

RECORD OF COMPLIANCE-Permit Application Supplement

Please read all instructions on reverse side before completing this application

1. FULL NAME OF APPLICANT	
2. MAILING ADDRESS (Principal Place of Business) Street	3. NEW YORK STATE MAILING ADDRESS (If different) Street
City/State/Zip Code	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? or b. Is the applicant currently the subject of an enforcement action under the Environmental Conservation Law? a. Yes No b. 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? b. 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 questions 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	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

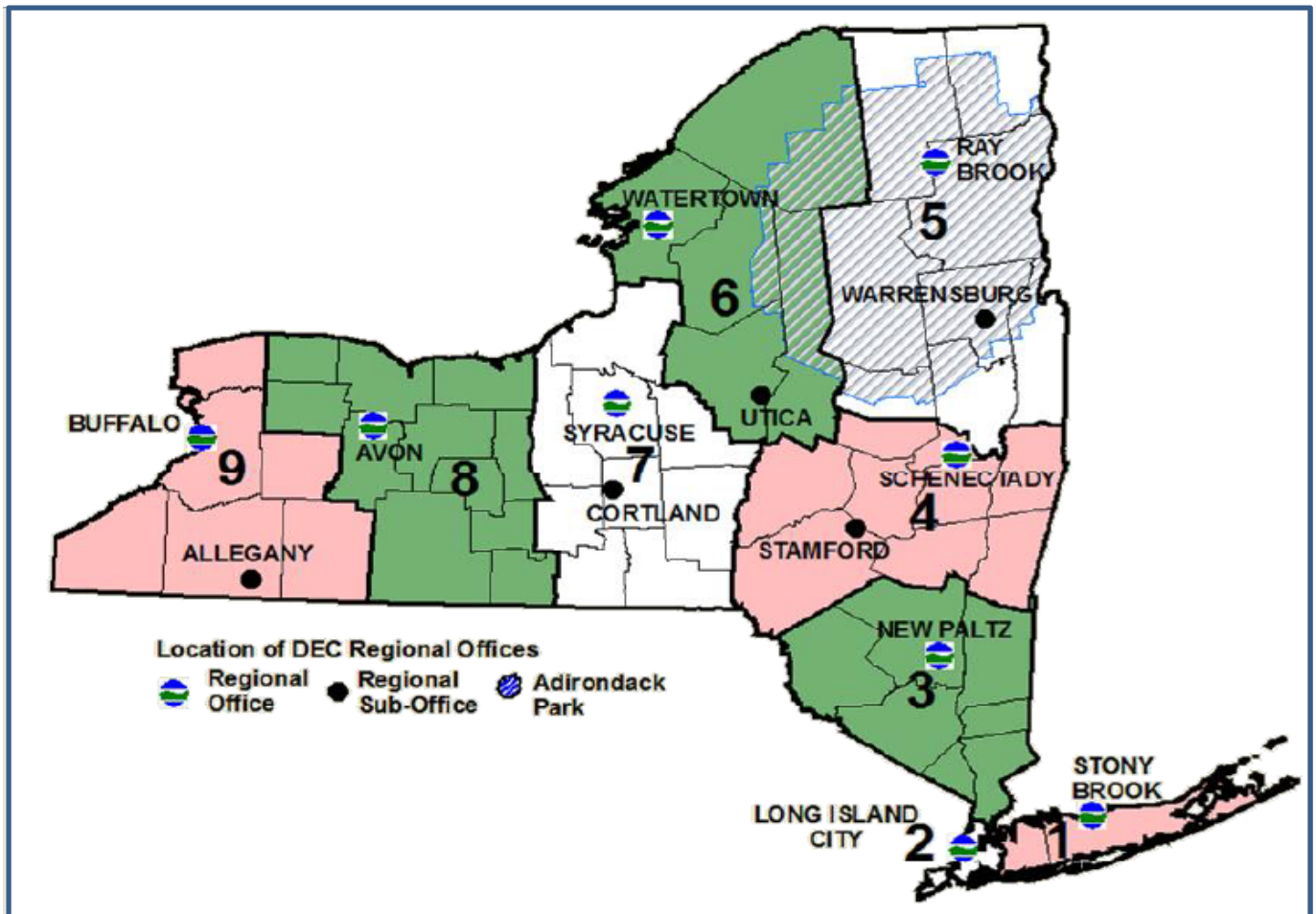
Make every effort to enter the information requested in the spaces provided on this form, but **attach additional sheets where space prohibits full and complete answers.** If **Record of Compliance form has been previously submitted in same calendar year, Indicate date of submission, DEC Region and Application 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 6a through 6d. 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 Environmental Permits, at the appropriate office of the Department, as given below, for assistance regarding the above requirements.



NYS DEC REGION 1

Regional Permit Administrator
SUNY @ Stony Brook
50 Circle Road
Stony Brook, NY 11790-3409
phone: 631-444-0365
fax: 631-444-0360
email: dep.r1@dec.ny.gov

➤ For Nassau and Suffolk Counties

NYS DEC REGION 2

Regional Permit Administrator
1 Hunter's Point Plaza
47-40 21st Street
Long Island City, NY 11101-5401
phone: 718-482-4997
fax: 718-482-4975
email: dep.r2@dec.ny.gov

➤ For Brooklyn, Bronx, Manhattan, Queens and Staten Island

NYS DEC REGION 3

Regional Permit Administrator
21 South Putt Corners Road
New Paltz, NY 12561-1620
phone: 845-256-3054
fax: 845-255-4659
email: dep.r3@dec.ny.gov

➤ For Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester Counties

NYS DEC REGION 4

Regional Permit Administrator
1130 North Westcott Road
Schenectady, NY 12306-2014
phone 518-357-2069
fax: 518-357-2460
email: dep.r4@dec.ny.gov

➤ For Albany, Columbia, eastern Greene, Montgomery, Rensselaer, Schenectady and Schoharie Counties

NYS DEC REGION 4 Sub-Office

Regional Permit Administrator
65561 State Highway 10
Stamford, NY 12167-9503
phone: 607-652-7741
fax: 607-652-2342
email: dep.r4@dec.ny.gov

➤ For Delaware, Otsego, and western Greene Counties

NYS DEC REGION 5

Regional Permit Administrator
PO Box 296
1115 NYS Route 86
Ray Brook, NY 12977-0296
phone: 518-897-1234
fax: 518-897-1394
email: dep.r5@dec.ny.gov

➤ For Clinton, Essex, Franklin, and Hamilton Counties

NYS DEC REGION 5 Sub-Office

Regional Permit Administrator
232 Golf Course Rd
Warrensburg, NY 12885-1172
phone: 518-623-1282;
fax: 518-623-3603
email: dep.r5@dec.ny.gov

➤ For Fulton, Saratoga, Warren and Washington Counties

NYS DEC REGION 6

Regional Permit Administrator
Dulles State Office Building
317 Washington Street
Watertown, NY 13601-3787
phone: 315-785-2245
fax: 315-785-2242
email: dep.r6@dec.ny.gov

➤ For, Jefferson, Lewis and St. Lawrence Counties

NYS DEC REGION 6 Sub-Office

Regional Permit Administrator
Utica State Office Building
207 Genesee Street, Room 1404
Utica, NY 13501-2885
phone: 315-793-2555
fax: 315-793-2748
email: dep.r6@dec.ny.gov

➤ For Herkimer and Oneida Counties

NYS DEC REGION 7

Regional Permit Administrator
5786 Widewaters Parkway
Syracuse, NY 13214
phone: 315-426-7438
fax: 315-426-7425
email: dep.r7@dec.ny.gov

➤ For Broome, Cayuga, Chenango, Cortland, Madison, Onondaga, Oswego, Tioga and Tompkins Counties

NYS DEC REGION 8

Regional Permit Administrator
6274 East Avon - Lima Road
Avon, NY 14414-9519
phone: 585- 226-5400
fax: 585-226-2830
email: dep.r8@dec.ny.gov

➤ For Chemung, Genesee, Livingston, Monroe, Ontario, Orleans, Schuyler, Seneca, Steuben, Wayne and Yates Counties

NYS DEC REGION 9

Regional Permit Administrator
700 Delaware Avenue
Buffalo, NY 14209
phone: 716-851-7165
fax: 716-851-7168
email: dep.r9@dec.ny.gov

➤ For Erie, Niagara and Wyoming Counties

NYS DEC REGION 9 Sub-Office

Regional Permit Administrator
182 East Union, Suite 3
Allegany, NY 14706-1328
phone 716-372-0645
fax: 716-372-2113
email: dep.r9@dec.ny.gov

➤ For Allegany, Cattaraugus and Chautauqua Counties