
Central Valley Regional Water Quality Control Board

1 September 2015

Certified Mail No.

7011 2970 0003 5615 6085

Kevin Hinman
Cruiser Haven, Inc., Delta Waterways, LLC.
P.O. Box 622
Knightsen, CA 94548

Via Fed Ex Overnight and E-mail

Kevin Hinman
Holland Riverside Marina
7000 Holland Tract, Rd.
Brentwood, CA 94513
holland.riverside@gmail.com

OFFER TO ENTER INTO SETTLEMENT PRIOR TO ISSUANCE OF ADMINISTRATIVE CIVIL LIABILITY, CRUISER HAVEN, INC., DELTA WATERWAYS, LLC., HOLLAND RIVERSIDE MARINA, CONTRA COSTA COUNTY

Please read this notice carefully. The purpose of this letter is to inform you of a forthcoming Administrative Civil Liability Complaint (Complaint), and to notify you of your opportunity to negotiate and settle the assessment of monetary penalties for your failure to comply with the California Water Code.

The Holland Riverside Marina Wastewater Treatment Facility (WWTF) is owned and operated by Cruiser Haven, Inc., Delta Waterways, LLC (Discharger) and is regulated by the Central Valley Water Board under Waste Discharge Requirements (WDRs) Order 5-01-093. The WDRs contain a Monitoring and Reporting Program (MRP), which specifies monitoring and reporting requirements to be implemented by the Discharger. The MRP requires the submittal of monthly, quarterly, and annual monitoring reports. Since April 2013, the Discharger failed to submit 37 monitoring reports as required by the MRP, and was issued three Notice of Violation letters for the delinquent reports. Those NOV letters were dated 24 September 2013, 15 August 2014, and 14 January 2015. In addition, Board staff met with the Discharger on 15 August 2014 to discuss to non-compliance with the WDRs and MRP. Based on these violations and the subsequent non-response, Board staff has recommended that this case move to formal enforcement. **At this time, Cruiser Haven, Inc., Delta Waterways, LLC is subject to over \$15,000,000 in maximum civil liability penalties.**

Based on our review and after conducting a preliminary penalty calculation, the Assistant Executive Officer of the Central Valley Water Board intends to issue a Complaint seeking an administrative civil liability assessment against the Cruiser Haven, Inc., Delta Waterways, LLC. A proposed penalty amount was calculated considering the methodology in the State Water Resources Control Board's Water Quality Enforcement Policy (Enforcement Policy) and is based on facts known to date. However, this proposed penalty amount is subject to modification should additional information come to light. The full Enforcement Policy may be found here: http://www.swrcb.ca.gov/water_issues/programs/enforcement/docs/enf_policy_final111709.pdf.

By way of this letter, Cruiser Haven, Inc., Delta Waterways, Inc. is being formally notified of the opportunity to meet to discuss the facts regarding the alleged violations, including the option of settlement. This meeting affords you the opportunity to potentially reduce the proposed penalty amount if you present new information to the Central Valley Water Board staff, or other information you believe is relevant to determining an appropriate monetary penalty. All settlement communications would be kept confidential subject to California Evidence Code sections 1152 and 1154.

In order to initiate confidential discussions to settle this matter, you must contact me by **11 September 2015** to schedule a day and time to meet with Central Valley Water Board staff. In addition, please provide the name and contact information for the attorney who will be representing you in this matter. Once a meeting has been arranged, you will be provided with additional information regarding the violations.

If you do not respond by **11 September 2015**, then the Assistant Executive Officer will issue the Complaint and this matter will proceed to a formal enforcement hearing before the Central Valley Water Board, or the Assistant Executive Officer may refer the matter to the Attorney General's Office or other prosecution agency. If a settlement is reached, the Assistant Executive Officer will forego issuing the Complaint.

If you have any questions, please contact me by phone at (916) 464-4835 or by email at wwyels@waterboards.ca.gov.



WENDY WYELS, Supervisor
Compliance and Enforcement Section

cc: Andrew Altevogt, Central Valley Water Board, Rancho Cordova
Kailyn Ellison, State Water Board Office of Enforcement, Sacramento

California State Water Resources Control Board

**BUSINESS ORGANIZATION
ABILITY TO PAY CLAIM
Financial Data Request Form**

This form requests information regarding your financial status. The data will be used to evaluate your ability to pay for environmental clean-up or penalties. If there is not enough space for your answers, please use additional sheets of paper. Note that we may request further documentation of any of your responses. We welcome any other information you wish to provide supporting your case, particularly, if you feel your situation is not adequately described through the information requested here. If a particular question does not apply to your business, please indicate that it does not apply and give the reason. **Failure to answer all the questions clearly and completely may result in denial of your claim of inability to pay.**

Certification

Under penalties of perjury, I declare that this financial statement submitted by me as a responsible officer of the organization is a true, correct, and complete statement of all organization income and assets, real and personal, whether held in the company name or otherwise to the best of my knowledge and belief. I further understand that I will be subject to prosecution by the United States Government to the fullest extent possible under the law should I provide any information that is not true, correct, and complete to the best of my knowledge.

Signature

Date

Name (printed or typed)

Corporate Position

California State Water Resources Control Board

Name and address of principal stockholders and number of shares owned by each. (If more than eight shareholders, list only those with five percent or more stock ownership). If your business is a partnership, list all partners and ownership percentage.

Total outstanding shares: _____

Name	Address	Shares
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

9. A. Name and address of current, (and for previous five years), officers and number of shares held by each. For partnerships, list all partners for last five years.

Name	Address	Shares	Term

California State Water Resources Control Board

9. B. Name and address of current, (and for previous five years), members of board of directors and number of shares held by each.

Name	Address	Shares	Term

10. Has this organization ever issued a prospectus for the sale of stock? Yes____ No____
If yes, list date, number and type of shares for each prospectus during the last five years.

Date	Number of Shares	Type of Shares

11. A. Registration on international, national or local stock exchange(s). Give details, including date of registration and/or de-listing.

1. _____
2. _____
3. _____
4. _____

California State Water Resources Control Board

11. B. Total authorized shares for each type issued and present market value per share on each type of stock (or book value if not actively traded)

Types of Shares	Total Shares	Book Value	Market Value
1.			
2.			
3.			
4.			

C. Total outstanding shares of each type of stock currently being held as Treasury Stock.

D. Total outstanding shares of each type of stock.

E. Amount of bonded debt and principle bondholders.

12. List states and municipalities to which taxes have been paid and/or are being paid. Describe nature and amount of such taxes, state most recent year of payments thereof and whether tax payments are current.

California State Water Resources Control Board

13. Has this organization filed United States income tax returns during the last five years?

Yes _____ No _____

To what I.R.S. Office(s)

What Years?

Are Federal Taxes current? Yes _____ No _____

Provide **SIGNED** Federal income tax returns and **ALL** associated schedules for the last five years.

14. Name and address of:

A Organization's Independent Certified Public Accountants

B. Organization's Attorney(s) presently and during the past five years.

15. Has this organization filed Financial Forms with any organization or government entity?

List name of organization or entity, date and type of Financial Form.

California State Water Resources Control Board

Enter the organization’s Balance Sheet data and the Profit and Loss Statement and for the years specified in the following table.

Submit audited documents if available.

A. Assets

		2014	2013	2012	2011	2010
<u>Cash</u>	\$					
<u>Securities</u>	\$					
<u>Facilities</u>	\$					
<u>Depreciation</u>	\$					
<u>Equipment</u>	\$					
<u>Depreciation</u>	\$					
<u>Inventory</u>	\$					
<u>Accounts Receivable</u>	\$					
<u>Other</u>	\$					
<u>TOTAL ASSETS</u>	\$					

B. Liabilities and Stockholder’s Equity

		2014	2013	2012	2011	2010
Loans Principle	\$					
Monthly Payment	\$					
Mortgages Principle	\$					
Monthly Payment	\$					
Accounts Payable	\$					
Deferred Taxes	\$					
Insurance Premiums	\$					
Other	\$					

California State Water Resources Control Board

Stockholder's Equity

		2014	2013	2012	2011	2010
Common Stock	\$					
Paid-in Capital	\$					
Retained Earnings	\$					

		2014	2013	2012	2011	2010
TOTAL LIABILITIES & EQUITY						

17. Loans Payable:

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

b.

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

California State Water Resources Control Board

c.

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

d.

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

18. Mortgages Payable:

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

California State Water Resources Control Board

b.

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

c.

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

d.

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

California State Water Resources Control Board

19. Income/Expenses:

Gross Income:		2014	2013	2012	2011	2010
Net Sales	\$					
Interest Income	\$					
Dividends	\$					
Other	\$					

Operating Expenses:

Wages	\$					
Overhead	\$					
Lease Payments	\$					
Interest Expense	\$					
Cost of Sales	\$					
Net Income	\$					

20. Provide the following information that determines the size of the organization:

Number of Employees					
Size of Warehouse(s)					
Volume Shipped					
Other					

21. Provide the following information on bank accounts maintained by the organization. Give names and addresses of banks, savings and loan associations, and other such entities, within the United States or elsewhere.

A. Checking

Name of Bank	Address of Bank	Account #	Balance

California State Water Resources Control Board

B. Savings/Certificate of Deposit

Name of Institution	Address of Bank	Account #	Balance

C. Other Accounts

Name of Institution	Address of Institution	Account #	Balance

D. Savings & Loan Associations or other such entities

Name of Institution	Address of Institution	Account #	Balance

E. Trust Account(s)

Name of Institution	Address of Institution	Account #	Balance

F. Other Account(s)

Name of Institution	Address of Institution	Account #	Balance

California State Water Resources Control Board

22. List all commercial paper, negotiable or non-negotiable, in which the organization has any interest whatsoever, presently in transit or in the possession of any banking institution. Describe such paper and the organization's interest therein, and state its present location. List all loans receivable in excess of \$10,000 and specify if due from an officer, stockholder, or director.

23. Has this organization engaged in any Joint Loan Agreements, including Letters of Credits, with any other organization(s)? If yes, describe all such agreements.

24. Does this organization have any debt coinsured by another organization? If yes, describe such arrangements.

25. List all equity participation in other organizations, both domestic and foreign, in which this organization has an interest, including the type, amount and terms of such interest.

California State Water Resources Control Board

26. List all debt participation in other organizations, both domestic and foreign, in which this organization has an interest, including the type, amount and terms of such interest.

27. Is this organization presently:

A. Active

(Answer No for inactive, but still in existence) Yes _____ No _____

B. Void and/or terminated by State authority. Yes _____ No _____

C. Otherwise dissolved Yes _____ No _____

1. Date _____

2. By Whom _____

3. Reason _____

28. A. List corporate salaries, bonuses to and/or drawings of the following personnel for the last five taxable years:

Position	Name	2014	2013	2012	2011	2010
President						
Vice President						
Chairman						
Secretary						
Treasurer						

California State Water Resources Control Board

B. List the five most highly compensated employees or officers other than the above, describe position and list annual salary and/or bonus for the last five taxable years:

Name	Position/Title	2014	2013	2012	2011	2010

C. Describe the nature of the compensation paid to the persons listed in (A) and (B) above and set forth any stock options, pensions, profit sharing, royalties, or other deferred compensation rights of said persons.

29. List the organizations commercial activity, (fields of activity resulting in income), and SIC Code.

	<u>Commercial Activity</u>	<u>SIC Code</u>
Primary	_____	_____
Other 1.	_____	_____
Other 2.	_____	_____
Other 3.	_____	_____

California State Water Resources Control Board

30. List all other supplementary fields of activity in which this organization is engaged, either directly, through it affiliates, stating the name(s) and states(s) of incorporation of such subsidiaries or affiliates:

31. Has this organization at any time been the subject of any proceeding under the provisions of any State Insolvency Law, or the federal Bankruptcy Act, as amended? If so, supply the following information as to each such proceeding:

A. Date (Commencement) _____

B. Date (Termination) _____

C. Discharge or other disposition, if any, and operative effect thereof:

D. State Court _____ Docket No. _____
County

E. Federal Court _____ Docket No. _____
County

32. A. List all real estate, and personal property of an estimated value in excess of \$10,000 owned or under contract to be purchased by this organization with names and addresses of seller and contract price and where located:

California State Water Resources Control Board

33. List and describe all judgments, recorded and unrecorded, this organization is a party of:

A. Against the organization

B. In favor of the organization

34. List and describe all other encumbrances (including but not limited to security interest, whether perfected or not) against any such personal property owned by the organization as is listed in 30 (A) above.

35. List all life insurance, now in force on any or all officers, directors, and/or key employees, setting forth face amounts, names of life insurance companies and policy numbers where this organization has an insurable interest and/or paying the premium or part of same. Where applicable, indicate under which policy(s) this organization is beneficiary, type of policy(s) this organization is a beneficiary, yearly premium, and location of policy(s). In addition, state the cash value if any and the conditions of any borrowing options available under each policy.

California State Water Resources Control Board

36. For the following types of policies, list all primary and excess insurance policies, the deductible amount, per occurrence and aggregate coverage limit for each policy.

A. Comprehensive General Liability

B. Environmental Impairment Liability

C. Other policies for which coverage might apply including participation in risk retention pools.

37. List all transfers of assets (real) and/or (personal) (over \$10,000) made by this organization, OTHER THAN IN THE ORDINARY COURSE OF BUSINESS, during the last three calendar years and state to whom transfer was made. Describe compensation paid by recipient and to whom.

Date	Value	Property Transferred	To Whom	Compensation Paid

California State Water Resources Control Board

38. Is this business organization a party in any law suit now pending?

Yes (Give details below) _____ No _____

39. List names and addresses of any persons or other business entity, holding funds in escrow or in trust for this organization, or any of its subsidiaries or affiliates.

40. Other information requested:

Childs, Guy@Waterboards

From: Wyels, Wendy@Waterboards
Sent: Tuesday, September 01, 2015 11:27 AM
To: holland.riverside@gmail.com
Cc: Ellison, Kailyn@Waterboards; Hold, Howard@Waterboards; Childs, Guy@Waterboards; Altevogt, Andrew@Waterboards
Subject: Pre-Issuance Settlement offer
Attachments: Holland Riverside offer letter_1Sept15.pdf

Mr. Hinman,

Attached you will find a letter from the Water Quality Control Board. Please read the letter carefully.

The purpose of the letter is to inform you of a forthcoming Administrative Civil Liability Complaint (Complaint), and to notify you of your opportunity to negotiate and settle the assessment of monetary penalties for your failure to submit monitoring reports as required by your Waste Discharge Requirements. At this time, Cruiser Haven, Inc., Delta Waterways, LLC is subject to over \$15,000,000 in civil liability penalties. However, we are willing to meet with you to potentially reduce the proposed penalty amount if you present new information to the Central Valley Water Board staff, or other information you believe is relevant to determining an appropriate monetary penalty.

If you wish to meet to discuss this matter, **you must contact me no later than September 11th**. Once a meeting has been arranged, you will be provided with additional information regarding the violations.

If you have any questions about the penalty or the process for settling it, please contact me.

Wendy Wyels
Supervisor, Compliance and Enforcement Section
Central Valley Regional Water Quality Control Board
11020 Sun Center Drive, Suite A
Rancho Cordova, CA 95670
(916) 464-4835
wwyels@waterboards.ca.gov

Central Valley Regional Water Quality Control Board

1 September 2015

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If you have any questions, please contact me by phone at (916) 464-4835 or by email at wwyels@waterboards.ca.gov.



WENDY WYELS, Supervisor
Compliance and Enforcement Section

cc: Andrew Altevogt, Central Valley Water Board, Rancho Cordova
Kailyn Ellison, State Water Board Office of Enforcement, Sacramento

California State Water Resources Control Board

**BUSINESS ORGANIZATION
ABILITY TO PAY CLAIM
Financial Data Request Form**

This form requests information regarding your financial status. The data will be used to evaluate your ability to pay for environmental clean-up or penalties. If there is not enough space for your answers, please use additional sheets of paper. Note that we may request further documentation of any of your responses. We welcome any other information you wish to provide supporting your case, particularly, if you feel your situation is not adequately described through the information requested here. If a particular question does not apply to your business, please indicate that it does not apply and give the reason. **Failure to answer all the questions clearly and completely may result in denial of your claim of inability to pay.**

Certification

Under penalties of perjury, I declare that this financial statement submitted by me as a responsible officer of the organization is a true, correct, and complete statement of all organization income and assets, real and personal, whether held in the company name or otherwise to the best of my knowledge and belief. I further understand that I will be subject to prosecution by the United States Government to the fullest extent possible under the law should I provide any information that is not true, correct, and complete to the best of my knowledge.

Signature

Date

Name (printed or typed)

Corporate Position

California State Water Resources Control Board

Name and address of principal stockholders and number of shares owned by each. (If more than eight shareholders, list only those with five percent or more stock ownership). If your business is a partnership, list all partners and ownership percentage.

Total outstanding shares: _____

Name	Address	Shares
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

9. A. Name and address of current, (and for previous five years), officers and number of shares held by each. For partnerships, list all partners for last five years.

Name	Address	Shares	Term

California State Water Resources Control Board

9. B. Name and address of current, (and for previous five years), members of board of directors and number of shares held by each.

Name	Address	Shares	Term

10. Has this organization ever issued a prospectus for the sale of stock? Yes____ No____
If yes, list date, number and type of shares for each prospectus during the last five years.

Date	Number of Shares	Type of Shares

11. A. Registration on international, national or local stock exchange(s). Give details, including date of registration and/or de-listing.

1. _____
2. _____
3. _____
4. _____

California State Water Resources Control Board

11. B. Total authorized shares for each type issued and present market value per share on each type of stock (or book value if not actively traded)

Types of Shares	Total Shares	Book Value	Market Value
1.			
2.			
3.			
4.			

C. Total outstanding shares of each type of stock currently being held as Treasury Stock.

D. Total outstanding shares of each type of stock.

E. Amount of bonded debt and principle bondholders.

12. List states and municipalities to which taxes have been paid and/or are being paid. Describe nature and amount of such taxes, state most recent year of payments thereof and whether tax payments are current.

California State Water Resources Control Board

13. Has this organization filed United States income tax returns during the last five years?

Yes _____ No _____

To what I.R.S. Office(s)

What Years?

Are Federal Taxes current? Yes _____ No _____

Provide **SIGNED** Federal income tax returns and **ALL** associated schedules for the last five years.

14. Name and address of:

A Organization's Independent Certified Public Accountants

B. Organization's Attorney(s) presently and during the past five years.

15. Has this organization filed Financial Forms with any organization or government entity?

List name of organization or entity, date and type of Financial Form.

California State Water Resources Control Board

Enter the organization’s Balance Sheet data and the Profit and Loss Statement and for the years specified in the following table.

Submit audited documents if available.

A. Assets

		2014	2013	2012	2011	2010
<u>Cash</u>	\$					
<u>Securities</u>	\$					
<u>Facilities</u>	\$					
<u>Depreciation</u>	\$					
<u>Equipment</u>	\$					
<u>Depreciation</u>	\$					
<u>Inventory</u>	\$					
<u>Accounts Receivable</u>	\$					
<u>Other</u>	\$					
<u>TOTAL ASSETS</u>	\$					

B. Liabilities and Stockholder’s Equity

		2014	2013	2012	2011	2010
Loans Principle	\$					
Monthly Payment	\$					
Mortgages Principle	\$					
Monthly Payment	\$					
Accounts Payable	\$					
Deferred Taxes	\$					
Insurance Premiums	\$					
Other	\$					

California State Water Resources Control Board

Stockholder's Equity

		2014	2013	2012	2011	2010
Common Stock	\$					
Paid-in Capital	\$					
Retained Earnings	\$					

		2014	2013	2012	2011	2010
TOTAL LIABILITIES & EQUITY						

17. Loans Payable:

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

b.

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

California State Water Resources Control Board

c.

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

d.

Owed to:	Purpose:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance	

18. Mortgages Payable:

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

California State Water Resources Control Board

b.

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

c.

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

d.

Owed To:	Address of Property:
Term:	Interest Rate:
Collateral:	Cosigner:
Monthly Payments:	
Original Amount:	Date:
Present Balance:	

California State Water Resources Control Board

19. Income/Expenses:

Gross Income:		2014	2013	2012	2011	2010
Net Sales	\$					
Interest Income	\$					
Dividends	\$					
Other	\$					

Operating Expenses:

Wages	\$					
Overhead	\$					
Lease Payments	\$					
Interest Expense	\$					
Cost of Sales	\$					
Net Income	\$					

20. Provide the following information that determines the size of the organization:

Number of Employees					
Size of Warehouse(s)					
Volume Shipped					
Other					

21. Provide the following information on bank accounts maintained by the organization. Give names and addresses of banks, savings and loan associations, and other such entities, within the United States or elsewhere.

A. Checking

Name of Bank	Address of Bank	Account #	Balance

California State Water Resources Control Board

B. Savings/Certificate of Deposit

Name of Institution	Address of Bank	Account #	Balance

C. Other Accounts

Name of Institution	Address of Institution	Account #	Balance

D. Savings & Loan Associations or other such entities

Name of Institution	Address of Institution	Account #	Balance

E. Trust Account(s)

Name of Institution	Address of Institution	Account #	Balance

F. Other Account(s)

Name of Institution	Address of Institution	Account #	Balance

California State Water Resources Control Board

22. List all commercial paper, negotiable or non-negotiable, in which the organization has any interest whatsoever, presently in transit or in the possession of any banking institution. Describe such paper and the organization's interest therein, and state its present location. List all loans receivable in excess of \$10,000 and specify if due from an officer, stockholder, or director.

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24. Does this organization have any debt coinsured by another organization? If yes, describe such arrangements.

25. List all equity participation in other organizations, both domestic and foreign, in which this organization has an interest, including the type, amount and terms of such interest.

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26. List all debt participation in other organizations, both domestic and foreign, in which this organization has an interest, including the type, amount and terms of such interest.

27. Is this organization presently:

A. Active

(Answer No for inactive, but still in existence) Yes _____ No _____

B. Void and/or terminated by State authority. Yes _____ No _____

C. Otherwise dissolved Yes _____ No _____

1. Date _____

2. By Whom _____

3. Reason _____

28. A. List corporate salaries, bonuses to and/or drawings of the following personnel for the last five taxable years:

Position	Name	2014	2013	2012	2011	2010
President						
Vice President						
Chairman						
Secretary						
Treasurer						

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B. List the five most highly compensated employees or officers other than the above, describe position and list annual salary and/or bonus for the last five taxable years:

Name	Position/Title	2014	2013	2012	2011	2010

C. Describe the nature of the compensation paid to the persons listed in (A) and (B) above and set forth any stock options, pensions, profit sharing, royalties, or other deferred compensation rights of said persons.

29. List the organizations commercial activity, (fields of activity resulting in income), and SIC Code.

<u>Commercial Activity</u>	<u>SIC Code</u>
Primary _____	_____
Other 1. _____	_____
Other 2. _____	_____
Other 3. _____	_____

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30. List all other supplementary fields of activity in which this organization is engaged, either directly, through it affiliates, stating the name(s) and states(s) of incorporation of such subsidiaries or affiliates:

31. Has this organization at any time been the subject of any proceeding under the provisions of any State Insolvency Law, or the federal Bankruptcy Act, as amended? If so, supply the following information as to each such proceeding:

A. Date (Commencement) _____

B. Date (Termination) _____

C. Discharge or other disposition, if any, and operative effect thereof:

D. State Court _____ Docket No. _____
County

E. Federal Court _____ Docket No. _____
County

32. A. List all real estate, and personal property of an estimated value in excess of \$10,000 owned or under contract to be purchased by this organization with names and addresses of seller and contract price and where located:

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33. List and describe all judgments, recorded and unrecorded, this organization is a party of:

A. Against the organization

B. In favor of the organization

34. List and describe all other encumbrances (including but not limited to security interest, whether perfected or not) against any such personal property owned by the organization as is listed in 30 (A) above.

35. List all life insurance, now in force on any or all officers, directors, and/or key employees, setting forth face amounts, names of life insurance companies and policy numbers where this organization has an insurable interest and/or paying the premium or part of same. Where applicable, indicate under which policy(s) this organization is beneficiary, type of policy(s) this organization is a beneficiary, yearly premium, and location of policy(s). In addition, state the cash value if any and the conditions of any borrowing options available under each policy.

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36. For the following types of policies, list all primary and excess insurance policies, the deductible amount, per occurrence and aggregate coverage limit for each policy.

A. Comprehensive General Liability

B. Environmental Impairment Liability

C. Other policies for which coverage might apply including participation in risk retention pools.

37. List all transfers of assets (real) and/or (personal) (over \$10,000) made by this organization, OTHER THAN IN THE ORDINARY COURSE OF BUSINESS, during the last three calendar years and state to whom transfer was made. Describe compensation paid by recipient and to whom.

Date	Value	Property Transferred	To Whom	Compensation Paid

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38. Is this business organization a party in any law suit now pending?

Yes (Give details below) _____ No _____

39. List names and addresses of any persons or other business entity, holding funds in escrow or in trust for this organization, or any of its subsidiaries or affiliates.

40. Other information requested:
