



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

Daniel D. Brownell  
*Commissioner and Chair*

July 9, 2018

***COMMISSION DIRECTIVE***

To all Trade Waste Brokers of the Business Integrity Commission:

You are directed to submit a customer register to the Commission in accordance with the Commission's rules and all relevant commission directives. **Customer register data for the period January 1 through June 30, 2018 and a completed certification form are due to the Commission no later than July 31, 2018.**

All trade waste brokers must maintain a complete and accurate customer register. Any customer register data that is filed in the wrong format, is incomplete, or contains errors will be rejected and returned to the registrant. The customer register data must be submitted as a Microsoft Excel spreadsheet. The completed certification form must be signed by a principal before a notary public.

Attached are the broker customer register format files and a blank copy of the certification form. Both the broker customer register file and the completed certification form must be submitted to the Commission via email to [brokerregister@bic.nyc.gov](mailto:brokerregister@bic.nyc.gov).

***Requests for an Exemption***

You may apply to the Commission for an exemption from the customer register reporting requirements for this reporting period under the following circumstance: if you did not provide trade waste brokering services to any customers located in New York City for the period January 1 to June 30, 2018. To apply for an exemption, a principal should check the appropriate box on the certification form and then sign the certification form before a notary public. Your request for an exemption from customer register requirements must be received by the Commission before July 31, 2018.

***YOU MUST RESPOND TO THIS DIRECTIVE***

Failure to respond to this directive is a violation of 17 RCNY §§ 1-09 and 6-04(j), and you may be subject to civil penalties of up to \$10,000 for each such violation. In addition, failure to respond could adversely affect your licensing status or future license renewal applications.

Sincerely,

A handwritten signature in black ink that reads "Daniel D. Brownell". The signature is written in a cursive style with a large initial 'D'.

Daniel D. Brownell  
Commissioner and Chair

Enclosures



# CUSTOMER REGISTER FIELD LISTING

<b>Field Name</b>	<b>Microsoft Excel Field</b>	<b>Description</b>
Broker's BIC Registration Number (will be the same for all records)	A	Brokers BIC Registrant Number (BIC-#####)
Name of Brokers Customer	B	Customer Name
Customer Trade Name	C	Any Customer DBA's associated with Customer
Account Number	D	Customer Account Number
Customer Authorized Representative	E	Customer Authorized Representative
Service Address – Building	F	Service Street (if 100 Church Street, this field would read "100")
Service Address – Street	G	Service Street (if 100 Church Street, this field would read "Church Street")
Service Address – City	H	Service City (if 100 Church Street, New York NY 10007 this field would read "New York")
Service Address – State	I	Service State As this is reporting all NYC customers, this should always be NY
Service Address – Zip	J	Service Zip (if 100 Church Street, New York NY 10007 this field would read "10007")
Service Telephone Number	K	Telephone number for customer
Service Fax Number	L	Fax number for customer
Service Email Address	M	Email address for customer
Billing Address – Building Number	N	Billing Building number (if 100 Church Street, this field would read "100")
Billing Address – Street	O	Billing Street (if 100 Church Street, this field would read "Church Street")
Billing Address – City	P	Billing City (if 100 Church Street, New York NY 10007 this field would read "New York")



# CUSTOMER REGISTER FIELD LISTING

Field Name	Microsoft Excel Field	Description
Billing Address – State	Q	Billing State (if 100 Church Street, New York, NY 10007 this field would read “NY”)
Billing Address – Zip	R	Billing Zip (if 100 Church Street, New York NY 10007 this field would read “10007”)
Billing Telephone Number	S	Billing Telephone Number
Billing Fax Number	T	Billing Fax Number
Type of Service Provided to Customer	U	Should either be: A. Evaluation or analysis of waste stream. B. Broker Transaction between broker and customer. C. Both
Date Broker Began to Provide Services to Customer	V	Date Services started with customer
Name of Trade Waste Removal Provider	W	Trade Waste Company Name
Name of Authorized Representative for Trade Waste Provider	X	Authorized Representative for Trade Waste Provider
Trade Waste Removal Provider BIC License Number	Y	Trade Waste Provider BIC License Number (BIC-#####)
Written Contract Between Customer and Broker	Z	Yes or No
Written Contract Between Customer and Trade Waste Provider	AA	Yes or No
Total Monthly Charge to Customer by Broker	AB	Total Monthly Charge to customer by Broker (in decimal format, no currency symbols)
Monthly Charge for Trade Waste Removal Services	AC	Monthly Charge for Trade Waste Removal Services (in decimal format, no currency symbols)
Other Payments to Broker for Performing Evaluation or Analysis of Waste Stream	AD	Any other payments made in the course of performing services for customer (in decimal format, no currency symbols)
Other Financial Arrangements	AE	Any other Financial Arrangements
Comments	AF	Any other comments about Customer as needed.



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## **BROKER CUSTOMER REGISTER CERTIFICATION**

This certification must be completed by a current principal of the registrant before a notary public.

ANY MATERIAL FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS BROKER CUSTOMER REGISTER MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, \_\_\_\_\_, being duly sworn, state:  
(Full Name)

That I am \_\_\_\_\_ of \_\_\_\_\_; and  
(Title/Position) (Registrant Name)

I have read and understood the information provided in the broker customer register for the period \_\_\_\_\_ through \_\_\_\_\_, which consists of \_\_\_\_\_ records (each customer constitutes one record); and that to the best of my knowledge, the information submitted to the Business Integrity Commission is full, complete and truthful.

**OR**

I have read the customer register instruction sheet and hereby request exemption from filing a broker customer register for the above reporting period only because the above registrant did not provide trade waste brokering services to any customers located in New York City for the period \_\_\_\_\_ through \_\_\_\_\_

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

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

Sworn to before me

This \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_

\_\_\_\_\_  
(Notary Public)