals of the applicant were principals in the five-year period preceding the application.

"Principal" shall mean, of a sole proprietorship, the proprietor; of a corporation, every officer and director and every stockholder holding ten percent or more of the outstanding shares of the corporation; of a partnership, all the partners; if another type of business entity, the chief operating officer or chief executive officer, irrespective of organizational title, and all persons or entities having an ownership interest of ten percent or more; **AND WITH RESPECT TO ALL BUSINESS ENTITIES, ALL OTHER PERSONS PARTICIPATING DIRECTLY OR INDIRECTLY IN THE CONTROL OF SUCH BUSINESS ENTITY.** Where a partner or stockholder holding ten percent or more of the outstanding shares of a corporation is itself a partnership, or a corporation, a "principal" shall also include the partners of such partnership or the officers, directors and stockholders holding ten percent or more of the outstanding shares of such corporation, as is appropriate. For the purposes of this chapter (1) an individual shall be considered to hold stock in a corporation where such stock is owned directly or indirectly by or for (i) such individual; (ii) the spouse of such individual (other than a spouse who is legally separated from such individual pursuant to a judicial decree or an agreement cognizable under the laws of the state in which such individual is domiciled); (iii) the children, grandchildren and parents of such individual; (iv) a corporation in which any of such individual, the spouse, children, grandchildren or parents of such individual in the aggregate own fifty percent or more in value of the stock of such corporation; (2) a partnership shall be considered to hold stock in a corporation where such stock is owned, directly or indirectly, by or for a partner in such partnership; and (3) a corporation shall be considered to hold stock in a corporation that is an applicant as defined in this section where such corporation holds fifty percent or more in value of the stock of a third corporation that holds stock in the application corporation.

Notwithstanding any provision of the above paragraph, in the case of an applicant which is a regional subsidiary of or otherwise owned, managed by or affiliated with a business that has national or international operations, "principal" shall also include any person not employed by the applicant who has direct management supervisory responsibility for the operations or performance of the applicant; and the chief executive officer, chief operating officer and chief financial officer or any person exercising comparable responsibilities and functions, of any regional subsidiary or similar entity of such business.

"Trade Association" shall mean an entity having as a primary purpose the promotion, advancement or self-regulation of businesses that remove, collect or dispose of trade waste, including but not limited to a corporation, unincorporated association, partnership, trust or limited liability company, whether or not such entity is organized for profit, not-for-profit, business or non-business purposes.

"Trade Waste" or "Waste" shall mean: all putrescible and non-putrescible materials or substances, except as described below, that are discarded or rejected by a commercial establishment required to provide for the removal of its waste pursuant to section 16-116 of this code as being spent, useless, worthless or in excess to the owners at

the time of such discard or rejection, including but not limited to garbage, refuse, street sweepings, rubbish, tires, ashes, contained gaseous material, incinerator residue, construction and demolition debris, medical waste, offal and any other offensive or noxious material. Such term shall also include recyclable materials as defined in subdivision i of section 16-303 of this code that are generated by such commercial establishments.

The following are not "trade waste" or "waste" for purposes of this Application: sewage; industrial wastewater discharges; irrigation return flows; radioactive materials that are source, special nuclear or by-product material as defined by the Atomic Energy Act of 1954, as amended, 41 U.S.C. § 2011 et seq.; materials subject to in-situ mining techniques which are not removed from ground as part of the extraction process; and hazardous waste as defined in section 27-0901 of the environmental conservation law.

APPENDIX B

EMPLOYEES SUBJECT TO DISCLOSURE PURSUANT TO SECTION 3-01

Employees who perform the following functions shall be subject to disclosure pursuant to section 3-01 of subchapter 3 of this chapter:

Solicitation of Businesses;

Bill of Collection;

Evaluation of Trade Waste Stream of Customers;

Dispatchers who have regular contacts with customers;

Persons who have authority to agree or refuse to service customers;

Person who have authority to resolve complaints.