

Module 3: Ownership/Compliance Information

Instructions: Provide the following information on an 8½ x 11 sheet of paper. Attach the page(s) to this Module and identify as *Exhibit 3: Ownership/Compliance Information*. Use Module number, letter, and heading to identify information.

If applicant is currently a licensed mine operator or has submitted an application for mine operators license to the Department, provide only contractor information requested in Module 3.2, if applicable. The ownership and compliance information will be generated by the Department from information on file with the Department (in eFACTS) for a licensed mine operator or a mine operator that has submitted an application for mine operators license. That information will be made part of this Module.

3.1 Ownership Interest. [§77.162] Identify whether the applicant is a single proprietorship, corporation, partnership, association, or other business entity. For businesses other than single proprietorships provide the following:

As stated above the Department will provide the following information for the licensed mine operator – Rockwood Stone, LLC.

- a) name and address of every officer, partner, director, or other person performing a function similar to a director of the applicant;
- b) name and address of any person who is a principal shareholder of the applicant; (Note: A principal shareholder is any person who is the legal owner of ten percent or more of any class of voting stock) and,
- c) names under which the applicant, partner, or principal shareholder previously operated a mining operation in Pennsylvania and the United States within the five years preceding the date of this application.
- d) the name, address and phone number of the resident agent of the applicant who will accept service of process.

3.2 Contractor. [§77.162(a)(iii)] If a contractor or contractors will be conducting the operation provide the name, address, and telephone number of the contractor and if the contractor is a business entity other than a single proprietor, provide the names and addresses of the respective principals, officers, and resident agents.

N/A