



The City of New York
BUSINESS INTEGRITY COMMISSION
100 Church Street · 20th Floor
New York · New York 10007
Tel. (212) 437-0500 · Fax (646) 500-7096

BROKER FINANCIAL STATEMENTS

2015

REGISTRANT NAME

REGISTRATION NUMBER

REGISTRANT E-MAIL ADDRESS

FISCAL/CALENDAR YEAR ENDED: _____

ACCOUNTING METHOD: _____

COMPANY CONTACT

NAME: _____

TITLE: _____

ADDRESS: _____

TELEPHONE: _____

FAX: _____

EMAIL: _____

EXTERNAL PREPARER (IF APPLICABLE):

NAME / FIRM: _____

TELEPHONE: _____

PREPARER E-MAIL: _____

SERVICE PERFORMED:

AUDIT _____

REVIEW _____

COMPILATION _____

COVER

DEFINITION OF GENERAL TERMS

AFFILIATED ENTITIES / COMPANIES -- (also known as related companies) is defined as all affiliates of the licensee including its management and their immediate families, its principals and their immediate families, its investments accounted for by the equity method, beneficial employee trusts that are managed by the licensee and any party that may, or does, deal with the licensee and has ownership of, control over, or can significantly influence the management or operating policies of the licensee to the extent that an arms length transaction may not be achieved.

BROKERAGE SERVICE - representing an entity for the purpose of securing trade waste removal by a licensed or registered provider

REGULATED WASTE – putrescent and non-putrescent garbage, recyclable materials, and rubbish collected from within the limits of New York City and subject to the maximum rates established by the Business Integrity Commission.

NON-REGULATED WASTE – medical waste and sharp materials, construction and demolition debris, or waste collected within New York City that are not subject to the maximum rates, and refuse collected outside of the New York City limits.

WASTE STREAM ANALYSIS / EVALUATION SERVICES - analysis of an entity's waste stream to recommend a cost efficient means of waste disposal or to make other recommendations with respect to related business practices

FISCAL YEAR END STATEMENTS ARE REQUIRED TO BE FILED FOR ALL PERIODS ENDING SUBSEQUENT TO JUNE 1, 2015 THROUGH MAY 31, 2016

BROKER FINANCIAL STATEMENTS 2015

REGISTRANT NAME: _____

REGISTRATION NO.: _____

(PLEASE EXPLAIN IN DETAIL THE TYPE(S) OF SERVICES YOU PROVIDE)

SERVICES PROVIDED

REGISTRANT NAME: _____

REGISTRATION NO.: _____

INDEPENDENT AUDITOR'S REPORT

OR

INDEPENDENT ACCOUNTANT'S REVIEW REPORT

OR

INDEPENDENT ACCOUNTANT'S COMPILATION REPORT

BROKER FINANCIAL STATEMENTS 2015

REGISTRANT NAME: _____
REGISTRATION NO.: _____

PLEASE LIST ALL PRINCIPALS - ATTACH ADDITIONAL PAGES AS NECESSARY

PRINCIPALS

	PRINCIPAL # 1	PRINCIPAL # 2
Name (include maiden name where applicable)		
Home Address(es)		
Home Telephone No.		
Fax No.		
Cellular No.		
Date of Birth		
Social Security No.		
Business Address(es)		
Business Telephone No.		
Email address		
Title(s)		
From (date)		
To (date)		
% of Ownership		
Number of Shares		

BROKER FINANCIAL STATEMENTS 2015

REGISTRANT NAME: _____

REGISTRATION NO.: _____

PLEASE LIST ALL PRINCIPALS - ATTACH ADDITIONAL PAGES AS NECESSARY

PRINCIPALS (continued)

	PRINCIPAL # 3	PRINCIPAL # 4
Name (include maiden name where applicable)		
Home Address(es)		
Home Telephone No.		
Fax No.		
Cellular No.		
Date of Birth		
Social Security No.		
Business Address(es)		
Business Telephone No.		
Email address		
Title(s)		
From (date)		
To (date)		
% of Ownership		
Number of Shares		

PLEASE ATTACH ADDITIONAL PAGES AS NECESSARY

REGISTRANT NAME: _____

REGISTRATION NO.: _____

PLEASE ATTACH ADDITIONAL PAGES AS NECESSARY

AFFILIATED ENTITIES				
	ENTITY 1	ENTITY 2	ENTITY 3	ENTITY 4
Name of Affiliated Entity				
Principal(s) of Affiliated Entity (ALL)				
Address(es)				
Telephone No.				
Fax No.				
Email Address of Affiliated Entity or Web Address				
Registrant - % Ownership in Affiliated Entity				
Number of Shares Owned in Affiliated Entity				
Registrant Principal / Officer - % Ownership in Affiliated Entity				
Number of Shares Owned in Affiliated Entity				
Business Industry				
Type of Organization (C-Corporation, S-Corporation, Limited Liability Corporation, Partnership, Limited Liability Partnership, Sole Proprietor, etc.)				

Please Explain How Each Entity is Affiliated with Registrant and/or Registrant's Principal(s):

PLEASE ATTACH ADDITIONAL PAGES AS NECESSARY

REGISTRANT NAME: _____

REGISTRATION NO.: _____

BALANCE SHEET			
ASSETS & OTHER DEBITS			
TITLES OF ACCOUNTS	2015	2014	Increase / (Decrease)
CURRENT ASSETS:			
Cash and Cash Equivalents			
Accounts Receivable - Trade			
Accounts Receivable - Other			
Prepaid Expenses			
Interest and Dividends Receivable			
Deferred Taxes			
Other Current Assets (please specify)			
Total Currents Assets			
FIXED ASSETS:			
Fixed Assets - Net of Accumulated Depreciation			
Total Fixed Assets			
Goodwill			
Other Intangible Assets			
OTHER ASSETS:			
Long-term Investments			
Notes/ Loans Receivable: Affiliated Co.			
Notes/Loans Receivable: Shareholder/Principal			
Notes/Loans Receivable: Non-affiliated Co.			
Total Other Assets			
TOTAL ASSETS			

REGISTRANT NAME: _____

REGISTRATION NO.: _____

BALANCE SHEET			
LIABILITIES & OTHER CREDITS			
TITLES OF ACCOUNTS	2015	2014	Increase / (Decrease)
CURRENT LIABILITIES:			
Accounts Payable - Trade			
Accounts Payable - Other			
Accrued Interest			
Current Portion of Notes/Loans Payable - Affiliated Co.			
Current Portion of Notes/Loans Payable -			
Current Portion of Notes/Loans Payable - Other			
Income Taxes Payable			
Deferred Taxes			
Other Current Liabilities			
Total Current Liabilities			
LONG TERM LIABILITIES:			
Notes/Loans Payable – Affiliated Co.			
Notes/Loans Payable - Shareholder/Principal			
Notes/Loans Payable - Other			
Other Long-term Liabilities			
Total Long Term Liabilities			
TOTAL LIABILITIES			
SHAREHOLDER'S EQUITY:			
Common Stock			
Preferred Stock			
Additional Paid-In Capital			
Retained Earnings (Deficit)			
Treasury Stock			
TOTAL SHAREHOLDER'S EQUITY			
TOTAL LIABILITIES & SHAREHOLDER'S EQUITY			

BROKER FINANCIAL STATEMENTS 2015

REGISTRANT NAME: _____

REGISTRATION NO.: _____

COMPARATIVE INCOME STATEMENT			
TITLES OF ACCOUNTS	2015	2014	Increase / (Decrease)
OPERATING REVENUE			
Broker Revenue from:			
Putrescible Waste			
Construction & Demolition			
Waste Stream Analysis/Evaluation Service			
Cardboard Recycling			
Container Rental			
Other Operating Revenue (specify in detail)			
LESS: Operating Expenses (total from Page 5A)			
GROSS PROFIT			
GENERAL & ADMINISTRATIVE EXPENSES:			
General Operating Expenses (from Page 6)			
Administrative Expenses (from Page 6A)			
Depreciation Expense			
Amortization Expense			
Interest Expense			
Taxes Other than Income & Payroll			
Total General & Administrative Expenses			
INCOME FROM OPERATIONS			

REGISTRANT NAME: _____

REGISTRATION NO.: _____

COMPARATIVE INCOME STATEMENT (CONTINUED)			
TITLES OF ACCOUNTS	2015	2014	Increase / (Decrease)
OTHER INCOME:			
Net Income from Recycling (Other)			
Net Income from Property Leased to Others			
Net Income from Investments			
Sale/Disposal of Fixed Assets			
Interest Income			
Consulting Fee			
Net Miscellaneous Income (please specify in detail)			
Total Other Income (Page 8A)			
Net Income (Loss) Before Income Taxes			
Income Taxes			
Net Income (Loss) Before Extraordinary Items			
Extraordinary Items			
NET INCOME (LOSS)			

REGISTRANT NAME: _____

REGISTRATION NO.: _____

COMPARATIVE STATEMENT OF CASH FLOWS		
TITLES OF ACCOUNTS	2015	2014
Cash Flows from Operating Activities:		
Net Income (Loss)		
Adjustments to reconcile net income to net cash provided(used) by operating activities:		
Depreciation		
Amortization		
Deferred Income Taxes		
Other (Income) and Expenses		
Gain on Sale of Business(es)		
Gain on Sale of Fixed Assets		
Loss on Disposal of Fixed Assets		
Other, Net		
Changes in assets and liabilities:		
Decrease (Increase) in Trade Receivables		
Decrease (Increase) in Other Receivables		
Decrease (Increase) in Prepaid Expenses		
Decrease (Increase) in Interest and Dividend Receivable		
Decrease (Increase) in Miscellaneous Current Assets		
Increase (Decrease) in Trade Payables		
Increase (Decrease) in Other Assets		
Net Cash Provided (Used) by Operating Activities		

REGISTRANT NAME: _____

REGISTRATION NO.: _____

COMPARATIVE STATEMENT OF CASH FLOWS (CONTINUED)		
TITLES OF ACCOUNTS	2015	2014
Cash Flows from Investing Activities:		
Net Income (Loss)		
Acquisition of Fixed Assets		
Proceeds from Sale of Fixed Assets		
Purchase of Short-term Investments		
Proceeds from Maturity of Short-term Investments		
Other Investing Activities (please specify)		
Net Cash Provided (Used) by Investing Activities		
Cash Flows from Financing Activities:		
Short-term Borrowings, net		
Long-term Borrowings, net		
Proceeds from Line of Credit		
Payment from Line of Credit		
Principal Payments on Long-term Debt		
Dividend Payments		
Other Financing Activities		
Net Cash Provided (Used) by Financing Activities		
Net Increase (Decrease) in Cash and Cash Equivalents		
Cash and Cash Equivalents at Beginning of Year		
Cash and Cash Equivalents at End of Year *		

* Must agree to the Cash and Cash Equivalents amount on Page 2

REGISTRANT NAME: _____

REGISTRATION NO.: _____

OPERATING EXPENSES			
TITLES OF ACCOUNTS	2015	2014	Increase / (Decrease)
Payroll Costs:			
Salaries - Brokers / Sales Personnel			
Salaries - Waste Specialists / Engineers			
Sales Commissions			
Payroll Taxes			
Workers' Compensation Insurance			
Disability Insurance			
Other Payroll Costs (please specify)			
Total Payroll Costs			
Service Vehicle Expenses:			
Gas			
Tolls			
Depreciation			
Repairs & Maintenance			
Insurance			
License Fees			
Leasing Expense			
Other Vehicle Expenses (please specify)			
Total Service Vehicle Expenses			

REGISTRANT NAME: _____

REGISTRATION NO.: _____

GENERAL OPERATING & ADMINISTRATIVE EXPENSES			
TITLES OF ACCOUNTS	2015	2014	Increase / (Decrease)
General Operating Expenses:			
Utilities Expense (Light, Power, Heat, Water)			
Telephone Expenses			
General Maintenance Expense			
Travel and Entertainment			
Professional Fees			
Consultant Fees			
Bad Debt Expense			
Franchise Income & Business Taxes			
Sales Tax Expense			
Other Taxes			
Advertising and Promotion			
Trade Shows			
Other General Operating Expenses (please specify)			
Total General Operating Expenses *			

* Must agree to the General Operating Expenses total on Page 3

REGISTRANT NAME:

REGISTRATION NO.:

NOTES TO FINANCIAL STATEMENTS

REGISTRANT NAME: _____

REGISTRATION NO.: _____

**REVENUE ANALYSIS
OPERATING REVENUE**

	Putrescible Waste	Construction & Demolition Debris	Waste Stream Analysis / Evaluation Services	Cardboard Recycling	Container Rental	Other (please specify)	TOTAL
Revenue (\$) - NYC							
Revenue (\$) - Other than NYC Revenue							
TOTAL OPERATING REVENUE *							
Number of Customers - NYC							
Number of Customers - Other than NYC Customers							
Total Number of Customers							

* Must agree to the Total Operating Revenue amount on Page 3

REGISTRANT NAME: _____

REGISTRATION NO.: _____

**REVENUE ANALYSIS
OTHER INCOME**

OTHER INCOME:	Gross Revenue	Related Expenses	Net Income
Income from Recycling (Other)			
Income from Property Leased to Others			
Income from Investments			
Sale/Disposal of Fixed Assets			
Interest Income			
Consulting Fee			
Miscellaneous Income (please specify in detail)			
TOTAL *			

* Net Income totals must agree to the amounts on Page 3A

REGISTRANT NAME: _____
REGISTRATION NO.: _____

**AFFIRMATION
OFFICER**

ANY MATERIAL FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THESE FINANCIAL STATEMENTS MAY SUBJECT THE PRINCIPAL AND/OR ENTITY MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

The foregoing 2015 Broker Financial Statements must be verified by the oath of the president or other principal officer(s) of the company in the case of a corporation, or the proprietor in the case of an individual, or a partner in the case of a partnership.

I, _____ make this oath and say that I am _____ of
(Affiant's Name) (Affiant's Title)

(Exact Legal Title or Name of the Company)

and that I have personally examined the foregoing 2015 Broker Financial Statements and to the best of my knowledge I believe that all statements of fact contained in these 2015 Broker Financial Statements are true and that these 2015 Broker Financial Statements are a correct and a complete statement of the business.

(Affiant's Signature)

NOTARY PUBLIC: