



**Connecticut Department of  
Energy & Environmental Protection**  
Bureau of Materials Management & Compliance Assurance  
Waste Engineering & Enforcement Division

## Modification to an Existing CER Approval

Prior to submitting an application for modification to a Covered Electronic Recycler's ("CER's") approval, you should contact the Bureau of Materials Management and Compliance Assurance at (860) 424-3023 or (888) 424-4193 for specific requirements.

Please complete this form in accordance with the [Instructions for Completing the Application Form to Become an Approved Covered Electronic Recycler](#) (DEEP-EWASTE-INST-002) to ensure the proper handling of your modification. Print or type unless otherwise noted. Note: There is no fee required for modifications. [#1535]

A CER must complete all applicable parts of this form, including checking off all appropriate boxes. A CER may need to attach additional information that may be required depending on the nature of the modification (e.g., revised Attachment C, D, or E forms or a revised process flow chart(s)). Part III identifies modifications that need prior approval from the Commissioner. Part IV identifies modifications that require notification only to the Commissioner. *For changes that are not listed in Part III or IV of this form, notification to or prior approval from the department is not required.*

### Part I: CER Information

Provide the existing Covered Electronic Recycler name, contact information and existing approval number.

Covered Electronic Recycler Name:	Existing CER Approval No.:
Contact Name*:	
Address:	
Email:	
Phone:	
*For departmental inquiry/ correspondence purposes.	
<p><i>Note: If you are seeking to transfer ownership of an existing CER approval, you must complete and submit a <a href="#">License Transfer Form</a> (DEEP-APP-006). Do not complete this form for a transfer of ownership. No transfer of ownership shall occur prior to issuance of an approval by the Commissioner in writing.</i></p>	

<b>CPPU USE ONLY</b>
App #: _____
Doc #: _____
Check #: _____
<b>Program/App Type: Electronic Waste/Modification</b>

## Part II: Description of all Modifications

Provide a detailed narrative description of all modifications in the space provided below:

## Part III: Modifications Requiring Prior Approval

The changes indicated below must be approved in writing by the Commissioner prior to implementing such change pursuant to RCSA section 22a-638-1(b)(8)(B). For changes that require notification only, complete Part IV of this form.

Check the box by each proposed change and submit any required Attachment(s) as indicated in notes 1, 2, and 3 below.

- Changes in process material flow;
- Adding or removing upstream or downstream business partners;
- Changes in reuse or refurbishment procedures;
- Changes in export procedures; or
- Changes in collection, tracking and recording data on CEDs collected for billing purposes.

*Note<sup>1</sup> – For any changes indicated above, complete an [Attachment C](#) form only in the applicable parts of the form where the changes are being made, including submitting a revised process flow diagram. On the Attachment C form, you will need to describe the previously approved procedure(s) in addition to all newly proposed changes to the existing procedure(s).*

*Note<sup>2</sup> – In addition to Note<sup>1</sup> above, for each **new** Recycling or Disposal Facility, as defined, being added to your process material flow, complete in its entirety an [Attachment D](#) for each, including all supporting documents required by Attachment D (e.g., capacity, compliance history, evidence of insurance, financial assurance, as applicable, etc.).*

*Note<sup>3</sup> – In addition to Note<sup>1</sup> above, for each **new** Facility Incidental to Transportation, as defined, being added to your process material flow, complete Parts II and III only of [Attachment E](#) for each.*

#### Part IV: Modifications Requiring Notification Only

The changes indicated below require a notification only to the Commissioner and shall be effective immediately upon receipt by the Department pursuant to RCSA section 22a-638-1(b)(9).

Check the box by each change and submit any required Attachment(s) as indicated below.

<input type="checkbox"/>	<p>CER's Contact Information – any changes in a CER's name (excluding transfers of ownership), mailing or billing address or contact information. <b>Enter any changes in the fields provided below.</b></p> <p>CER Name:</p> <p>Mailing Address:</p> <p>City/Town: State: Zip Code:</p> <p><b>Location Address if different:</b></p> <p>City/Town: State: Zip Code:</p> <p>Primary Contact Person: Title:</p> <p>Business Phone: ext.</p> <p>Email:</p>
<input type="checkbox"/>	<p>Compliance History - Changes in any information on a CER's or any of its business partners' compliance with any state, federal or other country's environmental protection laws or regulations.</p> <ul style="list-style-type: none"><li>• <b>For any changes in a CER's compliance history, complete Part V of this form.</b></li><li>• <b>For any changes in a business partners' compliance history, complete the compliance history information in <a href="#">Attachment D</a> and/or <a href="#">Attachment E</a>, as applicable, identifying the business partner and the specific change to their compliance history information.</b></li></ul>
<input type="checkbox"/>	<p>Transporters (up to the initial Recycling Facility) – For each new transporter being added to your process material flow, you will also need to complete the applicable part(s) of <a href="#">Attachment E</a> for each transporter.</p>

**Part V: Compliance History – Complete this part only for changes to a CER’s compliance history information**

If you answer yes to any of the questions below, you must complete the Table of Enforcement Actions as directed in the [instructions](#) (DEEP-EWASTE-INST-002).

A.	During the five years immediately preceding submission of this application, has the applicant been convicted in any jurisdiction, foreign or domestic, of a criminal violation of any environmental law?
	<input type="checkbox"/> Yes <input type="checkbox"/> No
B.	During the five years immediately preceding submission of this application, has a civil penalty been imposed upon the applicant in any state, including Connecticut, in any federal judicial proceeding, or in any other country for any violation of an environmental law?
	<input type="checkbox"/> Yes <input type="checkbox"/> No
C.	During the five years immediately preceding submission of this application, has a civil penalty exceeding five thousand dollars been imposed on the applicant in any state, including Connecticut, in any federal administrative proceeding, or in any other country for any violation of an environmental law?
	<input type="checkbox"/> Yes <input type="checkbox"/> No
D.	During the five years immediately preceding submission of this application, has any state, including Connecticut, federal court, or court of another country issued any order or entered any judgment to the applicant concerning a violation of any environmental law?
	<input type="checkbox"/> Yes <input type="checkbox"/> No
E.	During the five years immediately preceding submission of this application, has any state, including Connecticut, federal administrative agency, or governmental agency of another country issued any order to the applicant concerning a violation of any environmental law?
	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Table of Enforcement Actions**

If you have answered yes to any of the questions in Part V: Compliance History, you must complete the following table as directed in the [instructions](#) (DEEP-EWASTE-INST-002).

Type of Action:	Type of Action:	Type of Action:
Date Commenced:	Date Commenced:	Date Commenced:
Date Terminated:	Date Terminated:	Date Terminated:
Jurisdiction:	Jurisdiction:	Jurisdiction:
Case/Docket/Order Number:	Case/Docket/Order Number:	Case/Docket/Order Number:
Description of Violation(s):	Description of Violation(s):	Description of Violation(s):

Check the box if additional sheets are attached.

**Part VI: Certification**

The Covered Electronic Recycler must sign this part. This modification will be considered incomplete unless all required signatures are provided **and are the proper signatory authority as specified in the instructions.**

<p>“I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that based on reasonable investigation, including my inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief.</p> <p>I understand that a false statement in the submitted information may be punishable as a criminal offense, in accordance with section 22a-6 of the General Statutes, pursuant to section 53a-157b of the General Statutes, and in accordance with any other applicable statute.</p> <p>I certify that this modification is on complete and accurate forms as prescribed by the Commissioner without alteration of the text.”</p>	
<p>Signature of Responsible Official/Covered Electronic Recycler</p>	<p>Date</p>
<p>Printed Name of Responsible Official/Covered Electronic Recycler</p>	<p>Title</p>
<p>Signature of Preparer</p>	<p>Date</p>
<p>Printed Name of Preparer</p>	<p>Title</p>

*Disclaimer: The Commissioner reserves the right to revoke, suspend, or modify a CER's approval for any reason in accordance with RCSA section 1(b)(1)(12)(A)-(D).*

Note: Please submit the completed modification form, and all supporting documents to:

CENTRAL PERMIT PROCESSING UNIT  
 DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION  
 79 ELM STREET  
 HARTFORD, CT 06106-51273.