

WESTCHESTER COUNTY
SOLID WASTE COMMISSION
APPLICATION FOR CLASS L LICENSE

The County of Westchester requires all haulers of solid waste and recyclables operating in Westchester County to be licensed under Chapter 826-a of the Laws of Westchester County (the “Solid Waste and Recyclables Collection Licensing Law”).

Among other things, Chapter 826-a states that haulers must apply for a **Class L license** if they seek to **exclusively handle seasonal organic waste**, including leaves, **solely on behalf of Westchester County and/or its local municipalities** during the leaf season, which includes the months of **October, November, December and January**.

Among other things, Chapter 826-a requires that applicants for a Class L license comply with certain disclosure requirements; that all Applicants and their Principals submit to background investigations; and that all Principals are fingerprinted as part of the overall applications screening process.

This application form has been developed in conformance with the application requirements set forth in Chapter 826-a, and shall be utilized by the Westchester County Solid Waste Commission (“Commission”) in determining an Applicant’s qualification for Class L licensing pursuant to Chapter 826-a.

As required in Chapter 826-a section 302(2), this application package includes copies of the Westchester County Source Separation Law and the Westchester County Solid Waste and Recyclables Collection Licensing Law (Chapter 826-a). The applicant is required to certify that the applicant has read and is familiar with the requirements of the license and all provisions of all laws enacted by the County which pertain to the collection, transportation, and disposition of Solid Waste, Recyclables, Construction & Demolition Debris, Yard Waste, and seasonal organic waste, including leaves, including but not limited to the Westchester County Source Separation Law and Chapter 826-a.

The certification can be found on page 30 of this application.

A. GENERAL APPLICATION REQUIREMENTS:

1. Application & Fee Requirement:

An Applicant for a Class L license shall submit an application in writing on the form appended hereto, along with all supplemental application materials, all disclosure materials, certifications, releases, consents, and all fees as required hereunder. Principals must be photographed and fingerprinted (see Fingerprinting Instructions). **If an Applicant fails to provide such information, documents or fees, the Commission may refuse to issue a license to the Applicant.**

The current application fees, which must be submitted at the time of application, are as follows:

Class L License: \$100 per Applicant plus \$100 per Principal thereof. Payment of Vehicle fees is required for operation of vehicles under a license or Permit to Operate issued pursuant to Chapter 826-a.

The application fees do not include the cost of standard background investigations or the cost of fingerprinting analysis, the cost of which shall be borne solely by the Applicant as set forth in Section 826-a.202(2)(b) of Chapter 826-a. In the event that it shall become necessary, in the Commission's reasonable discretion, to require the production of supplemental or additional information from the Applicant, or to undertake a more comprehensive investigation of the Applicant, the Applicant shall bear all costs of the additional investigation Applicant as set forth in Section 826-a.202(2)(b).

PLEASE REFERENCE FEE WORKSHEET TO DETERMINE APPLICABLE FEES DUE AT TIME OF APPLICATION

2. Disclosure Obligations:

a. Applicants licensed by the New York City Business Integrity Commission:

Any Applicant which holds a valid license issued by the New York City Business Integrity Commission to conduct activities similar to those activities for which the Applicant seeks to obtain a license pursuant to this application is required to provide all documentation specified herein.

In the event that a license or registration issued by the Business Integrity Commission of the City of New York is ever suspended or revoked, or if an application for renewal is denied by the Business Integrity Commission, the Applicant shall **immediately** inform the Commission of same, and the Commission may, at its discretion, immediately take any action available to it pursuant to Chapter 826-a.

b. Application Submission:

All applications shall be submitted to:
Westchester County Solid Waste Commission
100 East First Street
Mount Vernon, New York 10550-3442

c. Application Completeness & Supplemental Disclosure:

Upon submission by the Applicant, the Commission shall determine whether the application submitted is complete. If the Commission determines that the application is incomplete, it shall notify the Applicant in writing and shall list the insufficiencies of the application. If the Applicant does not submit the additional application materials within thirty (30) days of the date of the Commission's notice of incomplete application, the Commission may deny the application, and require the Applicant to submit a new application.

During the pendency of this application, all Applicants shall have a continuing disclosure obligation to the Commission with respect to information which is requested pursuant to this application, in accordance with the provisions of Chapter 826-a.

The Commission may, at its discretion, require that such Applicant provide, within a reasonable time, any additional information which the Commission may deem necessary, and may, after notice and the opportunity to be heard, refuse to license such Applicant based upon the criteria and standards outlined in Chapter 826-a.

3. Applicability:

For purposes of this application: (a.) 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, (i.) disclosure shall also be required of, and fingerprinting may be required of, any person not employed by the Applicant who has a direct managerial or supervisory responsibility for the operations or performance of this Applicant; and (ii.) the chief executive officer, chief operating officer and chief financial officer, or any person exercising comparable responsibility and functions with regard to any regional subsidiary or of the equivalent in relation to such Applicant over which any person subject to fingerprinting and disclosure under item (i.) of this clause exercises similar responsibilities may be fingerprinted and shall submit the information required pursuant to subsections (c.)(viii.) and (1.)(c.)(ix.) of Question No. (12), as well as such additional information as the Commission may find necessary; and (b.) the listing specified under subsections (c)(xi.) of Question No. (12) shall also be provided for any regional subsidiary or similar entity of the national or international business for which fingerprinting and disclosure by Principal thereof is made pursuant to subsection (a.) of this paragraph.

4. Refusal to Issue a License:

The Commission may, after notice and the opportunity to be heard, refuse to issue a license to an Applicant who lacks good character, honesty and integrity. Such notice shall specify the reasons for such refusal. In making the determination to refuse to issue a license, the Commission, may consider, but is not limited to the standards enumerated in Section 826-a.400.

5. WARNING:

Please be advised that the failure to provide truthful information in connection with any application submitted to the Westchester County Solid Waste Commission shall serve as a basis for refusal to issue a license to the Applicant. Moreover, the failure to comply with any material provision of a license issued by the Westchester County Solid Waste Commission pursuant to Chapter 826-a; the failure to comply with any provision of Chapter 826-a; and/or the failure to provide truthful information to the Commission shall serve as a basis for suspension or revocation, modification or other

action against the privileges of a licensee, and may subject the licensee to fines of not less than \$10,000 per offense and/or by imprisonment not exceeding (6) months. Regarding definitions, please review Chapter 826-a, Article II, Section 200.

B. APPLICATION INSTRUCTIONS:

Please complete each and every question as set forth on this application (**Questions 1-12**), as well as the Certifications, Releases and Consents, as may be applicable. **Please reference application checklist.** If a question is not applicable, write “N/A” or “not applicable” in the space provided. Applications which have not been completed properly may be rejected as incomplete and may be returned to the Applicant without further consideration. If the Applicant cannot complete the answers in the space provided, it may attach additional sheets of paper which identify the question being answered. The Applicant shall sign and date each supplemental answer page. The person completing the application on behalf of the Applicant shall also initial each of the pages of this application, and specify the Applicant’s business name and provide the Applicant’s Social Security Number or Federal Identification Number, where indicated on each page. This instruction includes any additional pages added by applicant pertaining to relevant releases and certifications.

The Applicant and all of those persons which are required to provide information in connection with this application should read and familiarize themselves with all provisions of Chapter 826-a of the Laws of Westchester County before completing this application form. An original and two (1) copy of the complete application, all required certifications, releases, and/or supplemental documentation must be submitted, along with the appropriate fees to the Solid Waste Commission.

1. Name of Applicant business: _____

Trade names (if different from above): _____

2. Applicant’s business address:

Official business address (e.g. address of corporation as listed in Certificate of Incorporation): **(Please indicate if applicant’s business address is a residence.)**

Mailing address (if different, and indicate if mailing address is a residence.)

List all other addresses/office locations of Applicant within Westchester County and indicate if other address is a residence:

3. Applicant's business contact numbers:

Business telephone: _____

Facsimile: _____

4. Designated employee/officer of Applicant for communications with Westchester County Solid Waste Commission:

Name: _____

Title: _____

Business Address (if different): _____

Telephone number (direct): _____

Facsimile number: _____

Cell phone number: (if applicable) _____

5. Type of business organization:

Corporation(specify type/state of incorporation): _____

Partnership (specify type): _____

Sole Proprietorship: _____

If a D/B/A, specify D/B/A name: _____

Date of Organization: _____

Business Identification number*: _____

(federal or state)

*** NOTE: New York State law requires licensing agencies to request either a Federal ID number OR the Social Security Number of all licensees.**

List the names and position/title of all Principals of Applicant:

Principal Name	Title/Position & Social Security Number

List the names and position/title of any other officers, directors, partners, and responsible managerial employees and/or agents of Applicant:

Name	Title/ Position & Social Security Number

Provide a listing of any and all subsidiaries of Applicant and specify federal ID number/social security number and/or business identification number for each:

Legal Name of Subsidiary	Business ID Number/Fed ID #/ SS#

6. If Applicant has been issued a license to provide services as a hauler of solid waste or recyclables by the New York City Business Integrity Commission, **PLEASE PROVIDE COPY OF LICENSE**, specify the date of license issuance; the status of the license, including any restrictions or conditions on such licenses or the imposition of independent auditing or monitoring of Applicant; and sufficient information for the Westchester County Solid Waste Commission to determine the type of solid waste hauling activities which the Applicant conducts in New York City.

7. If Applicant is or has been licensed to provide services as a hauler of solid waste or recyclables in any jurisdiction other than New York City or Westchester County, New York, during the last five (5) years, PLEASE PROVIDE COPY OF LICENSE, specify the jurisdiction; the date of issuance of all such licenses; and the Applicant's current licensing status in each such jurisdiction.

8. If Applicant's license to provide services as a hauler of solid waste or recyclables in any jurisdiction, other than Westchester County, New York, was terminated, revoked, suspended or otherwise discontinued during the last five (5) years, please specify the jurisdiction and the circumstances surrounding each such incidence, including copies of any final determination issued by such other jurisdiction's licensing agency.

9. By submission and execution of this application, and by checking in the space, below, **applicant acknowledges that it is seeking to obtain only a Class L License** for its Westchester County operations. Applicant understands that a Class L license is for haulers who **exclusively handle seasonal organic waste, including leaves, solely on behalf of Westchester County and/or its local municipalities during the leaf season, which includes the months of October, November, December and January.** Applicant understands that it must submit a different application if applicant seeks to haul any type of solid waste or recyclables other than seasonal organic waste, including leaves, solely on behalf of Westchester County and/or its local municipalities during the leaf season, which includes the months of October, November, December and January.

Class L _____

(check here) **Applicant hereby acknowledges that it is seeking only a Class L License.**

PERMIT TO OPERATE _____

Please indicate if applicant seeks to obtain a **“Permit to Operate”** (see 826-a.202(2)(a)). During the time this application is under review by the Commission, the Commission may, **in its discretion**, issue a “Permit to Operate” to applicants whose application for licensure was submitted but for whom no definitive license decision has been made.

This is necessary for all new applicants who intend to conduct the above referenced activities while application is under consideration.

10. Please describe, in detail, the nature of Applicant's activities as a hauler of solid waste and/or recyclables in Westchester County, if any, during the most recently completed two calendar years.

11. Please describe, in detail, the nature of the hauler services which Applicant will provide upon issuance of a license under Chapter 826-a:

12. Please provide the information and supporting documents, as outlined below. Please note that disclosure of information relating to the Principals and employees of any Applicant shall be limited to information relating to the activities or conduct of such Principal or employee in connection with the Applicant’s business, the business of any Predecessor Solid Waste Business or the Solid Waste and Recycling industry, except for the information required pursuant to disclosure requirements of subsections (c)(viii.), (ix.), (xi.), and (xix.), below.

a. A list, in the form set forth below, **identifying all vehicles, by Vehicle Identification Number, owned, leased, operated or controlled by the Applicant which will be used in connection with the licensed activities** (i.e., the collection, storage, transfer, transportation, processing or disposal exclusively of seasonal organic waste, including leaves, solely on behalf of Westchester County and/or its local municipalities during the leaf season, which includes only the months of October, November, December and January), in the form set forth below. **Applicants shall provide a copy of the state registration documentation for each such vehicle. Only those vehicles which are identified in conjunction with the application may be utilized by the Licensee pursuant to that license, unless subsequently approved in writing by the Commission:**

Please note vehicle disclosure is required of all vehicles **EXCEPT trailers.**

Vehicle list				
Vehicle, Year, Make & Model	State License Number	Vehicle Capacity	Vehicle Identification Number	Specify type (tractor/other)

Applicant/Principal	Type of debt & Amount indebted	Name of Person/Entity to whom debt is owed	Debt Holder Address

(iii.) a listing of the real property holdings or mortgage or other interest in real property held by such Applicant and by all Principals of such Applicant other than a primary residence and the names and addresses of all co-owners of such interest:

Real property holding/mortgage/ Other interest in real property	Applicant/Principal

(iv.) a listing of mortgages, loans, and instruments of indebtedness held by such Applicant and by all Principals of such Applicant, the amount of such debt, and the names and addresses of all such debtors:

Mortgage/ loans/ instrument of indebtedness	Applicant/Principal who owes debt	Debt Amount	Name & Address of Person/Entity who holds equity debt

(v.) The name(s) and address(es) of any business in which such Applicant or any Principal of such Applicant holds an equity or debt interest, excluding any interest in publicly traded stocks and bonds, including any and all bank accounts.

Name of Applicant/ Principal holding equity or Debt interest	Name of Business in which Interest is held	Address of Business in which Equity or Debt Interest is held

(viii.) a list of all criminal convictions, in any jurisdiction, of the Applicant and each of its Principals:

Applicant/Principal	Date	Location/Jurisdiction	Indictment or case number	Charge	Sentence

(ix.) a listing of all pending civil, criminal or administrative actions or proceedings to which such Applicant or any of its Principals is a party, including but not limited to, indictment and arrests:

Applicant/Principal	Date Filed	Location/Jurisdiction	Case Number	Title of Case	Charges

(x.) a listing of any determination by a federal, state or County regulatory agency of a violation by such Applicant or any of its employees or Principals of laws or regulations relating to the conduct of the Applicant's business where such violation has resulted in the suspension or revocation of a permit, license or other permission required in connection with the operation of such business or in a civil fine, penalty, settlement or injunctive relief in excess of threshold amounts:

Applicant/Principal Employee	Date of Determination	Agency	Case Number	Violation	Type of judgement/ Determination

(xi.) a listing of any criminal or civil investigation by federal, state, or local prosecutorial agency, investigative agency or regulatory agency in the five year period preceding the application, wherein such Applicant or any of its Principals or employees has (i.) been the subject of such investigation or (ii.) received a subpoena requiring the production of documents or information in connection with such investigation:

Applicant/Principal Employee	Date	Agency	Investigation number (if known)	Applicant/Principal/Employee Subject of Investigation	Applicant/Principal/Employee Received Subpoena

(xii.)(a.) a listing of any determination in any administrative, civil, or criminal proceeding that the Applicant or Principal of the Applicant has violated any provision of this Chapter, any related order or determination of the Commission, any emergency regulation promulgated pursuant to this Chapter, a material condition of any license issued thereunder or any substantially similar statute, regulation, order or permit condition of the federal, New York State or other state government relating to the handling, storing, treating, disposing or transporting of solid, hazardous, infectious, medical or regulated waste as those terms may be defined under New York State Law,

Applicant/ Principal	Date of Deter- mination	Criminal/Civil or Administrative Proceeding	Agency (if Applicable)	Type of Violation Identified	Location/ Jurisdiction	Case # and Title of Case

(xii.)(b.) a listing of any determination in any administrative, civil, or criminal proceeding that the Licensee has subcontracted work within Westchester County, which requires a license or registration under this Chapter, to an unlicensed or unregistered subcontractor :

Date of Determination	Criminal/Civil or Administrative Proceeding	Agency (if Applicable)	Name /Address/ Phone of Subcontractor	Relevant Dates

(xiii.) a listing of any determination in a civil proceeding that the Applicant or any Principal or employee of the Applicant has committed a negligent or intentionally tortious act in relation to the handling, storing, treating, disposing or transporting of solid, hazardous, infectious, medical or regulated waste, as those terms may be defined under New York State law, or has been convicted in a criminal proceeding of a crime involving the handling, storing, treating, disposing or transporting of solid, hazardous, infectious, medical waste:

Applicant/Principal	Date of Determination or Conviction	Location/Jurisdiction	Case Number	Title of Case	Type/ Substance of Finding

(xiv.) (a.) a listing of any conviction of the Applicant or any of its employees or Principals for racketeering in connection with the Solid Waste and recycling industry.

Applicant/Principal Employee	Date of Conviction	Location/ Jurisdiction	Indictment or Case Number	Charge	Title of Case (People vs.)	Sentence

(xiv.) (b) **a listing of any association with a person who has been convicted for the referenced racketeering activity**, including but not limited to the offenses listed in Section 1961(1.) of the Racketeer Influenced and Corrupt Organizations statute (18 U.S.C. § 1961 et seq.) or of an offense listed in subdivision one of Section 460.10 of the Penal Law, as such statutes may be amended from time to time, or the equivalent offense under the laws of any other jurisdiction:

Person Convicted of Racketeering Activity	Applicant/Principal/Employee Who Associated With Individual

(xv.) **a listing of any determination in an administrative, civil or criminal proceeding that the Applicant or any of its Principals or employees has violated any environmental law**, including, but not limited to, the Federal Water Pollution Control Act (a/k/a the Clean Water Act), 33 U.S.C. Sections 1251 et seq.; the Comprehensive Environmental Response, Compensation, and Liability Act, 42 U.S.C. Section 8601 et seq.; the Resource Conservation and Recovery Act, 42 U.S.C. Sections 6901 et seq.; the Oil Pollution Act 33 U.S.C. Sections 2701 et seq.; Federal Insecticide, Fungicide and Rodenticide Act, 7 U.S.C. Sections 136 et seq.; Toxic Substances Control Act, 15 U.S.C. Sections 2601 et seq.; the New York State Public Health Law; the New York State Environmental Conservation Law; the New York State Navigation Law; the Westchester County Source Separation Law; and the Westchester County Solid Waste and Recycling Collection Licensing Law:

Applicant/ Principal	Date of Deter- mination	Criminal/Civil or Administrative Proceeding	Agency (if Applicable)	Type of Violation Identified	Location/ Jurisdiction	Title of Case/ Case Number

(xv.) continued

Applicant/ Principal	Date of Deter- mination	Criminal/Civil or Administrative Proceeding	Agency (if Applicable)	Type of Violation Identified	Location/ Jurisdiction	Title of Case/ Case Number

(xvi.) a listing of any adjudication by a court of competent jurisdiction that the Applicant has committed unfair trade practices or conduct in restraint of competition, including but not limited to violation of the provisions of the Sherman Anti-Trust Act (15 U.S.C. § 1, § 2), the Clayton Act (15 U.S.C. § 18), the Robinson Patman Act (15 U.S.C. § 12 et seq.), the Federal Trade Commission Act (15 U.S.C. § 45 et seq.), Section 340 et seq. of the New York State General Business Law or equivalent violation of the laws of any other jurisdiction:

Applicant/ Principal	Date of Deter- mination	Criminal/Civil or Administrative Proceeding	Agency (if Applicable)	Type of Violation Identified	Location/ Jurisdiction	Title of Case/ Case Number

(xix.) a listing of accounts held by the Applicant during the five (5) year period preceding the filing of an application for a license or registration pursuant to this Chapter, with banks, credit unions, brokerage firms, and similar entities, and of the amounts held therein in the form of an identification of range of dollar value:

Name of bank, credit union, brokerage firm or similar entity.	Range of dollar value	Please refer to the categories below when listing the range of dollar values	
		Category B	\$ 5,000-under \$20,000
		Category C	\$ 20,000-under \$60,000
		Category D	\$ 60,000-under \$100,000
		Category E	\$100,000-under \$250,000
		Category F	\$250,000-under \$500,000
		Category G	\$500,000-under \$1 million
		Category H	\$1 million or over

(xx.) a listing of any bankruptcy proceedings in which Applicant or any Predecessor Solid Waste Business of Applicant, as such term is defined herein, was a debtor or any proceedings involving forfeiture, receivership, or independent monitoring in which Applicant or any Predecessor Solid Waste Business of Applicant was a party or participated in during the ten (10) year period preceding the filing of an application for a license or registration pursuant to this Chapter:

Applicant/Predecessor Solid Waste Business	Bankruptcy/ Forfeiture/Receivership/Monitoring	Dates

(xxi.) **any documents or records concerning the acquisition, sale, assignment or loss of routes or customers by the Applicant** during the ten (10) year period preceding the filing of the application for a license or registration pursuant to this Chapter:

Date	Acquisition/Sale/Assignments or Loss of routes	Types of Documents being supplied

(xxii.) where the Applicant has purchased or otherwise acquired a Predecessor Solid Waste Business, or any part thereof, a listing of any persons, previously employed by or affiliated with the entity so acquired, which are to be retained by the Applicant, whether as an employee or independent consultant, or otherwise under any agreement, and shall specify the capacity in which such person shall serve the Applicant. The Commission may require that the Applicant provide any supplemental information which it may, in its discretion, require with regard to such persons.

Predecessor Solid Waste Business	Person previously employed or affiliated with that company	Position this person will hold with the Applicant

Pursuant to Section 826-a302.4(a), please be advised that **the Westchester County Solid Waste Commission shall be entitled to request such additional information concerning good character, honesty and integrity of the Applicant and the Principals and employees of the Applicant that the Commission may deem appropriate and reasonable.** An Applicant may submit to the Commission any information or explanation which the Applicant believes demonstrates that any adverse information submitted as part of the application process does not accurately reflect upon the Applicant's good character, honesty and integrity;

13. Solid Waste Report

The original purpose of the Solid Waste and Recyclables Collection Licensing Law (Chapter 826-a) was to implement the Westchester County's New York State approved Solid Waste Management Plan. Among other things, this plan required the County to license solid waste haulers operating within Westchester for the purpose of developing and implementing a integrated, comprehensive long-term plan to manage all Solid Waste and Recyclables generated and collected within the County's borders. The hauler licensing law required haulers to complete report forms and submit them to the County for the purpose of combining the data reported with data from other sources, so the County can evaluate the effectiveness of its Solid Waste Management Plan.

a. Please indicate by location, the amount of seasonal organic waste, including leaves, handled exclusively on behalf of Westchester County and/or its local municipalities collected and/or disposed of, by weight (tons) or volume (cubic yards), and each and every disposal location, transfer station, collection or processing facility where applicant delivered such seasonal organic waste during the most recently completed two calendar years.

<u>FOR YEAR</u>	IF MORE SPACE IS NEEDED, ENTER ON AN ADDITIONAL PAGE
Name, address of (a) county or municipal facility <u>from which</u> waste taken, or (b) transfer, storage, processing facility or disposal site <u>to which</u> waste taken	Seasonal organic waste, including leaves, handled exclusively on behalf of the County and/or its local municipalities Tons or _____ cubic yards
	Tons or _____ cubic yards
	Tons or _____ cubic yards
	Tons or _____ cubic yards
	Tons or _____ cubic yards

FOR YEAR _____ Name, address of (a) county or municipal facility <u>from which</u> waste taken, or (b) transfer, storage, processing facility or disposal site <u>to which</u> waste taken	IF MORE IS SPACE NEEDED, ENTER ON AN ADDITIONAL PAGE Seasonal organic waste, including leaves, handled exclusively on behalf of the County and/or its local municipalities
	Tons or _____ cubic yards

b. Please check the names of the municipalities in Westchester County in which the Applicant presently conducts business.

Check	Municipality	Check	Municipality
	ALL (municipalities)		New Rochelle
	Ardsley		North Castle
	Bedford		North Salem
	Briarcliff		Ossining (village)
	Bronxville		Ossining (town)
	Buchanan		Peekskill
	Cortlandt		Pelham
	Croton		Pelham Manor
	Dobbs Ferry		Pleasantville
	Eastchester		Port Chester
	Elmsford		Pound Ridge
	Greenburgh		Rye Brook
	Harrison		Rye City
	Hastings		Scarsdale
	Irvington		Sleepy Hollow
	Larchmont/ Mamaroneck (town)		Tarrytown
	Lewisboro		Tuckahoe
	Mamaroneck (village)		White Plains
	Mount Pleasant		Yorktown
	Mount Vernon		Yonkers
	New Castle		

C. PHOTOGRAPHS & FINGERPRINTING

All Applicants/Principals shall be photographed and shall submit to fingerprinting by L-1 Enrollment Services on behalf of the Westchester County Solid Waste Commission. Refer to instructions on the enclosed "Fingerprinting Instructions" sheet.

D. CONSENT TO FINGERPRINTING ANALYSIS & BACKGROUND CHECK

To be completed by all Principals and other persons who are required, pursuant to Chapter 826-a or in the discretion of the Commission, to be fingerprinted as part of this application.

CONSENT

I, _____, hereby certify that I am employed by/affiliated with the Applicant in the capacity of _____; and

I, _____, hereby consent to the submission of fingerprint cards bearing my fingerprints to the New York State Division of Criminal Justice Services, or its designee, for purposes of conducting a criminal background analysis of such fingerprints pursuant to the requirements of Chapter 826-a of the Laws of Westchester County;

(Signature)

(Print or Type Name)

Sworn to me before this ____ day of _____, 20____

Notary Public

E. CERTIFICATION OF TAXES PAID

I, _____, being duly sworn, state that I am the
(Name of party executing application)

_____ of _____ and hereby certify
(Title) (Applicant)

that the Applicant has paid all federal, state and local income taxes related to the Applicant’s business for which the Applicant is responsible for three (3) years preceding the date of the application.

(Signature)

(Print or Type Name)

Sworn to me before this _____ day of _____, 20_____

Notary Public

IF APPLICANT IS CONTESTING SUCH TAXES IN A PENDING JUDICIAL OR ADMINISTRATIVE PROCEEDING , THEN

I, _____, am the
(Name of party executing application)

_____ of _____ and hereby state
(Title) (Applicant)

that applicant is contesting some or all of the federal, state, and/or local income taxes for the Applicant for the three (3) years preceding the date of this application, in a pending judicial or administrative proceeding. Documentation has been provided as part of this application.

(Signature)

(Print or Type Name)

Sworn to me before this _____ day of _____, 20_____

Notary Public

F. THAT THE APPLICANT OR PREDECESSOR SOLID WASTE BUSINESS, IF APPLICABLE, HAS NOT BEEN DENIED A LICENSE

I, _____, being duly sworn, state that I am the
(Name of party executing application)

_____ of _____, and hereby certify
(Title) (Applicant)

that the applicant or Predecessor Solid Waste Business has not been denied a license for the same or substantially similar activity based upon one or more of the provisions of this Chapter.

(Signature)

(Print or Type Name)

Sworn to me before this ____ day of _____, 20____

Notary Public

G. CERTIFICATION THAT APPLICANT HAS READ AND IS FAMILIAR WITH THE WESTCHESTER COUNTY SOURCE SEPARATION LAW AND THE SOLID WASTE AND RECYCLABLES COLLECTION LICENSING LAW.

I _____, being duly sworn
(Name of applicant, if an individual or name of authorized corporate officer or general partner, if applicant is a corporation or partnership.)

hereby certify that I have read and am familiar with the requirements of the Solid Waste and Recyclables Collection Licensing Law as set forth in Chapter 826-a of the Laws of Westchester County and the provisions of all the laws enacted by the County or emergency regulations issued to date which pertain to the collection, transportation, and disposition of solid waste, garden and yard waste, construction and demolition debris and recyclables including, but not limited to, the Westchester County Source Separation Law.

(Signature)

(Print or Type Name)

Sworn to me before this ____ day of _____, 20____

Notary Public

Copies of both the Source Separation Law and the Solid Waste and Recyclables Collection Licensing Law were provided in the application package. Copies are always available by contacting the Solid Waste Commission at (914) 813-6856.

H. CERTIFICATION/APPLICANT

A Certification must be completed and executed, individually, **by the person completing the application on behalf of the Applicant, as well as by each and every Principal of the Applicant, and each such Certification shall be individually notarized.**

I, _____, being duly sworn, state that I am the
(Name of party executing application)
_____ of _____ and that I have been duly
(Title) (Applicant)
authorized to complete and execute this application on behalf of _____.
(Applicant)

I, _____, hereby certify
(Name of party executing application)
that I have read and understand the instructions and the questions set forth in this application,
which consists of a total of _____ pages, plus _____ supplemental pages; and

that to the best of my knowledge the information provided in response to the questions set forth
herein is full, complete and truthful, and has been prepared based upon my personal knowledge,
as well as a diligent search of all business and other records in my possession and control; and

that I understand that the Westchester County Solid Waste Commission may, by any legal means
it deems necessary and appropriate, determine the accuracy and truth of the statements made in
this application; and

that I understand that the Westchester County Solid Waste Commission shall rely upon and issue
a determination as to _____'s licensing status based
(Applicant)
upon the information provided herein, along with any information provided during the
verification process; and

that I understand that neither Westchester County nor the Westchester County Solid Waste
Commission shall be liable for any business loss which may result from a change in the
Applicant's hauling services during the course of any application or licensing period which may
trigger a change in its licensing classification.

(Signature)

(Print or Type Name)

Sworn to me before this _____ day of
_____, 20____

Notary Public

I. CERTIFICATION/PRINCIPAL

I, _____, being duly sworn, state that I am the
(Name of Principal)

_____ of _____, and hereby certify
(Title) (Applicant)

that I have read and understand the instructions and the questions set forth in this application and all disclosure requirements set forth therein as they may apply to Principals of Applicants for licensing pursuant to this application and Chapter 826-a generally; and

that to the best of my knowledge the information and/or documents which I have provided in response to the questions set forth herein relating to my position as a Principal of Applicant is full, complete and truthful, and has been prepared based upon my personal knowledge, as well as a diligent search of all business and other records in my possession and control; and

that I understand that the Westchester County Solid Waste Commission may, by any legal means it deems necessary and appropriate, determine the accuracy and truth of the statements made in this application; and

that I understand that the Westchester County Solid Waste Commission shall rely upon and issue a determination as to Applicant's license application status based upon the information provided herein, along with any information provided during the verification process; and

that I understand that neither Westchester County nor the Westchester County Solid Waste Commission shall be liable for any business loss which may result from a change in the Applicant's hauling services during the course of any application or licensing period which may trigger a change in its licensing classification.

(Signature)

(Print or Type Name)

Sworn to me before this _____ day of _____, 20____

Notary Public

J. RELEASES

The Release set forth below must be completed and executed individually by the person completing the application on behalf of the Applicant, as well as by each and every Principal of the Applicant, and each such Release shall be individually notarized.

The person executing said Release shall indicate where specified whether the person is executing such Release in its capacity as a Principal of the Applicant or in the capacity of the duly authorized representative of the Applicant to issue such releases on behalf of the Applicant.

RELEASE AUTHORIZATION

To all Courts, Probation Departments, Selective Service Boards, Employers, Educational Institutions, Banks, Financial and other Institutions, and all Government Agencies (federal, state and local), without exception, both foreign and domestic:

I, _____, as (*please indicate (1) or (2)*) (1) as the duly authorized representative of an Applicant for a license from the Westchester County Solid Waste Commission or (2) as a Principal of an Applicant for a license from the Westchester County Solid Waste Commission, have authorized the Westchester County Solid Waste Commission, and its designees, to conduct an investigation into my background/Applicant's background (please indicate which) for the purpose of determining the suitability of Applicant/the company of which I am affiliated (please indicate which) for a solid waste hauling license as defined and required by Chapter 826-a of the Laws of Westchester County.

Therefore, you are hereby authorized to release any and all information pertaining to me/to Applicant (please indicate which), documentary or otherwise, as may be requested by an appropriate employee, agent or representative of the Westchester County Solid Waste Commission.

This Release Authorization shall supercede and countermand any prior request or authorization to the contrary. A photostatic copy of this Release Authorization will be considered as effective and valid as the original.

(Signature)

(Print or Type Name)

Sworn to me before this ____ day of _____, 20____

Notary Public

K. WORKERS' COMPENSATION/DISABILITY

Applicants must show proof of either (A) or (B):

(a) **NYS Worker's Compensation Insurance Certificate**, (Form U-26.3 or C-105.2) **and a NYS Disability Insurance Certificate** (Form DB-120.1 or DB-155) naming the Westchester County Solid Waste Commission as "Certificate Holder".

-OR-

(b) **Compensation / Disability Exemption Affidavit** (Form CE-200). To obtain Form CE-200, please contact the NYS Workers' Comp. Board at **www.wcb.state.ny.us** .

Applicant must indicate

"Business Applying For:" **Solid Waste Commission License**

"From:" **Westchester County Solid Waste Commission** as Licensing Agency.

You must also indicate your **exact** business name and status. **NOTE: Affidavit must be completed and signed prior to submitting the License Application.**

L. APPLICATION SUBMISSION STATEMENT

I, _____, being duly sworn, state that I am the
(Name of Principal)

_____ of _____, and hereby submit
(Title) (Applicant)

this application for Class ____ licensing, pursuant to Chapter 826-a of the Laws of Westchester County in my capacity as _____ of the Applicant, _____.
(Name of Applicant)

(Signature)

(Print or Type Name)

Sworn to me before this ____ day of _____, 20____

Notary Public

M. HEALTH DEPARTMENT PERMIT

IMPORTANT NOTICE

Applications for a Department of Health Permit are not processed through the Solid Waste Commission. Health Department Permits are valid from April 1 each year through March 31 each year.

1. Applications for a Department of Health Permit are available by contacting the Health Department directly at (914) 813-5149.
2. **All haulers who are required by the Westchester County Sanitary Code to be permitted by the Department of Health MUST obtain this permit.**
3. Verification that a potential licensee has a Department of Health Permit in effect and good standing is required for the Solid Waste Commission to issue a license to haul Solid Waste and Recyclables under Chapter 826-a of the Laws of Westchester County.

Fingerprinting Instructions

- 1) **Applicant/Principal must schedule an appointment** for fingerprinting with *L-1 Enrollment Services*, a vendor used by the Commission, by either:
 - calling their toll-free number at (877) 472-6915 Monday through Friday, between 9 a.m. and 9 p.m.; or
 - going online to their website at www.L1enrollment.com.

(If the appointment is scheduled online, print out the confirmation page and bring it to the appointment with you.)

Provide an address near where you wish to be fingerprinted, and you will be able to select from a list of convenient, nearby locations.

- 2) Once at the fingerprinting site, you should provide the following information:
 - Reason for Fingerprinting: **“Solid Waste Handler”**
 - Agency #: **“ORI #NY921920Z”**
- 3) The total Fingerprinting Fee is approximately \$106.00 (subject to change). Payment options include:
 - Personal check
 - Business check
 - Government check
 - Certified check
 - Bank check
 - Money order
 - Credit Card

Payments should be made out to “*L-1 Enrollment Services*”.

- 4) In addition to the above payment, bring two (2) forms of identification to the appointment, at least one of which has a photo. Some acceptable forms of identification are:
 - Driver’s license
 - US Passport
 - Social Security card
- 5) You will be given two receipts at the fingerprinting site. Keep on for your records and send the other to the Solid Waste Commission.
- 6) If a fingerprint is rejected due to image quality reasons, L-1 will contact you to schedule an appointment for reprinting. There is no addition fee for reprinting.

FOR OFFICE USE ONLY

APPLICATION # _____

DATE RECEIVED _____

LICENSE APPROVAL/TYPE: _____ **INITIALS:** _____

LICENSE DENIAL TYPE: _____ **INITIALS:** _____

DATE OF NOTIFICATION OF HAULER: _____

CERTIFIED MAIL TRACKING # FOR NOTIFICATION: _____

BY (initial): _____

COMMENTS:
