



5. Permits or Licenses Presently Held by Applicant	List all permits or licenses relating to <u>hazardous waste</u> management presently held by the Applicant in the United States. (Attach additional sheets if necessary.):		
	1. Facility Name:	Permit/License No:	
	Facility Location:	Issuing Authority or Agency:	
	2. Facility Name:	Permit/License No:	
	Facility Location:	Issuing Authority or Agency:	
	3. Facility Name:	Permit/License No:	
Facility Location:	Issuing Authority or Agency:		
6. Permits or Licenses Held within the Last 5 Years by the Applicant	List all permits or licenses relating to <u>hazardous waste</u> management held by the Applicant within the last five (5) years <u>not</u> listed in response to Item 5 above. (Attach additional sheets if necessary.):		
	1. Facility Name:	Permit/License No:	
	Facility Location:	Issuing Authority or Agency:	
	2. Facility Name:	Permit/License No:	
	Facility Location:	Issuing Authority or Agency:	
	3. Facility Name:	Permit/License No:	
Facility Location:	Issuing Authority or Agency:		
4. Facility Name:	Permit/License No:		
	Facility Location:	Issuing Authority or Agency:	
	7. Applicant's Experience Managing Solid Waste	Describe the Applicant's experience in managing <u>solid waste</u> . (Attach additional sheets if necessary.):	
	8. Permits or Licenses Presently Held by Applicant	List all permits or licenses relating to <u>solid waste</u> management presently held by the Applicant in the United States. (Attach additional sheets if necessary.):	
		1. Facility Name:	Permit/License No:
		Facility Location:	Issuing Authority or Agency:
2. Facility Name:		Permit/License No:	
Facility Location:		Issuing Authority or Agency:	
3. Facility Name:		Permit/License No:	
Facility Location:	Issuing Authority or Agency:		
4. Facility Name:	Permit/License No:		
	Facility Location:	Issuing Authority or Agency:	

<p><b>9. Permits or Licenses Held within the Last 5 Years by the Applicant</b></p>	<p>List all permits or licenses relating to <u>solid waste</u> management presently held by the Applicant within the last five (5) years <u>not</u> listed in response to Item 8 above. (Attach additional sheets if necessary.):</p>	
	1. Facility Name:	Permit/License No:
	Facility Location:	Issuing Authority or Agency:
	2. Facility Name:	Permit/License No:
	Facility Location:	Issuing Authority or Agency:
	3. Facility Name:	Permit/License No:
	Facility Location:	Issuing Authority or Agency:
	4. Facility Name:	Permit/License No:
Facility Location:	Issuing Authority or Agency:	
<p><b>10. Complaints That Resulted in a Fine or Penalty</b></p>	<p>Have any civil or administrative complaints within the United States or its territories been brought or filed against the Applicant for the violation of any local, state, or federal environmental protection law which resulted in a fine or penalty greater than one thousand dollars (\$1,000) within the five (5) year period immediately preceding the submission date of the Applicants permit application? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, describe each civil or administrative complaint which resulted in the fine or penalty. Include in the description the style of the complaint; the case, file or other identifying number, the identity of all parties named in the complaint; the forum in which the complaint was filed; the identity of each local, state, or federal agency that was involved with or named in the complaint; the amount of the fine(s) or penalties(s); whether the fine or penalty has been paid; the identity and description of each law or regulation violated or alleged to have been violated and upon which the fine(s) or penalties(s) is/are based; and state whether the fine was the result of a settlement or agreed order, an administrative order, or a court judgment. If litigation is ongoing, describe any orders or judgments entered and describe the current status of the litigation. (Attach additional sheets if necessary)</p>	

<b>11. Complaints</b>	<p>Have any civil or administrative complaints been brought or filed against the Applicant which alleges that an act or omission that constitutes a violation of a local, state, or federal environmental protection law or regulation presented a substantial endangerment to public health or to the environment? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, describe each civil or administrative complaint containing the allegation of the act or omission presenting a substantial endangerment to public health or the environment. Each description shall include at a minimum the following; the style of the complaint; the case, file or other identifying number; the identity of all parties named in the complaint; the forum in which the complaint was brought; the identity of each local, state, or federal agency that was involved with or named in the complaint; an explanation of the alleged act or omission; the identity and description of the environmental protection law or regulation alleged to have been violated; an explanation of all corrective action measures performed to correct or mitigate the alleged violation(s); a description of the alleged endangerment to public health or to the environment; and state whether the issues raised in the complaint have been resolved, and if so, whether the resolution was the result of a settlement or agreement, an administrative order or a court order or judgment. If litigation on the allegation(s) is ongoing, describe any orders or judgments entered and describe the present status of the litigation. (Attach additional sheets if necessary)</p>
<b>12. Pending Complaints</b>	<p>Describe all pending criminal complaints which allege the Applicant's violation of a local, state, or federal environmental protection law or regulation. If none, write NONE. Each description below must include at a minimum the style of the case and the identifying case number, the date the complaint was filed, the forum in which the complaint is pending, the identity of the law or regulation allegedly violated and a narrative description of the law or regulation, whether the alleged violation(s) is a misdemeanor or a felony, and all actions and pleadings which have occurred or been filed in association with the complaint. Criminal complaints filed more than five (5) years prior to the date of submission of the Applicant's permit application need not be listed. (Attach additional sheets if necessary.)</p>

<b>13. Judgments More Than 5 Years Prior to Submittal</b>	<p>Describe all judgments of criminal conviction entered against the Applicant for the violation of any local, state, or federal environmental protection law or regulation. Convictions entered more than five (5) years before the submission date of the Applicant's permit application need not be listed. Each description given must include at a minimum the following (United States or Territories): Style, case number; forum in which conviction entered; date of judgment; sentence imposed; the identity and a description of each law applicant were convicted of violating; whether the conviction was the result of a plea agreement or a trial; and, if currently on appeal, the status of the appeal. (Attach additional sheets if necessary.)</p>
<b>14. Judgments Within 5 Years of Submittal</b>	<p>Describe all judgments of criminal conviction of a felony under the law of any local, state, or the United States that have been entered against the Applicant within the five (5) year period preceding the date of submission of the Applicant's permit application. Each description given must include at a minimum the following (United States or Territories): Style, case number; forum in which conviction entered; date of judgment; sentence imposed; the identity and a description of each law applicant were convicted of violating; whether the conviction was the result of a plea agreement or a trial; and, if currently on appeal, the status of the appeal. (Attach additional sheets if necessary.)</p>

<b>15. Financial</b>	<p>List the names and address for all waste sites, waste facilities, solid waste management facilities, and hazardous waste management facilities in the United States or Territories in which the Applicant has a financial interest, or in which the Applicant is an officer, director or manager, and identify the nature of the Applicant's interest or involvement.</p>
	<p><b>1. Site/Facility Name:</b></p> <p>Site/Facility Address (Do not use P.O. Box number):</p> <p>City: _____ State: _____ Zip: _____</p> <p>Type of Interest: _____</p> <p>Nature of Interest: _____</p>
	<p><b>2. Site/Facility Name:</b></p> <p>Site/Facility Address (Do not use P.O. Box number):</p> <p>City: _____ State: _____ Zip: _____</p> <p>Type of Interest: _____</p> <p>Nature of Interest: _____</p>
	<p><b>3. Site/Facility Name:</b></p> <p>Site/Facility Address (Do not use P.O. Box number):</p> <p>City: _____ State: _____ Zip: _____</p> <p>Type of Interest: _____</p> <p>Nature of Interest: _____</p>
	<p><b>4. Site/Facility Name:</b></p> <p>Site/Facility Address (Do not use P.O. Box number):</p> <p>City: _____ State: _____ Zip: _____</p> <p>Type of Interest: _____</p> <p>Nature of Interest: _____</p>

**CERTIFICATION**

An individual, by executing this document on behalf of a corporation or other entity, certifies that she or he is duly authorized to act on behalf of the corporation or other entity and provide the information contained herein.

THE UNDERSIGNED HEREBY SWEARS OR AFFIRMS UNDER PENALTY OF PERJURY THAT THE INFORMATION PROVIDED IN THIS COMPLIANCE RECORD IS COMPLETE, TRUE AND ACCURATE.

Print Name	Title
Signature	Date

STATE OF \_\_\_\_\_ COUNTY OF \_\_\_\_\_

Subscribed and sworn to before me by \_\_\_\_\_ this is the \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

My Commission Expires: \_\_\_\_\_

**NOTARY PUBLIC**

Notary Public's Name and Address: \_\_\_\_\_

Any person who knowingly provides false information in any document filed or required to be maintained under KRS Chapter 224 will be guilty of a Class D felony, and upon conviction thereof will be punished by a fine not to exceed twenty-five thousand dollars (\$25,000), or by imprisonment for a term of not less than one (1) year and not more than five (5) years, or by both fine and imprisonment.