



**The City of New York**  
**BUSINESS INTEGRITY COMMISSION**  
100 Church Street · 20th Floor  
New York · New York 10007  
Tel. (212) 437-0500 · Fax (646) 500-7096

**RENEWAL APPLICATION**  
**FOR TRADE WASTE REMOVAL LICENSE OR REGISTRATION**  
**INSTRUCTIONS FOR CLASS 2 REGISTRATION RENEWAL (BROKER)**

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THE RENEWAL APPLICATION MUST BE RECEIVED BY THE  
COMMISSION BY NO LATER THAN 4:00 P.M. ON THE BUSINESS DAY  
BEFORE THE EXPIRATION DATE OF THE LICENSE OR REGISTRATION

**PLEASE READ THESE INSTRUCTIONS AND ALL QUESTIONS CAREFULLY  
AS THE APPLICATION HAS RECENTLY BEEN REVISED**

Attached is the renewal application for a registration to operate as a trade waste broker business. The applicant must answer all questions. Applications which have not been completed properly may be denied or returned to the applicant without being processed or deemed submitted. Applications should be submitted directly to the Licensing Unit.

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**Renewal Application**

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Each page of the application **must contain the applicant's Business Integrity Commission license or registration number and be numbered sequentially** as "Page \_\_\_ of \_\_\_ pages" (for example, "Page 1 of 8 pages").

Applicants requiring additional space to complete any answer must attach additional pages to the application. Indicate on the top of each additional page the question number to which the page relates. The schedules attached to the application may be photocopied if additional schedule pages are needed. All additional pages must be identified in the lower left-hand corner with the applicant's Business Integrity Commission license or registration number and be numbered sequentially like the rest of the application.

Each applicant is under a continuing duty to update the information in its initial application for a trade waste removal license or registration and all renewal applications subsequently

submitted to the Commission. Answers to questions marked with an asterisk (\*) in the initial application must be updated if there have been any changes to the answers since the submission of the initial application. Any change in the answer to such a question must be provided to the Commission in writing by no later than ten business days after the change occurs. The applicant's continuing duty begins upon the submission of the initial application and extends throughout the initial license or registration term and any renewal terms.

## Documents to be Submitted with the Renewal Application

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In addition to **one (1) ORIGINAL AND one (1) COPY** of the completed renewal application, the following documents must be submitted:

- Proof of Workers' Compensation/Employer's Liability insurance coverage for your employees naming the Business Integrity Commission as the certificate holder or proof of exemption from coverage.
- Fee calculated as follows:

**Class II Trade Waste Broker Registration Fee of \$5,000**

### **ALL FEES NON-REFUNDABLE**

*BIC accepts credit cards,<sup>1</sup> money orders  
and checks payable to the "New York City Business Integrity Commission"*

**PLEASE NOTE THAT FAILURE TO SUBMIT THE COMPLETED RENEWAL APPLICATION BY THE DUE DATE INDICATED ON THE FIRST PAGE OF THE INSTRUCTIONS WILL SUBJECT THE LICENSEE OR REGISTRANT TO FINES AND PENALTIES FOR UNLICENSED OR UNREGISTERED ACTIVITY, AS YOUR LICENSE OR REGISTRATION WILL BE DEEMED TO BE EXPIRED.**

Certification and Release forms must be signed and notarized by each principal. Make copies of both attached forms if necessary.

**NOTE: REQUEST(S) TO WITHDRAW AN APPLICATION WILL BE EVALUATED ON A CASE BY CASE BASIS AND WILL NOT NECESSARILY BE APPROVED.**

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**All applications may be submitted in person or mailed to:**

**NYC Business Integrity Commission  
100 Church Street, 20<sup>th</sup> Floor  
New York, 10007**

**If you have any questions about this application, please call 212-437-0555.**

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<sup>1</sup> Effective Monday, October 15, 2018, due to City-wide policy, all credit card and debit card transactions will be charged a fee of 2% of the payment amount.

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**BUSINESS INTEGRITY COMMISSION**  
 100 Church Street · 20th Floor  
 New York · New York 10007  
 Tel. (212) 437-0500 · Fax (646) 500-7096

**RENEWAL APPLICATION  
 FOR A LICENSE OR REGISTRATION AS A TRADE WASTE BUSINESS**

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

**BIC License or Registration No.:** \_\_\_\_\_ **Date Received:** \_\_\_\_\_

**Fee Received:** \_\_\_\_\_ **Initials:** \_\_\_\_\_

**READ THE ACCOMPANYING INSTRUCTIONS CAREFULLY BEFORE COMPLETING THIS FORM.**

**Name of Licensee or Registrant:** \_\_\_\_\_  
 (Company Name)

**Electronic Addresses:**

\*Website: \_\_\_\_\_ \*Email: \_\_\_\_\_

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

**SINCE THE APPLICANT'S LICENSE or REGISTRATION WAS ISSUED OR LAST RENEWED BY THE COMMISSION:**

\*1. Has there been any change in the business name or trade name?  
 \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, provide the old and new names and a copy of the amended Certificate of Incorporation or Certificate of Doing Business reflecting the new name.

Old Name: \_\_\_\_\_

New Name: \_\_\_\_\_

BIC # \_\_\_\_\_

\*2. Has there been any change in the applicant's main business location, garage location, or mailing address?  
\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, provide the new information:

Business location: \_\_\_\_\_ Date of Change: \_\_\_\_\_

Garage location: \_\_\_\_\_ Date of Change: \_\_\_\_\_

Mailing address: \_\_\_\_\_ Date of Change: \_\_\_\_\_

\*3. Have there been any changes in the applicant's telephone numbers, including cellular, and fax numbers?  
\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, identify and provide the new numbers:

Business Number: \_\_\_\_\_ Date of Change: \_\_\_\_\_

Fax Number: \_\_\_\_\_ Date of Change: \_\_\_\_\_

Cellular Number: \_\_\_\_\_ Date of Change: \_\_\_\_\_

**\*4. 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. **In order for the Commission to serve official documents regarding a license or registration, the agent for service of process must be located within the five boroughs of New York City. The agent for service of process may be a principal of the applicant if the principal is located within the five boroughs of New York City. If the applicant is located within the five boroughs of the New York City, no agent of service of process need be designated.**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

5. Does the applicant remove or dispose of asbestos, regulated medical waste, or other hazardous waste?  
\_\_\_\_\_ Yes \_\_\_\_\_ No

**If yes, attach a copy of the applicant's current New York State Department of Environmental Conservation Waste Transporter Permit.**

\*6. Has any license or permit issued by a government agency to the applicant or to any of the applicant's principals or affiliates been suspended or revoked? \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, provide the details below.

Licensee, Principal, or Affiliate Name	Agency	Type of License or Permit	Date of Violation	Date of Suspension or Revocation	Reason for Suspension or Revocation

\*7. Has the applicant business, any current principal of the applicant business, or any past principal of the applicant business ever been convicted of any criminal offense in any jurisdiction? \_\_\_\_\_ Yes \_\_\_\_\_ No

In answering this question, **DO NOT** include information regarding any criminal action or proceeding against the applicant business, any current principal of the applicant business, or any past principal of the applicant business that was followed by a termination in favor of that person or business pursuant to New York Criminal Procedure Law § 160.50, by a youthful offender adjudication pursuant to New York Criminal Procedure Law § 720.35, by a conviction for a violation sealed pursuant to New York Criminal Procedure Law § 160.55, or by a conviction sealed pursuant to New York Criminal Procedure Law § 160.58 (conditional sealing of certain controlled substance, marihuana, or specified offenses).

If yes, provide the details below. (It is not necessary to provide information relating exclusively to traffic violations.)

Licensee, Principal, Employee, or Affiliate Name	Date of Arrest	Type and Nature of Charge(s)	Indictment or Case No.	Court and Jurisdiction	Disposition or Status

\*8. Has the applicant or any of the applicant's principals been charged with any civil or administrative violations by any governmental agency? \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, provide the details below.

Licensee, or Principal Name	Agency	Date of Violation	Type and Nature of Charge(s)	Summons, Violation, or Case No.	Disposition or Status



\*9. Has the applicant or any of the applicant's principals or affiliates received a subpoena or been asked to testify before or supply any information to any court, grand jury, or legislative, administrative, or other government body concerning any matter related to the waste industry? \_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, provide the name of the licensee, principal, or affiliate, the date, the government body, and the nature of the inquiry.

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\*10. Has the applicant and its principals timely filed all tax returns and timely paid all taxes due and owing in all jurisdictions? \_\_\_\_\_ Yes \_\_\_\_\_ No

If no, provide details below, including the name of the taxpayer, the amount owed (if any), and the tax authority involved.

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12. Has the applicant or any principal been a member of any trade association?

Yes       No

If "Yes," provide the details below. If additional space is needed, attach pages as addendum.

Name of Trade Association Member	Name of Trade Association	Years of Membership	Positions Held

13. Has the applicant had a business relationship with any trade waste broker involving trade waste removal in the city of New York?

Yes       No

If yes, please provide the details below:

Trade Waste Broker's Name	Contact Person at Trade Waste Broker	Trade Waste Broker's Address	Trade Waste Broker's Phone Number

## SCHEDULE A – PRINCIPALS OF APPLICANT BUSINESS

Identify all persons who are current principals of the licensee or registrant, including but not limited to directors, officers and stockholders.

**Note: Principal disclosure forms must be submitted for all principals who have not previously submitted them.**

	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		
Are you a member of a union? (Yes/No)		
If "Yes," Name of Union and Title/Position Held		

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

	<b>Principal #3</b>	<b>Principal #4</b>
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		
Are you a member of a union?(Yes/No)		
If "Yes," Name of Union and Title/Position Held		

**SCHEDULE B – RENEWAL ROSTER OF VEHICLES**

Company Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Garage Location: \_\_\_\_\_

**Instructions:** Please complete the chart below by recording the following information for each vehicle covered under the renewal application: the Department of Motor Vehicles (DMV) plate number, the State where the vehicle is registered, the VIN number, and the BIC plate number. All current vehicles must be listed.

<b><u>DMV Plate No.</u></b>	<b><u>State</u></b>	<b><u>VIN No.</u></b>	<b><u>BIC Plate No.</u></b>
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
6. _____	_____	_____	_____
7. _____	_____	_____	_____
8. _____	_____	_____	_____
9. _____	_____	_____	_____
10. _____	_____	_____	_____
11. _____	_____	_____	_____
12. _____	_____	_____	_____

**Note: All Commission issued conveyance plates issued for vehicles that have been sold or salvaged, must be immediately returned to the Commission. Also, Commission issued conveyance plates must be immediately returned to the Commission upon the sale, dissolution, suspension or discontinuance of a registration.**

\* SCHEDULE C – EMPLOYEES OF LICENSEE OR REGISTRANT

**For All Licensees and Registrants:** Please list ALL current employees, excluding drivers (drivers will be listed on Schedule D). Place an asterisk (\*) next to any employees who have been hired within the last two years.

**For Licensees Only:** In addition, ALL new employees who solicit customers, who perform bill collection, who evaluate waste stream surveys, who have regular contact with customers, who have the authority to agree to service or refuse service to customers, and/or who have authority to resolve customer complaints **MUST** submit employee/agent disclosure forms.

Name: (Last, First)	Address and Telephone No.	Date of Birth (mm/dd/yyyy)	Job Title	Date of Hire (mm/dd/yyyy)	SSN #

**\* SCHEDULE D – OPERATORS OF VEHICLES**

**The applicant has completed the Driver/Helper Online Portal and it is up to date.**

Check this box to affirm the Driver/Helper Online Portal is complete and up to date. Attach a Portal printout to this renewal application.

**If you have affirmed above that the Driver/Helper Online Portal is complete and up to date, do not complete the schedule below. Instead, provide a printout of the complete and up-to-date Driver/Helper Online Portal information with this renewal application.**

*NOTE: If the Driver/Helper Online Portal is incomplete, list ALL drivers on schedule D below and provide the required documents.*

**Please provide a clear copy of each vehicle operator’s driver’s license.** For all vehicle operators whose driver’s licenses are not issued by New York State, an official driving record (abstract) from the state of issuance must be provided.

Name (Last, First & Middle)	DOB	State Issuing License	Driver’s License Number	Class	Expiration Date	Date of Hire



## CERTIFICATION

**This certification must be completed by the applicant and all of its principals before a notary public.**

**ANY MATERIAL FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS RENEWAL APPLICATION IS SUFFICIENT CAUSE FOR REVOCATION OF A TRADE WASTE LICENSE OR REGISTRATION OR DENIAL OF A TRADE WASTE RENEWAL APPLICATION AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT OR OMISSION TO CRIMINAL CHARGES.**

I, \_\_\_\_\_ (full name), being duly sworn,  
state:

that I am \_\_\_\_\_ (title) of \_\_\_\_\_;

\_\_\_\_\_ (Applicant Business Name); and

that I have read and understood the instructions accompanying the attached renewal application, including the definitions of “principal” and “affiliate” contained therein; and

that I have reviewed all of the information supplied by the Applicant in its initial license or registration application dated \_\_\_\_\_, \_\_\_\_\_, all previously provided written submissions, and all renewal applications submitted thereafter; and

that I have read and understood the questions and statements contained in the attached renewal application and its attachments, which consists of \_\_\_\_\_ pages; and

that to the best of my knowledge, the information provided in response to each question and in the attachments is full, complete and truthful; and

that the New York City Business Integrity Commission may, by any means it deems appropriate, determine the accuracy and truth of the statements made in this renewal application; and

that all the information submitted in this application is for the express purpose of inducing the Business Integrity Commission to issue the Applicant a renewal license or registration to operate a trade waste business.

\_\_\_\_\_  
(Signature of Principal)

By: \_\_\_\_\_  
(If corporation or partnership, state title)

Sworn to before me

this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

\_\_\_\_\_  
Notary Public

**RELEASE AUTHORIZATION FOR APPLICANT**

**This release authorization must be completed by the applicant and all of its principals before a notary public.**

I, \_\_\_\_\_, am the \_\_\_\_\_ and a principal of \_\_\_\_\_  
(Print Name) (Title/Position)  
\_\_\_\_\_ (the "Applicant"); I am over the  
age of 18 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 registration 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 facsimile 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.

The applicant, in addition, hereby waives all liability as to the City of New York, the Commission, and its instrumentalities and agents for any and all damages that might arise in connection with the investigation of the applicant or from the release of any information resulting from such investigation, other than a willful, unlawful disclosure or publication.

**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



# TRADE WASTE

*We have created a checklist to help you make sure that your application is complete before you submit it.*

- Did you answer every question completely?** We do not accept applications with questions left blank or with “same” written to repeat an answer.
- Disclosure Form** (for License applications only) needed for every new Principal or key employee listed.
- Is there a completed **Certification and Release Authorization form** signed and notarized by each Principal listed in Schedule A?
- DMV Vehicle Registration.** Must be current and in the business’ name and address.

## Renewal Applications:

## New Applications:

- Insurance Cards.** Policy number must match the policy number on the Certificate of Automobile Liability Insurance.
- Certificate of Automobile Liability Insurance.**
- Certificate of General Liability Insurance** (for Licensees).
- Certificate of Worker’s Compensation Insurance or Exemption from Worker’s Compensation Insurance.**
- Did you include a copy of your **Certificate of Incorporation, Filing Receipt or Business Certificate filed with your County Clerk**? If your business is incorporated or registered outside of New York State, an Authority to do Business in New York State Certificate must also be submitted.
- For corporations, limited liability companies and partnerships:
  - Did you include a copy of your **Corporate or Partnership Tax Return Form** (i.e. 1120 form, 1120-S form)?
  - Sole proprietorship include copy of your tax return

All Insurance Certificates must be current and in the business’ name.  
The Business Integrity Commission must be listed as the Certificate Holder.

## Did you include payment for all appropriate fees?

**\*\*\* All Checks or money orders must be made payable to “NYC Business Integrity Commission.” Checks must be in the company’s name and signed by a Principal of the applicant business\*\*\***

- License/Registration fee?**
- Investigation fee** (for new License applications)? The check or money order for this fee must be separate from the license fee.
- Fee for each truck** (for renewals only)?
- Disclosure fees** (for License applications)? The check or money order for this fee must be separate from the license fee and truck fees.

New York City Business Integrity Commission  
100 Church Street, 20<sup>th</sup> Floor, New York, NY 10007

**Questions? Call us at 212-437-0555**