



**CHARACTER/BACKGROUND REFERENCE FORM
FOR HAZARDOUS WASTE FACILITY PERMIT APPLICATION
FORM FOR PERMIT APPLICANT**

BACKGROUND

Pursuant to ARS § 49-922.C. and A.A.C. R18-8-270.J, the Arizona Department of Environmental Quality (ADEQ) requires that permit applicants and other persons associated with a hazardous waste management facility supply character/background information sufficient to demonstrate their reliability, expertise, integrity, and competence to operate a hazardous waste facility. The attached application supplement shall be provided to ADEQ at the time that a hazardous waste permit application to treat, store, or dispose of hazardous waste is submitted. It may also be required in any request to transfer, reissue, or modify a hazardous waste permit.

DEFINITIONS

“Applicant” is defined as the corporation, company, partnership, or other entity seeking a hazardous waste facility permit and identified in the permit application and in this “Applicant” Character/Background Reference Form.

“Key Employee” is defined as any person employed by the Applicant in a supervisory capacity or empowered to make discretionary decisions with respect to the solid waste or hazardous waste operations of the facility. This definition may include positions such as the plant manager, environmental manager, emergency coordinator(s), and training director(s).

INSTRUCTIONS

- This form is to be completed on behalf of the Applicant as part of its application for a hazardous waste permit. It may also be required in any request to transfer, reissue, or modify a hazardous waste permit.
- All questions must be answered completely.
- As indicated on the last page of this form, all statements herein are to be made under oath.
- The person signing this form is certifying that he or she has the authority to provide this information on behalf of the Applicant.
- ADEQ may coordinate with other state, federal, and local agencies to verify the information provided herein, as well as to obtain additional information as needed. The Attorney General’s Office may conduct background investigations on any or all of the persons identified in the Applicant’s submittals.
- Additional background or reference information may be submitted if you believe that it will help the ADEQ to render a decision on your application. Additional sheets can be attached as necessary.
- Send completed forms to:

Arizona Department of Environmental Quality
Permits and Plan Review Unit
1110 W. Washington Street
Phoenix, Arizona 85007

CHARACTER/BACKGROUND REFERENCE FORM

1. General Information

Applicant name (as it will appear on exterior of premises) _____

Name of company (if different) _____

State of incorporation _____

U.S. corporate headquarters location _____

Is the Applicant authorized to do business in Arizona by the Arizona Corporation Commission? Yes _____
No _____

Is the Applicant in good standing with the Arizona Corporation Commission? Yes _____
No _____

If "No" please explain: _____

If not an Arizona Corporation, is the Applicant licensed to do business in Arizona? Yes _____
No _____

Location of facility _____
(Street)

(City) (State) (Zip)

(County)

Mailing address _____
(Street)

(City) (State) (Zip)

(County)

Business telephone _____

CHARACTER/BACKGROUND REFERENCE FORM

2. Property Ownership

Who owns the land at the business address
(include owner's address)?

_____ *(Name)*

_____ *(Street)*

_____ *(City)*

_____ *(State)*

_____ *(Zip)*

Who owns the building/buildings at the
business address (include owner's address)?

_____ *(Name)*

_____ *(Street)*

_____ *(City)*

_____ *(State)*

_____ *(Zip)*

If building/buildings are leased, state term
(period of time covered) of each lease

Who, in addition to the Applicant, has a
substantial interest in (owns more than 10%)
of the equipment at this location? (Equipment
includes all operating and structural devices,
apparatus and materials, all rolling stock, and
all monitoring, safety, emergency and
security apparatus included in the hazardous
waste permits, but does not include office
equipment).

_____ *(Name)*

_____ *(Street)*

_____ *(City)*

_____ *(State)*

_____ *(Zip)*

If the Applicant does not own the equipment,
under what terms is the equipment being
used? (Check all that apply. If more than one
checked, explain.)

Rent _____

Lease _____

Contract to Purchase _____

Other _____

(Explain) _____

List below the investment the Applicant has
in each interest listed (or each anticipated
investment):

Building & Structures \$ _____

Equipment \$ _____

Rolling Stock \$ _____

Land \$ _____

CHARACTER/BACKGROUND REFERENCE FORM

3. List the names and titles of all officers, directors, partners, key employees, or persons or business entities holding 10% or more of the Applicant's equity or debt liability. (Attach a separate sheet if necessary)

4. List the names and titles of the Applicant's key employees. (Attach a separate sheet if necessary)

5. Has the Applicant been convicted of a felony within the last 5 years? Include guilty and nolo contendere (no contest) pleas. Yes _____
No _____

If "yes", please specify

the court(s) in which the conviction(s) was/were entered (state the name and location) _____

date of each conviction _____

original charge(s) _____

offense(s) convicted of _____

6. Has the Applicant ever had a permit, interim status, or other approval to operate a facility to transport, generate, treat, store or dispose of hazardous waste denied, revoked or terminated? Yes _____
No _____

If "yes", please specify:

type(s) of permits _____

where denied, revoked or terminated (city and state) _____

date on which denied, revoked or terminated _____

reason(s) for denial, revocation or termination _____

CHARACTER/BACKGROUND REFERENCE FORM

7. Has the Applicant been disciplined (includes any letter of warning, compliance order, consent agreement, or fine) by any local, state or federal authority (in any state) within the last 5 years? Yes _____
No _____

If "yes", please specify

Name and location of facility _____

Name of regulatory agency involved _____

Date of each disciplinary order _____

Reason(s) for each disciplinary order _____

8. Has the Applicant ever voluntarily surrendered a permit, interim status, or other approval to operate a facility to transport, generate, treat, store or dispose of hazardous waste (in any state) within the last 5 years? Yes _____
No _____

If "yes", please specify

Name and location of facility _____

Name of regulatory agency involved _____

Date of each surrender of permit, interim status, or other approval _____

Reason(s) for each surrender of permit, interim status or other approval _____

Type of permit/license/approval affected _____

CHARACTER/BACKGROUND REFERENCE FORM

9. Has the Applicant been convicted of a misdemeanor relating to environmental matters within the last 5 years? Include guilty and nolo contendere (no contest) pleas. Yes _____
No _____

If "yes", please specify:

The court(s) in which the conviction(s) was/were entered _____

Date of each conviction _____

Original charge(s) _____

Offense(s) convicted of _____

10. Has any governmental or judicial entity provided the Applicant with notice that the Applicant is subject to any restraining order, injunction or similar order related to environmental matters within the last 5 years? Yes _____
No _____

If "yes", please specify:

Date of each order _____

The court, agency or other entity issuing the order(s) _____

Type of action _____

Is the action still pending? Yes _____

No _____

11. Is the Applicant presently the subject of any investigation or proceeding by the U.S. EPA or government authority in any state regarding environmental matters? Yes _____
No _____

If "yes," indicate the nature of the investigation or proceeding and the name and location of the government authority _____

CHARACTER/BACKGROUND REFERENCE FORM

12. Has the Applicant ever forfeited a bond? Yes _____

No _____

If "yes", please specify:

where forfeited _____

when forfeited _____

amount forfeited _____

reason forfeited _____

CHARACTER/BACKGROUND REFERENCE FORM

STATE OF _____)

County of _____)

I, _____, _____,
(full name--printed or typed) *(position/title)*

having been duly sworn, depose and say that the foregoing information is in all respect true and correct to the best of my knowledge. I am authorized to provide this information on behalf of _____.
(Applicant)

(Signature)

SUBSCRIBED AND SWORN to before me this _____ day of _____, 20_____.

(Notary Public)

My Commission expires:
