



File No. :

Daniel D. Brownell  
Commissioner and Chair

December 11, 2014

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New York, NY 10007

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[www.nyc.gov/bic](http://www.nyc.gov/bic)

## COMMISSION DIRECTIVE

Dear Registrant:

Customer register data for the period July 1, 2014 through December 31, 2014, along with a completed certification form that is signed by a principal before a notary public is due to the Commission no later than January 30, 2015. All fields in the customer register must contain complete and accurate information. Customer register data must be submitted as a Microsoft Excel spreadsheet along with the completed certification form that is signed by a principal before a notary public.

You can obtain customer register format files on our website, [http://www.nyc.gov/html/bic/html/trade\\_waste/broker\\_customer\\_register.shtml](http://www.nyc.gov/html/bic/html/trade_waste/broker_customer_register.shtml). If you are unable to obtain the files from our website, feel free to contact the Commission and we will provide you with a CD that contains the files to you.

**Customer register data and the completed certification form that is signed by a principal before a notary public can be submitted to the Commission on CD/DVD, or via email to [brokerregister@bic.nyc.gov](mailto:brokerregister@bic.nyc.gov). Please write your company name and the reporting period on every CD/DVD that you submit.**

**YOU MUST RESPOND TO THIS DIRECTIVE.** Your failure to respond to this Commission Directive will be considered to be violations of Title 17 of the Rules of the City of New York Sections 1-09 and 6-04(j), and could result in penalties of up to \$1,000 for each violation.

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**TO REQUEST AN EXEMPTION FROM CUSTOMER REGISTER REQUIREMENTS:**

You may be exempt from customer register reporting requirements if you did not provide trade waste brokering services to any customers located in New York City for the period July 1, 2014 to December 31, 2014. In order to request to be exempt from customer register requirements for the July 1, 2014 to December 31, 2014 period, 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 January 30, 2015.

If you have any questions regarding the submission of customer register data, please contact David Mandell at (212) 676-6296.

Sincerely,

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

Daniel D. Brownell  
Commissioner and Chair