

# PENNSYLVANIA BULLETIN

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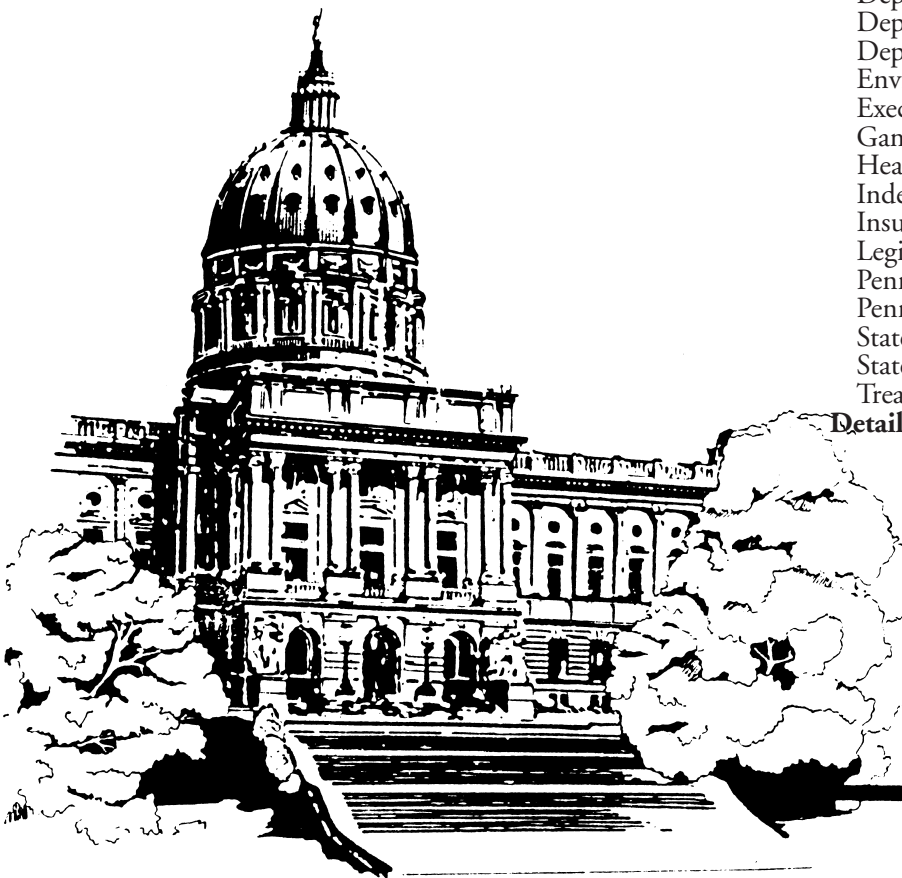
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**Latest Pennsylvania Code Reporters  
(Master Transmittal Sheets):**

**No. 472, March 2014**

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# READER'S GUIDE TO THE PENNSYLVANIA BULLETIN AND PENNSYLVANIA CODE

## *Pennsylvania Bulletin*

The *Pennsylvania Bulletin* is the official gazette of the Commonwealth of Pennsylvania. It is published every week and includes a table of contents. A cumulative subject matter index is published quarterly.

The *Pennsylvania Bulletin* serves several purposes. First, it is the temporary supplement to the *Pennsylvania Code*, which is the official codification of agency rules and regulations and other statutorily authorized documents. Changes in the codified text, whether by adoption, amendment, repeal or emergency action must be published in the *Pennsylvania Bulletin*. Further, agencies proposing changes to the codified text do so in the *Pennsylvania Bulletin*.

Second, the *Pennsylvania Bulletin* also publishes: Governor's Executive Orders; State Contract Notices; Summaries of Enacted Statutes; Statewide and Local Court Rules; Attorney General Opinions; Motor Carrier Applications before the Pennsylvania Public Utility Commission; Applications and Actions before the Department of Environmental Protection; Orders of the Independent Regulatory Review Commission; and other documents authorized by law.

The text of certain documents published in the *Pennsylvania Bulletin* is the only valid and enforceable text. Courts are required to take judicial notice of the *Pennsylvania Bulletin*.

### **Adoption, Amendment or Repeal of Regulations**

Generally an agency wishing to adopt, amend or repeal regulations must first publish in the *Pennsylvania Bulletin* a Notice of Proposed Rulemaking. There are limited instances when the agency may omit the proposal step; it still must publish the adopted version.

The Notice of Proposed Rulemaking contains the full text of the change, the agency contact person, a fiscal note required by law and background for the action.

The agency then allows sufficient time for public comment before taking final action. An adopted proposal must be published in the *Pennsylvania Bulletin* before it can take effect. If the agency

wishes to adopt changes to the Notice of Proposed Rulemaking to enlarge the scope, it must repropose.

### **Citation to the *Pennsylvania Bulletin***

Cite material in the *Pennsylvania Bulletin* by volume number, a page number and date. Example: Volume 1, *Pennsylvania Bulletin*, page 801, January 9, 1971 (short form: 1 Pa.B. 801 (January 9, 1971)).

### ***Pennsylvania Code***

The *Pennsylvania Code* is the official codification of rules and regulations issued by Commonwealth agencies and other statutorily authorized documents. The *Pennsylvania Bulletin* is the temporary supplement to the *Pennsylvania Code*, printing changes as soon as they occur. These changes are then permanently codified by the *Pennsylvania Code Reporter*, a monthly, loose-leaf supplement.

The *Pennsylvania Code* is cited by title number and section number. Example: Title 10 *Pennsylvania Code*, § 1.1 (short form: 10 Pa. Code § 1.1).

Under the *Pennsylvania Code* codification system, each regulation is assigned a unique number by title and section. Titles roughly parallel the organization of Commonwealth government. Title 1 *Pennsylvania Code* lists every agency and its corresponding *Code* title location.

### **How to Find Documents**

Search for your area of interest in the *Pennsylvania Code*. The *Pennsylvania Code* is available at [www.pacode.com](http://www.pacode.com).

Source Notes give you the history of the documents. To see if there have been recent changes, not yet codified, check the List of *Pennsylvania Code* Chapters Affected in the most recent issue of the *Pennsylvania Bulletin*.

A chronological table of the history of *Pennsylvania Code* sections may be found at [www.legis.state.pa.us](http://www.legis.state.pa.us).

The *Pennsylvania Bulletin* also publishes a quarterly List of Pennsylvania Code Sections Affected which lists the regulations in numerical order, followed by the citation to the *Pennsylvania Bulletin* in which the change occurred. The *Pennsylvania Bulletin* is available at [www.pabulletin.com](http://www.pabulletin.com).

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### Printing Format

Material proposed to be added to an existing rule or regulation is printed in **bold face** and material proposed to be deleted from such a rule or regulation is enclosed in brackets [ ] and printed in **bold face**. Asterisks indicate ellipsis of *Pennsylvania Code* text retained without change. Proposed new or additional regulations are printed in ordinary style face.

### Fiscal Notes

Section 612 of The Administrative Code of 1929 (71 P. S. § 232) requires that the Office of Budget prepare a fiscal note for regulatory actions and administrative procedures of the administrative departments, boards, commissions or authorities receiving money from the State Treasury stating whether the proposed action or procedure causes a loss of revenue or an increase in the cost of programs for the Commonwealth or its political subdivisions; that the fiscal note be published in the *Pennsylvania Bulletin* at the same time as the proposed change is advertised; and that the fiscal note shall provide the following information: (1) the designation of the fund out of which the appropriation providing for expenditures under the action or procedure shall be made; (2) the probable cost for the fiscal year the program is implemented; (3) projected cost estimate of the program for each of the five succeeding fiscal years; (4) fiscal history of the program for which expenditures are to be made; (5) probable loss of revenue for the fiscal year of its implementation; (6) projected loss of revenue from the program for each of the five succeeding fiscal years; (7) line item, if any, of the General Appropriation Act or other appropriation act out of which expenditures or losses of Commonwealth funds shall occur as a result of the action or procedures; (8) recommendation, if any, of the Secretary of the Budget and the reasons therefor.

The required information is published in the foregoing order immediately following the proposed change to which it relates; the omission of an item indicates that the agency text of the fiscal note states that there is no information available with respect thereto. In items (3) and (6) information is set forth for the first through fifth fiscal years; in that order, following the year the program is implemented, which is stated. In item (4) information is set forth for the current and two immediately preceding years, in that order. In item (8) the recommendation, if any, made by the Secretary of Budget is published with the fiscal note. See 4 Pa. Code § 7.231 *et seq.* Where “no fiscal impact” is published, the statement means no additional cost or revenue loss to the Commonwealth or its local political subdivision is intended.

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## List of Pa. Code Chapters Affected

The following numerical guide is a list of the chapters of each title of the *Pennsylvania Code* affected by documents published in the *Pennsylvania Bulletin* during 2014.

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# THE COURTS

## Title 201—RULES OF JUDICIAL ADMINISTRATION

[ 201 PA. CODE CH. 2 ]

Promulgation of Rules of Judicial Administration 250—252; Reasonable Accommodations under Title II of the Americans with Disabilities Act; No. 422 Judicial Administration Doc.

### Order

*Per Curiam:*

And Now, this 3rd day of March, 2014, the proposal having been submitted without publication in the interests of justice and efficient administration, *It Is Ordered* pursuant to Article V, Section 10 of the Constitution of Pennsylvania that Pennsylvania Rules of Judicial Administration 250, 251, and 252 are promulgated as follows.

This *Order* shall be processed in accordance with Pa.R.J.A. No. 103(b) and shall be effective immediately.

### Annex A

#### TITLE 201. RULES OF JUDICIAL ADMINISTRATION

#### CHAPTER 2. POLICY ON NONDISCRIMINATION AND EQUAL EMPLOYMENT OPPORTUNITY

#### REASONABLE ACCOMMODATIONS UNDER TITLE II OF THE AMERICANS WITH DISABILITIES ACT

#### Rule 250. Policy.

It is the policy of the Unified Judicial System to prohibit discrimination against any individual with a disability, as defined by the Americans with Disabilities Act (“ADA”), 42 U.S.C. § 12131 *et seq.*, in accessing or participating in judicial proceedings or other services, programs, or activities of the Unified Judicial System.

#### Rule 251. Scope.

These rules shall apply to each UJS entity which includes, but is not limited to, all appellate courts, judicial districts, boards, committees and agencies under the administrative authority of the Supreme Court. These rules relating to reasonable accommodations under Title II of the ADA do not supersede either the requirements of 42 Pa.C.S.A. § 4401 *et seq.*, relating to Court Interpreters for Persons who are Deaf or Hard of Hearing, or the Administrative Regulations Governing Court Interpreters for Persons who are Deaf or Hard of Hearing.

*Official Note:* The Administrative Regulations Governing Court Interpreters for Persons who are Deaf or Hard of Hearing (204 Pa. Code § 101 *et seq.*) and 42 Pa.C.S.A. § 4401 *et seq.* provide standards for court interpreters in judicial proceedings. “Judicial proceeding” is defined as “an action, appeal or proceeding in any court of this Commonwealth.” 2 Pa.C.S. § 101. Title II of the ADA requires an interpreter for the deaf or hard of hearing for all programs, services or activities of the UJS. 42 U.S.C.A. § 12132; 28 C.F.R. § 35.160.

#### Rule 252. Reasonable accommodations.

A. Each UJS entity shall develop a written policy to receive and process requests for reasonable accommodations from individuals with disabilities. The policy shall be posted on each UJS entity’s respective website and in each facility.

B. All policies developed must be substantially similar to the policy appended to this Rule (Appendix A) and shall contain, at a minimum, the following elements:

1. Appointment of an ADA coordinator—the coordinator must be identified on all court or program materials and the following information shall be provided: the coordinator’s name, work address, work fax number or e-mail address and work telephone number.

2. Notice of the right to request free accommodation(s).

3. Explanation of the process for requesting accommodation(s).

4. Time line for request and response.

C. Each UJS entity shall develop a form substantially similar to the one appended to this rule (Appendix A) for processing requests for reasonable accommodations.

D. Each UJS entity shall adopt and publish a grievance procedure, substantially similar to the procedure appended to this rule (Appendix B), for requests that have been denied in whole or in part. Any denial of an accommodation request based upon undue burden or fundamental alteration to services and programs shall be put in writing by the head of the entity or his or her designee and shall provide specific reasons for the denial.

E. Within six (6) months of the adoption of this rule, each UJS entity shall provide the Administrative Office with a copy of their ADA policy and form and their grievance procedure and form as outlined in sections A—D above.

### Appendix A

#### AMERICANS WITH DISABILITIES ACT (TITLE II) POLICY

The Unified Judicial System of Pennsylvania (UJS) complies with Title II of the Americans with Disabilities Act (ADA) which provides that “no qualified individual with a disability shall, by reason of such disability, be excluded from participation in or be denied the benefits of the services, programs, or activities of a public entity, or be subjected to discrimination by any such entity”. 42 U.S.C.A. § 12132. Pursuant to that requirement, if you are an individual with a disability who needs an accommodation in order to participate in any judicial proceeding or any other service, program, or activity of the UJS, you are entitled, at no cost to you, to the provision of certain assistance. The ADA does not require the (UJS entity name here) to take any action that would fundamentally alter the nature of its programs or services, or impose an undue financial or administrative burden.

If you require an accommodation under the ADA, it is recommended that you make your request as soon as possible or at least three (3) business days before your scheduled participation in any court proceeding or UJS program or activity. All requests for accommodation, regardless of timeliness, will be given due consideration

and if necessary, may require an interactive process between the requestor and the (name of UJS entity) to determine the best course of action.

To request a reasonable accommodation, please complete the *Request for Reasonable Accommodation Form* (Appendix B) and return it to:

Name(s), Business Address(es), Fax Number(s) and / or e-mail address(es), Telephone Number(s) of the ADA Coordinator

If you need assistance completing this form, contact the ADA Coordinator. Complaints alleging violations of Title II under the ADA may be filed pursuant to the UJS Grievance Procedure with (name and contact information of individual who handles grievance procedures). A response will be sent to you after careful review of the facts.



**APPENDIX A**  
FOR USE BY JUDICIAL DISTRICTS ONLY

UNIFIED JUDICIAL SYSTEM OF PENNSYLVANIA

AMERICANS WITH DISABILITIES ACT ACCOMMODATION (ADA) TITLE II REQUEST FOR REASONABLE ACCOMMODATION FORM  
(INCLUDES REQUEST FOR INTERPRETER FOR HEARING /SPEECH IMPAIRED)

**Client Information – Section A**

Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
Address: \_\_\_\_\_ Email: \_\_\_\_\_  
Mobile: \_\_\_\_\_

Please check the box that most closely describes your status in this matter:

- Litigant    Plaintiff    Defendant    Parent    Child    Witness    Attorney    Victim    Juror  
 Other (please explain) \_\_\_\_\_

**Requestor Information (if different from above)**

Name: \_\_\_\_\_ Bus. Phone/ Mobile: \_\_\_\_\_  
Address: \_\_\_\_\_ Fax: \_\_\_\_\_  
Relationship to Client: \_\_\_\_\_ Email: \_\_\_\_\_  
TTY: \_\_\_\_\_

**Accommodation**

Nature of the disability for which an accommodation is requested: \_\_\_\_\_

Accommodation requested: \_\_\_\_\_

**Location of Proceeding**

- Magisterial District Court No. \_\_\_\_\_  
District Judge Name: \_\_\_\_\_  
 Criminal Division    Civil Division    Orphans' Court Division  
 Family Division    Adult    Juvenile  
Specify Address: \_\_\_\_\_

**Proceeding Information (if known)**

Case #: \_\_\_\_\_  
Case Name: \_\_\_\_\_  
Judge: \_\_\_\_\_  
Proceeding Date: \_\_\_\_\_ Proceeding Time: \_\_\_\_\_  
Proceeding Type: \_\_\_\_\_

AFTER COMPLETING THE FORM, PLEASE SEND TO: COUNTY ADA COORDINATOR

I hereby certify that an Americans with Disabilities Act accommodation is required in the above-captioned action on the date stated.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

A SERVICE REQUEST HAS BEEN MADE FOR THE CLIENT NAMED ABOVE.

Service Provider Company: \_\_\_\_\_ Fax: \_\_\_\_\_  
Individual Interpreter Name: \_\_\_\_\_ Email: \_\_\_\_\_  
Bus. Phone/ Mobile: \_\_\_\_\_ Date to Provider: \_\_\_\_\_

<b>Court Official Verification – Section C</b>	
VERIFYING OFFICIAL SHALL MAINTAIN A COPY IN THE COURT’S CASE FILE AND PROVIDE THE ORIGINAL TO THE SERVICE PROVIDER FOR SUBMISSION WITH BILLING.	
I hereby verify that the services were performed by the provider in the above-captioned action on the date and time stated.	
Start Date & Time: _____	End Date & Time: _____
Court Official: _____ <i>(Please print name)</i>	Signature: _____
Title: _____	Date: _____



APPENDIX A

UNIFIED JUDICIAL SYSTEM OF PENNSYLVANIA

AMERICANS WITH DISABILITIES ACT ACCOMMODATION (ADA) TITLE II REQUEST FOR REASONABLE ACCOMMODATION FORM  
(INCLUDES REQUEST FOR INTERPRETER FOR HEARING /SPEECH IMPAIRED)

**Client Information – Section A**

Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Address: \_\_\_\_\_ Email: \_\_\_\_\_  
 \_\_\_\_\_ Mobile: \_\_\_\_\_

Please check the box that most closely describes your status in this matter:  
 Litigant    Plaintiff    Defendant    Parent    Child    Witness    Attorney    Victim    Juror  
 Other (please explain) \_\_\_\_\_

**Requestor Information (if different from above)**

Name: \_\_\_\_\_ Bus. Phone/ Mobile: \_\_\_\_\_  
 Address: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Relationship to Client: \_\_\_\_\_ Email: \_\_\_\_\_  
 \_\_\_\_\_ TTY: \_\_\_\_\_

**Accommodation**

Nature of the disability for which an accommodation is requested: \_\_\_\_\_

Accommodation requested: \_\_\_\_\_

**Location of Proceeding**

Name of Office: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_

**Proceeding Information (if known)**

Case #: \_\_\_\_\_  
 Case Name: \_\_\_\_\_  
 Judge: \_\_\_\_\_  
 Proceeding Date: \_\_\_\_\_ Proceeding Time: \_\_\_\_\_  
 Proceeding Type: \_\_\_\_\_

AFTER COMPLETING THE FORM, PLEASE SEND TO: ADA COORDINATOR

I hereby certify that an Americans with Disabilities Act accommodation is required in the above-captioned action on the date stated.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

A SERVICE REQUEST HAS BEEN MADE FOR THE CLIENT NAMED ABOVE.

Service Provider  
 Company: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Individual Interpreter Name: \_\_\_\_\_ Email: \_\_\_\_\_  
 Bus. Phone/ Date to \_\_\_\_\_  
 Mobile: \_\_\_\_\_ Provider: \_\_\_\_\_

<b>Court Official Verification – Section C</b>	
VERIFYING OFFICIAL SHALL MAINTAIN A COPY IN THE COURT’S CASE FILE AND PROVIDE THE ORIGINAL TO THE SERVICE PROVIDER FOR SUBMISSION WITH BILLING.	
I hereby verify that the services were performed by the provider in the above-captioned action on the date and time stated.	
Start Date & Time: _____	End Date & Time: _____
Court Official: _____ <i>(Please print name)</i>	Signature: _____
Title: _____	Date: _____

**Appendix B**  
**Americans with Disabilities Act (Title II)**  
**Grievance Procedure**

This grievance procedure is established for the prompt resolution of complaints alleging any violation of Title II of the Americans with Disabilities Act (ADA) in the provision of services, programs, or activities by the Unified Judicial System (UJS). If you require a reasonable accommodation to complete this form, or need this form in an alternate format, please contact [ADA coordinator information].

To file a complaint under the Grievance Procedure please take the following steps:

1. Complete the complaint form and return to [ADA Coordinator or designated individual]. Alternative means of filing complaints will be made available for persons with disabilities upon request. The complaint should be submitted as soon as possible but no later than sixty (60) calendar days after the alleged violation.

2. Within fifteen (15) calendar days of receipt of the complaint, the [ADA Coordinator or designated individual] will investigate the complaint, including, meeting with the individual seeking an accommodation, either in person or via telephone, to discuss the complaint and the possible resolutions. Within fifteen (15) calendar days of the meeting, the [ADA Coordinator or designated indi-

vidual] will respond in writing, and where appropriate, in a format accessible to the complainant, such as large print, Braille, or audio. The response will explain the position of the [name of UJS entity] and offer options for substantive resolution of the complaint.

3. If the response to the complaint does not satisfactorily resolve the issue, the complainant may appeal the decision within fifteen (15) calendar days after receipt of the response to [designated individual]. Within fifteen (15) calendar days after receipt of the appeal, the [designated individual] will meet with the complainant to discuss the complaint and possible resolutions. Within fifteen (15) calendar days after the meeting, the [designated individual] will respond in writing, and, where appropriate, in a format accessible to the complainant, with a final resolution of the complaint.

This grievance procedure is informal. An individual's participation in this informal process is completely voluntary. Use of this grievance procedure is not a prerequisite to and does not preclude a complainant from pursuing other remedies available under law.

The UJS Policy on Non-Discrimination and Equal Employment Opportunity also encompasses disability-related issues and provides complaint procedures for UJS court users. Any employment-related disability discrimination complaints will be governed by the UJS Policy on Nondiscrimination and Equal Employment Opportunity.



APPENDIX B

UNIFIED JUDICIAL SYSTEM OF PENNSYLVANIA

AMERICANS WITH DISABILITIES ACT (ADA) TITLE II  
GRIEVANCE FORM

**Grievant Information**

Grievant Name: _____	Home Phone (include area code): _____
Address: _____	Business Phone (include area code): _____
	Mobile Phone (include area code): _____

**Alternative Contact Person (other than Grievant)**

Name: _____	Home Phone (include area code): _____
Address: _____	Business Phone (include area code): _____
	Relationship To Client: _____

**Court Service, Program or Facility Allegedly in Violation**

Date and Location of Alleged Violation (dd/mm/yyyy)

Description of Alleged Violation and Requested Remedy

Has this case been filed with the Department of Justice or other government agency or court?

Yes      No

**If You Answered "Yes" to the Previous Question, Complete the Following**

Agency or Court: _____	Contact Person: _____
Address: _____	Phone (include area code): _____
	Date Filed: _____



Other Comments
Signature: _____ Date: _____

[Pa.B. Doc. No. 14-507. Filed for public inspection March 14, 2014, 9:00 a.m.]

\_\_\_\_\_

## [ 201 PA. CODE CH. 19 ]

**Rescission of Rule of Judicial Administration  
1903; No. 423 Judicial Administration Doc.****Order***Per Curiam:*

*And Now*, this 3rd day of March, 2014, the proposal having been submitted without publication in the interests of justice and efficient administration, *It Is Ordered* pursuant to Article V, Section 10 of the Constitution of Pennsylvania that Pennsylvania Rule of Judicial Administration 1903 is rescinded. Rule 1903 has been superseded by 42 Pa.C.S.A. § 4401 *et seq.*, 204 Pa. Code § 101 *et seq.* and Pa.R.J.A. Nos. 250—252.

This *Order* shall be processed in accordance with Pa.R.J.A. No. 103(b) and shall be effective immediately.

**Annex A****TITLE 201. RULES OF JUDICIAL  
ADMINISTRATION****CHAPTER 19. MISCELLANEOUS  
ADMINISTRATIVE PROVISIONS****MISCELLANEOUS ADMINISTRATIVE PROVISIONS****Rule 1903. (Rescinded).**

[Pa.B. Doc. No. 14-508. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Title 255—LOCAL  
COURT RULES****SUSQUEHANNA COUNTY****New Rules of the Civil Division of the Court of  
Common Pleas; 2014-247 C.P.****Order**

*Now to Wit*, this 26th day of February, 2014, it be and is hereby Ordered that the following rules of the Civil Division of the Court of Common Pleas of Susquehanna County, Susquehanna County Rules of Civil Procedure Civil Rule 100. Admission to the Bar of this Court., be and the same are hereby promulgated herewith to become effective thirty (30) days after the publication of the rule in the *Pennsylvania Bulletin*; that one (1) certified copy shall be filed with the Administrative Office of Pennsylvania Courts; that two (2) certified copies shall be filed with the Legislative Reference Bureau for publication in the *Pennsylvania Bulletin*; and that one (1) copy shall be filed with the Prothonotary of the Court of Common Pleas of Susquehanna County.

*By the Court*

KENNETH W. SEAMANS,  
*President Judge*

**Order**

*Now to wit*, this 26th day of February, 2014, it is ordered that, effective sec. leg., Susquehanna County Rules of Civil Procedure Civil Rule 100. Admission to the Bar of this Court., be and the same are hereby Adopted as follows:

(a) The Prothonotary and Clerk of Courts shall keep and maintain a roll which consists of attorneys who have

been admitted to the Bar of the Court of Common Pleas of Susquehanna County in accordance with the requirements hereinafter set forth.

(b) Admission to the Bar of this Court shall be by petition of the applicant, presented by a member of this Bar, which petition shall show that the applicant (1) has been admitted to the Bar of the Commonwealth of Pennsylvania; and (2) is a person of good moral character; and (3) is a resident of Susquehanna County or has an office in Susquehanna County.

(c) Nothing contained in this rule shall prevent any attorney who is in good standing as a member of the Bar of the Commonwealth of Pennsylvania from practicing in this Court.

*By the Court*

KENNETH W. SEAMANS,  
*President Judge*

**Civil Rule 100. Admission to the bar of this Court.**

(a) The Prothonotary and Clerk of Courts shall keep and maintain a roll which consists of attorneys who have been admitted to the Bar of the Court of Common Pleas of Susquehanna County in accordance with the requirements hereinafter set forth.

(b) Admission to the Bar of this Court shall be by petition of the applicant, presented by a member of this Bar, which petition shall show that the applicant (1) has been admitted to the Bar of the Commonwealth of Pennsylvania; and (2) is a person of good moral character; and (3) is a resident of Susquehanna County or has an office in Susquehanna County.

(c) Nothing contained in this rule shall prevent any attorney who is in good standing as a member of the Bar of the Commonwealth of Pennsylvania from practicing in this Court.

[Pa.B. Doc. No. 14-509. Filed for public inspection March 14, 2014, 9:00 a.m.]

**COMMONWEALTH COURT****Regular Sessions of Commonwealth Court for the  
Year 2015; No. 126 M.D. No. 3****Order**

*And Now*, this 25th day of February, 2014, *It Is Hereby Ordered* that the argument sessions of the Commonwealth Court of Pennsylvania shall be held in the year 2015 as follows:

<i>Dates</i>	<i>Situs</i>
February 9-13	Philadelphia
March 9-13	Harrisburg
April 13-17	Pittsburgh
May 4-8	Philadelphia
June 15-19	Harrisburg
September 14-18	Harrisburg
October 5-9	Philadelphia
November 16-20	Pittsburgh
December 7-11	Harrisburg

DAN PELLEGRINI,  
*President Judge*

[Pa.B. Doc. No. 14-510. Filed for public inspection March 14, 2014, 9:00 a.m.]

# RULES AND REGULATIONS

## Title 58—RECREATION

### GAME COMMISSION

#### [ 58 PA. CODE CH. 133 ]

#### Wildlife Classification; Classification of Birds

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission), at its January 28, 2014, meeting, amended § 133.21 (relating to classification of birds) to remove the bald eagle from the endangered and threatened species list entirely.

The final-form rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the final-form rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

Notice of proposed rulemaking was published at 43 Pa.B. 7444 (December 21, 2013).

#### 1. Purpose and Authority

The Commission formerly listed the bald eagle (*Haliaeetus leucocephalus*) as a threatened species within this Commonwealth. The Commission has recently determined that the bald eagle has achieved a population level and geographical distribution that no longer meets the definition of a threatened species. As of the 2013 nesting season, bald eagle populations have reached all criteria in the Pennsylvania Bald Eagle Management Plan, 2010-2019 (Plan) to be removed from the Commonwealth endangered and threatened species list since they are now sustaining a minimum of 150 nesting pairs, including successful pairs in at least 40 counties, with 60% of known nests successful and productivity of 1.2 eaglets fledged per successful nest, based on a 5-year running period. As a result, the Commission amends § 133.21 to remove the bald eagle from the endangered and threatened species list entirely. Upon delisting, bald eagles will continue to be a protected species under applicable Commonwealth statutes and will continue to be afforded added protection under the Federal Bald and Golden Eagle Protection Act (16 U.S.C.A. §§ 668—668d) and Migratory Bird Treaty Act (16 U.S.C.A. §§ 703—712). Commission staff will continue to implement the plan and monitor bald eagle nests to ensure that this species does not regress toward endangerment.

Section 322(c)(8) of the code (relating to powers and duties of commission) specifically empowers the Commission to “Add to or change the classification of any wild bird or wild animal.” Section 2167(a) of the code (relating to endangered or threatened species) states that “The commission may, by regulation, add or remove any wild bird or wild animal native to this Commonwealth to or from the Pennsylvania native list of endangered or threatened species.” The amendments to § 133.21 are adopted under this authority.

#### 2. Regulatory Requirements

The final-form rulemaking amends § 133.21 to remove the bald eagle from the endangered and threatened species list entirely.

#### 3. Persons Affected

Persons having an interest in the protected status of bald eagles within this Commonwealth may be affected by the final-form rulemaking.

#### 4. Comment and Response Summary

There were no official comments received regarding the final-form rulemaking.

#### 5. Cost and Paperwork Requirements

The final-form rulemaking should not result in additional cost or paperwork.

#### 6. Effective Date

The final-form rulemaking will be effective upon publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

#### 7. Contact Person

For further information regarding the final-form rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

#### Findings

The Commission finds that:

(1) Public notice of intention to adopt the administrative amendments adopted by this order has been given under sections 201 and 202 of the act of July 31, 1968 (P. L. 769, No. 240) (45 P. S. §§ 1201 and 1202) and the regulations thereunder, 1 Pa. Code §§ 7.1 and 7.2.

(2) The adoption of the amendments of the Commission in the manner provided in this order is necessary and appropriate for the administration and enforcement of the authorizing statute.

#### Order

The Commission, acting under authorizing statute, orders that:

(a) The regulations of the Commission, 58 Pa. Code Chapter 133, are amended by amending § 133.21 to read as set forth at 43 Pa.B. 7444.

(b) The Executive Director of the Commission shall certify this order and 43 Pa.B. 7444 and deposit them with the Legislative Reference Bureau as required by law.

(c) This order shall become effective upon final-form publication in the *Pennsylvania Bulletin*.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** Fiscal Note 48-356 remains valid for the final adoption of the subject regulation.

[Pa.B. Doc. No. 14-511. Filed for public inspection March 14, 2014, 9:00 a.m.]

### GAME COMMISSION

#### [ 58 PA. CODE CH. 135 ]

#### Lands and Buildings; State Game Lands

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission), at its January 28, 2014, meeting, amended § 135.41 (relating to State game lands) to limit the availability of the fire exception to only licensed hunters, trappers or fishermen and through hikers within the corridor of the Appalachian Trail.

The final-form rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the final-form rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

Notice of proposed rulemaking was published at 43 Pa.B. 7443 (December 21, 2013).

#### 1. Purpose and Authority

The Commission has historically permitted the use of small open fires on State game lands for cooking or warming purposes by licensed hunters, trappers or fishermen and through hikers within the corridor of the Appalachian Trail. Continued support for the use of small open fires by these users has not diminished. However, the Commission has identified an increasing number of fires being set and maintained by persons using the State game lands for other than their intended uses. In an effort to discourage and reduce the occurrence of these unintended uses, the Commission is specifically limiting the availability of the fire exception in § 135.41(a) to only licensed hunters, trappers or fishermen and through hikers within the corridor of the Appalachian Trail.

Section 721(a) of the code (relating to control of property) provides "The administration of all lands or waters owned, leased or otherwise controlled by the commission shall be under the sole control of the director, and the commission shall promulgate regulations . . . for its use and protection as necessary to properly manage these lands or waters." Section 741(b) of the code (relating to commission actions for damage to buildings or property) provides "The commission shall promulgate regulations to protect users, improvements, lands and buildings under its control. These regulations shall cover, but need not be limited to: (1) Removal of any material[;] (2) Damage of any kind[; and] (3) Any other regulations required to properly protect and preserve these lands for their intended use." The amendment to § 135.41 is adopted under this authority.

#### 2. Regulatory Requirements

The final-form rulemaking amends § 135.41 to limit the availability of the fire exception to only licensed hunters, trappers or fishermen and through hikers within the corridor of the Appalachian Trail.

#### 3. Persons Affected

Persons wishing to use small open fires for cooking or warming purposes on State game lands may be affected by the final-form rulemaking.

#### 4. Comment and Response Summary

There were no official comments received regarding the final-form rulemaking.

#### 5. Cost and Paperwork Requirements

The final-form rulemaking should not result in additional cost or paperwork.

#### 6. Effective Date

The final-form rulemaking will be effective upon publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

#### 7. Contact Person

For further information regarding the final-form rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

#### Findings

The Commission finds that:

(1) Public notice of intention to adopt the administrative amendments adopted by this order has been given under sections 201 and 202 of the act of July 31, 1968 (P. L. 769, No. 240) (45 P. S. §§ 1201 and 1202) and the regulations thereunder, 1 Pa. Code §§ 7.1 and 7.2.

(2) The adoption of the amendments of the Commission in the manner provided in this order is necessary and appropriate for the administration and enforcement of the authorizing statute.

#### Order

The Commission, acting under authorizing statute, orders that:

(a) The regulations of the Commission, 58 Pa. Code Chapter 135, are amended by amending § 135.41 to read as set forth at 43 Pa.B. 7443.

(b) The Executive Director of the Commission shall certify this order and 43 Pa.B. 7443 and deposit them with the Legislative Reference Bureau as required by law.

(c) This order shall become effective upon final-form publication in the *Pennsylvania Bulletin*.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** Fiscal Note 48-358 remains valid for the final adoption of the subject regulation.

[Pa.B. Doc. No. 14-512. Filed for public inspection March 14, 2014, 9:00 a.m.]

## GAME COMMISSION

### [ 58 PA. CODE CH. 143 ]

#### Hunting and Furtaker Licenses; Agents

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission), at its January 28, 2014, meeting amended Chapter 143, Subchapter B (relating to appointment of agents) to eliminate the late fees for late agent applications and also to make housekeeping amendments to related text.

The final-form rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the final-form rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

Notice of proposed rulemaking was published at 43 Pa.B. 4741 (August 17, 2013).

#### 1. Purpose and Authority

Section 143.29 formerly required applicants who submitted their agent applications from April 1 through October 31 to pay a \$100 late fee. In the past, timely agent applications were needed to create agent accounts and expedite shipment of pre-printed paper license materials before the start of the new licensing year. Since the implementation of the automated license system, the time constraints that previously necessitated timely applications no longer apply. The Commission has determined that the late fee is no longer necessary. The Commission amends Chapter 143, Subchapter B to eliminate the late fees for late agent applications and also to make housekeeping amendments to related text.

Section 2722(g) of the code (relating to authorized license-issuing agents) directs the Commission to adopt regulations for the administration, control and performance of license issuing activities. Section 2102(a) of the code (relating to regulations) provides that “The commission shall promulgate such regulations as it deems necessary and appropriate concerning game or wildlife and hunting or furtaking in this Commonwealth, including regulations relating to the protection, preservation and management of game or wildlife and game or wildlife habitat, permitting or prohibiting hunting or furtaking, the ways, manner, methods and means of hunting or furtaking, and the health and safety of persons who hunt or take wildlife or may be in the vicinity of persons who hunt or take game or wildlife in this Commonwealth.” The amendments to Chapter 143, Subchapter B are adopted under this authority.

2. *Regulatory Requirements*

The final-form rulemaking amends Chapter 143, Subchapter B to eliminate the late fees for late agent applications and also to make housekeeping amendments to related text.

3. *Persons Affected*

Persons wishing to make application to become a hunting/furtaking license issuing agent within this Commonwealth may be affected by the final-form rulemaking.

4. *Comment and Response Summary*

There were no official comments received regarding the final-form rulemaking.

5. *Cost and Paperwork Requirements*

The final-form rulemaking may result in the appearance of a nominal increase in additional cost and paperwork due to the loss of the late application fees. However, the loss of the late application fees has previously been offset by programmatic savings achieved by the efficiencies of the Commission’s automated licensing system. To the extent there was any increase in cost in paperwork, an increase would be nominal and would be absorbed by the Commission’s current budget or staffing, or both.

6. *Effective Date*

The final-form rulemaking will be effective upon publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

7. *Contact Person*

For further information regarding the final-form rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

*Findings*

The Commission finds that:

(1) Public notice of intention to adopt the administrative amendments adopted by this order has been given under sections 201 and 202 of the act of July 31, 1968 (P. L. 769, No. 240) (45 P. S. §§ 1201 and 1202) and the regulations thereunder, 1 Pa. Code §§ 7.1 and 7.2.

(2) The adoption of the amendments of the Commission in the manner provided in this order is necessary and appropriate for the administration and enforcement of the authorizing statute.

*Order*

The Commission, acting under authorizing statute, orders that:

(a) The regulations of the Commission, 58 Pa. Code Chapter 143, are amended by deleting § 143.29 and amending §§ 143.22—143.25 and 148.28 to read as set forth in Annex A.

(*Editor’s Note:* Amendments to § 143.27 included in the proposed rulemaking have been withdrawn by the Commission.)

(b) The Executive Director of the Commission shall certify this order and Annex A and deposit them with the Legislative Reference Bureau as required by law.

(c) This order shall become effective upon final-form publication in the *Pennsylvania Bulletin*.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** Fiscal Note 48-355 remains valid for the final adoption of the subject regulations.

**Annex A**

**TITLE 58. RECREATION**

**PART III. GAME COMMISSION**

**CHAPTER 143. HUNTING AND FURTKAKER LICENSES**

**Subchapter B. APPOINTMENT OF AGENTS**

**§ 143.22. Rebate for first year agents.**

(a) An agent shall be entitled to a rebate based upon his first license year only sales as follows:

- (1) Rebate \$100 if 250 licenses are sold.
- (2) Rebate \$200 if 500 licenses are sold.
- (3) Rebate \$300 if 750 licenses are sold.
- (4) Rebate \$400 if 1,000 licenses are sold.

(b) A rebate will not be given after the first license year of sales.

**§ 143.23. Minimum sales requirement.**

To continue as an agent, a minimum of 50 hunting licenses shall be sold each license year. Qualifying licenses, for the purpose of calculating 50 hunting licenses, will be the regular resident, nonresident hunting and furtakers licenses. Archery, muzzleloader, bear, special wild turkey, migratory game bird and replacement licenses are not included as qualifying licenses. In addition, an agent shall continue to meet the requirements in § 143.27 (relating to conditions for appointment).

**§ 143.24. Fee for reapplication.**

If an agent sells less than the required 50 qualifying licenses in a given license year, and is removed by the Commission, or if an agent voluntarily withdraws, a subsequent reapplication requires payment of the application fee.

**§ 143.25. Rebate restrictions.**

A rebate will not be granted if the agent is delinquent in remitting moneys as required.

**§ 143.28. Application period.**

(a) A person requesting appointment as an agent shall submit the appropriate completed application form to the Commission in Harrisburg during the period November 1 through March 31 of the following year to be eligible for appointment as an issuing agent for the license year beginning the following July 1.

(b) An application received outside of the application period is not guaranteed to be processed by the Commission before the start of the license year beginning July 1.

§ 143.29. (Reserved).

[Pa.B. Doc. No. 14-513. Filed for public inspection March 14, 2014, 9:00 a.m.]

**GAME COMMISSION**  
**[ 58 PA. CODE CH. 147 ]**  
**Special Permits; Deer Control**

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission), at its January 28, 2014, meeting, amended § 147.673 (relating to eligibility and application for DMAP) by advancing the Deer Management Assistance Permit (DMAP) application deadline to May 1.

The final-form rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the final-form rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

Notice of proposed rulemaking was published at 43 Pa.B. 7444 (December 21, 2013).

1. *Purpose and Authority*

Hunters in this Commonwealth have the opportunity to purchase their new hunting licenses from license issuing agents and the Pennsylvania Automated License System in early June each year. Ideally, every hunter interested in also redeeming a DMAP coupon for a harvest permit would be able to do so at the time of their general hunting license purchase. Unfortunately, due to the current DMAP application deadline and accompanying processing time, most DMAP landowner applications are not available until late June or early July. To accommodate hunting license buyers and permit one-stop purchases for licenses and permits in early June, the Commission amended § 147.673 to advance the DMAP application deadline to May 1. With this deadline date change, DMAP applications would be made available to prospective landowner applicants no later than February 15 each year.

Section 2901(b) of the code (relating to authority to issue permits) provides “the commission may, as deemed necessary to properly manage the game or wildlife resources, promulgate regulations for the issuance of any permit and promulgate regulations to control the activities which may be performed under authority of any permit issued.” The amendment to § 147.673 is adopted under this authority.

2. *Regulatory Requirements*

The final-form rulemaking amends § 147.673 to advance the DMAP application deadline to May 1.

3. *Persons Affected*

Persons wishing to submit a DMAP landowner application or redeem a DMAP coupon for a harvest permit may be affected by the final-form rulemaking.

4. *Comment and Response Summary*

There were no official comments received regarding the final-form rulemaking.

5. *Cost and Paperwork Requirements*

The final-form rulemaking should not result in additional cost or paperwork.

6. *Effective Date*

The final-form rulemaking will be effective upon publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

7. *Contact Person*

For further information regarding the final-form rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

*Findings*

The Commission finds that:

(1) Public notice of intention to adopt the administrative amendments adopted by this order has been given under sections 201 and 202 of the act of July 31, 1968 (P. L. 769, No. 240) (45 P. S. §§ 1201 and 1202) and the regulations thereunder, 1 Pa. Code §§ 7.1 and 7.2.

(2) The adoption of the amendment of the Commission in the manner provided in this order is necessary and appropriate for the administration and enforcement of the authorizing statute.

*Order*

The Commission, acting under authorizing statute, orders that:

(a) The regulations of the Commission, 58 Pa. Code Chapter 147, are amended by amending § 147.673 to read as set forth at 43 Pa.B. 7444.

(b) The Executive Director of the Commission shall certify this order and 43 Pa.B. 7444 and deposit them with the Legislative Reference Bureau as required by law.

(c) This order shall become effective upon final-form publication in the *Pennsylvania Bulletin*.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** Fiscal Note 48-357 remains valid for the final adoption of the subject regulation.

[Pa.B. Doc. No. 14-514. Filed for public inspection March 14, 2014, 9:00 a.m.]

## Title 61—REVENUE

### DEPARTMENT OF REVENUE TREASURY DEPARTMENT

#### [ 61 PA. CODE CH. 5 ]

#### Payments by Electronic Funds Transfer

The Department of Revenue (Department) and the Treasury Department (Treasury), under the authority of section 9 of The Fiscal Code (72 P. S. § 9), amend Chapter 5 (relating to payments by electronic funds transfer) to read as set forth in Annex A.

The act of July 18, 2013 (P. L. 574, No. 71) (Act 71) mandates the Secretary of Revenue and the State Treasurer to jointly promulgate a regulation revising electronic funds transfer (EFT) payments for payments equal to or greater than \$1,000. Accordingly, the Department and the Treasury, under section 204 of the act of July 31,

1968 (P. L. 769, No. 240) (45 P. S. § 1204), known as the Commonwealth Documents Law (CDL), and the regulation thereunder, 1 Pa. Code § 7.4, find that notice of proposed rulemaking is under the circumstances impracticable and, therefore, may be omitted.

Act 71 mandated these changes as part of the Fiscal Year (FY) 2013-2014 budget package. A balanced operating budget for the Commonwealth is required under Pa. Const. Art. VIII, § 12. The only way to timely implement this change, a necessary component of the FY 2013-2014 budget, is through a final-omitted rulemaking. These savings form part of the FY 2013-2014 budget passed by the General Assembly. Failure to timely adopt the regulations will create a deficit in the current year's budget as enacted.

Utilizing the shorter regulatory process enables the Department and the Treasury to quickly amend the regulations and provide the public with the revised EFT requirement enacted under Act 71. Even though time constraints make the formal comment period impossible, the Department reached out to the tax community to give them the opportunity to provide informal comments through the public outreach process. A copy of the draft regulation was sent to the Pennsylvania Bar Association, the Philadelphia Bar Association, the Pennsylvania Institute of Certified Public Accountants, the Pennsylvania Society of Public Accountants and the Pennsylvania Chamber of Business and Industry with a 14-day comment period. The draft regulation was also delivered to the Chairpersons of the Appropriations and Finance legislative committees. Comments or objections were not received on the EFT threshold revision. The regulation is listed on the Department's Quarterly Regulatory Report posted on the Department's web site. The Department continues to inform taxpayers of the lower EFT requirement through many avenues, such as the Revenue Tax Update publication, notification in the electronic E-TIDES system and on the Department's web site.

As a result, the Department for good cause finds that the procedures specified in sections 201 and 202 of the CDL (45 P. S. §§ 1201 and 1202) are in these circumstances impractical, unnecessary or impose an impossible burden on the Department.

*Purpose of the Final-Omitted Rulemaking*

The purpose of this final-omitted rulemaking is to implement regulations to reflect a statutory change made by the General Assembly that revised payments required under § 5.3 (relating to payments required to be paid by EFT) from "\$10,000 or more" to "\$1,000 or more." Electronic payments offer several advantages over check payments. Payments are received faster and errors in handling and posting of tax payments are reduced.

*Explanation of Regulatory Requirements*

The Department is amending § 5.3 to add language in subsection (e) that explains the lower EFT threshold requirement of \$1,000 beginning January 1, 2014. The remaining subsections are renumbered.

Section 5.7(i) (relating to miscellaneous provisions) is amended to reflect a new amount of "\$1,000 or more," as well as update a reference to the renumbered section.

*Fiscal Impact*

The Department estimated that the regulations will have a fiscal impact of \$39,000 savings to the Commonwealth. It can be expected that the costs to the regulated community and small businesses, after an initial setup expense of staff time or other resources if the business is not already set up to make EFT payments, are minimal.

Added expense to convert to electronic payments should be offset by savings on checks, stamps and envelopes.

*Paperwork*

This final-omitted rulemaking will not generate substantial paperwork for the public or the Commonwealth.

*Effectiveness/Sunset Date*

This final-omitted rulemaking will become effective upon publication in the *Pennsylvania Bulletin*. The regulations are scheduled for review within 5 years of publication. A sunset date has not been assigned.

*Contact Person*

The contact person for an explanation of the final-omitted rulemaking is Mary R. Sprunk, Office of Chief Counsel, Department of Revenue, P. O. Box 281061, Harrisburg, PA 17128-1061.

*Regulatory Review*

Under section 5.1(c) of the Regulatory Review Act (71 P. S. § 745.5a(c)), on December 20, 2013, the Department and Treasury submitted a copy of the final-omitted rulemaking and a copy of a Regulatory Analysis Form to the Independent Regulatory Review Commission (IRRC) and to the Chairpersons of the House Committee on Finance and the Senate Committee on Finance. On the same date, the regulations were submitted to the Office of Attorney General for review and approval under the Commonwealth Attorneys Act (71 P. S. §§ 732-101—732-506).

Under section 5.1(j.2) of the Regulatory Review Act, on February 26, 2014, the final-omitted rulemaking was deemed approved by the House and Senate Committees. Under section 5.1(e) of the Regulatory Review Act, IRRC met on February 27, 2014, and approved the final-omitted rulemaking.

*Findings*

The Department and the Treasury find that:

- (1) The proposed rulemaking procedures in sections 201 and 202 of the CDL are unnecessary because it is in the public interest to expedite final-omitted rulemaking.
- (2) The adoption of this final-omitted rulemaking in the manner provided by this order is necessary and appropriate for the administration and enforcement of the authorizing statute.

*Order*

The Department and the Treasury, acting under the authorizing statute, order that:

- (a) The regulations of the Department, 61 Pa. Code Chapter 5, are amended by amending §§ 5.3 and 5.7 to read as set forth in Annex A.
- (b) The Secretary of the Department and the State Treasurer shall submit this order and Annex A to the Office of General Counsel and Office of Attorney General for approval as to form and legality as required by law.
- (c) The Secretary of the Department and the State Treasurer shall certify this order and Annex A and deposit them with the Legislative Reference Bureau as required by law.
- (d) This order shall take effect upon publication in the *Pennsylvania Bulletin*.

DANIEL MEUSER,  
*Secretary of Revenue*  
 ROBERT M. McCORD,  
*State Treasurer*

*(Editor's Note: For the text of the order of the Independent Regulatory Review Commission relating to this document, see 44 Pa.B. 1534 (March 15, 2014).)*

**Fiscal Note:** 15-458. No fiscal impact; (8) recommends adoption.

**Annex A**

**TITLE 61. REVENUE**

**PART I. DEPARTMENT OF REVENUE**

**Subpart A. GENERAL PROVISIONS**

**CHAPTER 5. PAYMENTS BY ELECTRONIC FUNDS TRANSFER**

**§ 5.3. Payments required to be paid by EFT.**

(a) Beginning July 1, 1992, a payment in the amount of \$40,000 or more shall be remitted using a method of EFT selected by the taxpayer. A taxpayer may choose the ACH debit method or the ACH credit method.

(b) Beginning January 1, 1993, a payment in the amount of \$30,000 or more shall be remitted using a method of EFT selected by the taxpayer. A taxpayer may choose the ACH debit method or the ACH credit method.

(c) Beginning January 1, 1994, a payment in the amount of \$20,000 or more shall be remitted using a method of EFT selected by the taxpayer. The taxpayer may choose the ACH debit method or the ACH credit method.

(d) Beginning January 1, 2013, a payment in the amount of \$10,000 or more shall be remitted using a method of EFT selected by the taxpayer. The taxpayer may choose the ACH debit method or the ACH credit method.

(e) Beginning January 1, 2014, a payment in the amount of \$1,000 or more shall be remitted using a method of EFT selected by the taxpayer. The taxpayer may choose the ACH debit method or the ACH credit method.

(f) This requirement applies to payment of only the following taxes:

Sales and Use	Corporate Net Income
Employer Withholding	Capital Stock-Franchise
Liquid Fuels	Bank Shares
Fuel Use	Title Insurance and Trust
Mutual Thrift Institutions	Company Shares
Oil Company Franchise	Insurance Premiums
Malt Beverage	Public Utility Realty
Motor Carrier Road Tax	Gross Receipts

(g) A taxpayer may satisfy the obligation to remit a payment by EFT by delivering a certified or cashier's check, in person or by courier with the appropriate return or deposit statement, to the Pennsylvania Department of Revenue, Bureau of Business Trust Fund Taxes, EFT Unit, Ninth Floor, Strawberry Square, Fourth and Walnut Streets, Harrisburg, Pennsylvania 17128 on or before the due date of the obligation. Payments will not be accepted at other Department locations.

(h) Separate transfers shall be made for each payment.

**§ 5.7. Miscellaneous provisions.**

(a) A taxpayer who is required to remit payments by EFT shall initiate the transfer so that the tax due is deposited to the Commonwealth's depository account on or before the day that the tax is due. If a tax due date falls on a day other than a business day, the deposit by EFT is due on the first business day thereafter.

(b) The EFT method of payment does not change current filing requirements for tax returns. If the EFT payment is not timely made or the tax return required is not filed by the due date, the provisions for late filing penalties, interest and loss of collection allowance apply as provided by law.

(c) A taxpayer who is required to remit payments by EFT and who is unable to make a timely payment because of system failures within the banking system/ACH interface which are beyond the taxpayer's control will not be subject to penalty or interest for late payment or loss of collection allowance.

(d) Errors made by the Treasury, the Department or their agents will not subject the taxpayer to loss of collection allowance or assessment of penalty or interest for late payment.

(e) A taxpayer who is required to remit payment by EFT and who elects to remit the payment by courier as described in § 5.6(d) (relating to EFT payments) will not be subject to penalty or interest for late payment or loss of collection allowance if the courier fails to make timely delivery due to a force majeure.

(f) For the first 6 months that a taxpayer is required to remit tax by EFT, the Department will extend a reasonable grace period to the taxpayer to resolve problems which arise with new administrative procedures, data systems changes and taxpayer operating procedures. To qualify for a grace period, the taxpayer shall demonstrate that a good faith effort to comply was made, or that circumstances beyond the taxpayer's reasonable control prevented compliance by the required date.

(g) A taxpayer who remits taxes by EFT shall indicate that fact on the return when it is filed. For the purpose of this chapter, "return" means the form designated for filing the report of taxes due for a period, including forms for making installments of estimated tax and tentative tax returns.

(h) The Department and the Treasurer will provide one or more methods for taxpayers who remit taxes by EFT to verify and acknowledge that the payments have been received by the Department.

(i) The Treasurer, the Department and the Secretary of the Budget will provide one or more methods for tax refunds of \$1,000 or more. The refunds will be available for the taxes listed in § 5.3(f) (relating to payments required to be paid by EFT). The taxpayer shall file a written request for the electronic transfer of a refund.

[Pa.B. Doc. No. 14-515. Filed for public inspection March 14, 2014, 9:00 a.m.]



# PROPOSED RULEMAKING

## GAME COMMISSION

[ 58 PA. CODE CH. 141 ]

### Hunting and Trapping; Beaver Trapping

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend § 141.62 (relating to beaver trapping) to expand the trap authorization to 10 inches in height to 12 inches in width and additionally require a single offset trigger positioned in parallel not more than 1 1/2 inches from either vertical section of a set trap.

The proposed rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797.

#### 1. Purpose and Authority

Current regulations prohibit a person from trapping beaver using a body gripping trap larger than 10 inches by 10 inches. The Commission recently received a request to expand the trap authorization to 10 inches in height to 12 inches in width to accommodate certain commercially available products. The Commission reviewed applicable safety and wildlife management concerns and determined that this nominal expansion of authorized body gripping traps will not have a negative impact on the wildlife resources of this Commonwealth. The Commission is proposing to amend § 141.62 to expand the trap authorization to 10 inches in height to 12 inches in width and additionally require a single offset trigger positioned in parallel not more than 1 1/2 inches from either vertical section of a set trap.

Section 2102(d) of the code (relating to regulations) authorizes the Commission to “promulgate regulations stipulating the size and type of traps, the type of firearms and ammunition and other devices which may be used, the manner in which and the location where the devices may be used, the species the devices may be used for and the season when the devices may be used.” The amendments to § 141.62 are proposed under this authority.

#### 2. Regulatory Requirements

The proposed rulemaking will amend § 141.62 to expand the trap authorization to 10 inches in height to 12 inches in width and additionally require a single offset trigger positioned in parallel not more than 1 1/2 inches from either vertical section of a set trap.

#### 3. Persons Affected

Persons wishing to trap beaver through the use of body gripping traps within this Commonwealth will be affected by the proposed rulemaking.

#### 4. Cost and Paperwork Requirements

The proposed rulemaking should not result in additional cost or paperwork.

#### 5. Effective Date

The proposed rulemaking will be effective upon final-form publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

#### 6. Contact Person

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** 48-364. No fiscal impact; (8) recommends adoption.

### Annex A

#### TITLE 58. RECREATION

#### PART III. GAME COMMISSION

#### CHAPTER 141. HUNTING AND TRAPPING

#### Subchapter D. FURBEARERS

#### § 141.62. Beaver trapping.

\* \* \* \* \*

(b) *Unlawful acts.* It is unlawful to:

\* \* \* \* \*

(3) Set body gripping traps larger than 10 inches [ **x 10 inches** ] in height by 12 inches in width or without a single offset trigger positioned in parallel not more than 1 1/2 inches from either vertical section of a set trap.

\* \* \* \* \*

[Pa.B. Doc. No. 14-516. Filed for public inspection March 14, 2014, 9:00 a.m.]

[ 58 PA. CODE CH. 141 ]

### Hunting and Trapping; Elk

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend § 141.47 (relating to elk) to eliminate the Route 555 corridor safety zone.

The proposed rulemaking will have no adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797.

#### 1. Purpose and Authority

In 2004, the Board of Commissioners adopted regulations creating a 150-yard safety zone for elk along the Route 555 corridor from Weedville to Hicks Run in an effort to address existing problems with road hunting and the killing of highly visible elk in yards and public places found within this area. The Commission determined that

this safety zone is no longer necessary and that existing laws and regulations can adequately protect the public and wildlife from unsafe or unethical behavior. Furthermore, the Commission also determined that harvest of some of the elk within this corridor is necessary to maintain elk populations in more appropriate habitats. The Commission is proposing to amend § 141.47 to eliminate the Route 555 corridor safety zone.

Section 322(c)(4) of the code (relating to powers and duties of commission) specifically authorizes the Commission to "Define geographic limitations or restrictions." Section 2102(a) of the code (relating to regulations) provides that "The commission shall promulgate such regulations as it deems necessary and appropriate concerning game or wildlife and hunting or furtaking in this Commonwealth, including regulations relating to the protection, preservation and management of game or wildlife and game or wildlife habitat, permitting or prohibiting hunting or furtaking, the ways, manner, methods and means of hunting or furtaking, and the health and safety of persons who hunt or take wildlife or may be in the vicinity of persons who hunt or take game or wildlife in this Commonwealth." The amendments to § 141.47 are proposed under this authority.

2. *Regulatory Requirements*

The proposed rulemaking will amend § 141.47 to eliminate the Route 555 corridor safety zone.

3. *Persons Affected*

Persons owning property or wishing to hunt elk within the Route 555 corridor safety zone will be affected by the proposed rulemaking.

4. *Cost and Paperwork Requirements*

The proposed rulemaking should not result in additional cost or paperwork.

5. *Effective Date*

The proposed rulemaking will be effective upon final-form publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

6. *Contact Person*

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** 48-360. No fiscal impact; (8) recommends adoption.

**Annex A**

**TITLE 58. RECREATION**

**PART III. GAME COMMISSION**

**CHAPTER 141. HUNTING AND TRAPPING**

**Subchapter C. BIG GAME**

§ 141.47. Elk.

\* \* \* \* \*

(b) *Prohibitions.* While hunting elk during the elk season, it is unlawful to:

\* \* \* \* \*

**[ (5) Hunt within 150 yards from the center line of Route 555, from the intersection of Routes 255 and 555, to the intersection of Huston Hill Road and Route 555.**

**(6) ] (5) Hunt within the Hick's Run no hunt zone, this being the area immediately adjacent to and north of Route 555, between Hick's Run Road and Huston Hill Road and within .3 mile of Route 555.**

[Pa.B. Doc. No. 14-517. Filed for public inspection March 14, 2014, 9:00 a.m.]

**[ 58 PA. CODE CH. 141 ]**

**Hunting and Trapping; Hunting Hours**

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend Chapter 141, Appendix G (relating to hunting hours) by replacing the current hunting hours table and migratory bird hunting hours table to accurately reflect the dates and hours of legal hunting for the 2014-2015 hunting/trapping license year.

The proposed rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797.

1. *Purpose and Authority*

Each year there is a shift in calendar days for each month. As a result of this occurrence, the time tables in Appendix G must be amended and updated on an annual basis to accurately reflect the upcoming year's dates and hours for legal hunting. The Commission is proposing to amend Appendix G to replace the current hunting hours table and migratory bird hunting hours table to accurately reflect the dates and hours of legal hunting for the 2014-2015 hunting/trapping license year.

Section 322(c)(1) of the code (relating to powers and duties of commission) specifically empowers the Commission to "fix seasons, daily shooting or taking hours, and any modification thereof, and daily, season and possession limits for any species of game or wildlife." Section 2102(a) of the code (relating to regulations) provides that "The commission shall promulgate such regulations as it deems necessary and appropriate concerning game or wildlife and hunting or furtaking in this Commonwealth, including regulations relating to the protection, preservation and management of game or wildlife and game or wildlife habitat, permitting or prohibiting hunting or furtaking, the ways, manner, methods and means of hunting or furtaking, and the health and safety of persons who hunt or take wildlife or may be in the vicinity of persons who hunt or take game or wildlife in this Commonwealth." The amendments to Appendix G are proposed under this authority.

2. *Regulatory Requirements*

The proposed rulemaking will amend Appendix G by replacing the current hunting hours table and migratory bird hunting hours table to accurately reflect the dates and hours of legal hunting for the 2014-2015 hunting/trapping license year.

3. *Persons Affected*

Persons wishing to hunt or trap game or wildlife within this Commonwealth during the 2014-2015 hunting year will be affected by the proposed rulemaking.

4. *Cost and Paperwork Requirements*

The proposed rulemaking should not result in additional cost or paperwork.

5. *Effective Date*

The effective dates of the proposed rulemaking are July 1, 2014, to June 30, 2015.

6. *Contact Person*

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** 48-363. No fiscal impact; (8) recommends adoption.

**Annex A**

**TITLE 58. RECREATION**

**PART III. GAME COMMISSION**

**CHAPTER 141. HUNTING AND TRAPPING**

**APPENDIX G. HUNTING HOURS**

*(Editor's Note:* As part of this proposed rulemaking, the Commission is proposing to delete the text of the tables which appear in 58 Pa. Code pages 141-33—141-35, serial pages (366873)—(366875) and replace them with the following tables.)

**HUNTING HOURS TABLE  
FOR JUNE 29, 2014 THROUGH JULY 5, 2015**

<i>Dates</i>	<i>Begin A.M.</i>	<i>End P.M.</i>	<i>Dates</i>	<i>Begin A.M.</i>	<i>End P.M.</i>
June 29—July 5	5:08	9:02	Jan. 4—10	6:53	5:20
July 6—12	5:12	9:00	Jan. 11—17	6:51	5:27
July 13—19	5:18	8:56	Jan. 18—24	6:49	5:35
July 20—26	5:24	8:50	Jan. 25—31	6:44	5:43
July 27—Aug. 2	5:30	8:43	Feb. 1—7	6:38	5:51
Aug. 3—9	5:38	8:34	Feb. 8—14	6:31	5:59
Aug. 10—16	5:44	8:24	Feb. 15—21	6:22	6:07
Aug. 17—23	5:51	8:14	Feb. 22—28	6:13	6:16
Aug. 24—30	5:57	8:04	Mar. 1—7	6:03	6:23
Aug 31—Sept. 6	6:04	7:52	Mar. 8—14 *Begins	6:52	7:31
Sept. 7—13	6:11	7:41	Mar. 15—21	6:41	7:38
Sept. 14—20	6:17	7:29	Mar. 22—28	6:30	7:45
Sept. 21—27	6:24	7:18	Mar. 29—Apr. 4	6:18	7:53
Sept. 28—Oct. 4	6:31	7:07	Apr. 5—11	6:07	8:00
Oct. 5—11	6:38	6:56	Apr. 12—18	5:56	8:07
Oct. 12—18	6:45	6:45	Apr. 19—25	5:46	8:14
Oct. 19—25	6:53	6:36	Apr. 26—May 2	5:36	8:21
Oct. 26—Nov. 1	7:01	6:27	May 3—9	5:27	8:28
Nov. 2—8 *Ends	6:09	5:20	May 10—16	5:20	8:35
Nov. 9—15	6:17	5:14	May 17—23	5:13	8:42
Nov. 16—22	6:25	5:09	May 24—30	5:08	8:48
Nov. 23—29	6:32	5:06	May 31—June 6	5:04	8:53
Nov. 30—Dec. 6	6:39	5:05	June 7—13	5:02	8:58
Dec. 7—13	6:44	5:05	June 14—20	5:01	9:01
Dec. 14—20	6:49	5:06	June 21—27	5:02	9:03
Dec. 21—27	6:52	5:09	June 28—July 4	5:05	9:02
Dec. 28—Jan. 3	6:53	5:14	*Daylight Saving Time		

**MIGRATORY GAME BIRD HUNTING HOURS TABLE**

<i>Dates</i>	<i>Begin A.M.</i>	<i>End P.M.</i>	<i>Dates</i>	<i>Begin A.M.</i>	<i>End P.M.</i>
Aug. 31—Sept. 6	6:04	7:22	Dec. 28—Jan. 3	6:53	4:44
Sept. 7—13	6:11	7:11	Jan. 4—10	6:53	4:50
Sept. 14—20	6:17	6:59	Jan. 11—17	6:51	4:57
Sept. 21—27	6:24	6:48	Jan. 18—24	6:49	5:05

MIGRATORY GAME BIRD HUNTING HOURS TABLE					
<i>Dates</i>	<i>Begin A.M.</i>	<i>End P.M.</i>	<i>Dates</i>	<i>Begin A.M.</i>	<i>End P.M.</i>
Sept. 28—Oct. 4	6:31	6:37	Jan. 25—31	6:44	5:13
Oct. 5—11	6:38	6:26	Feb. 1—7	6:38	5:21
Oct. 12—18	6:45	6:15	Feb. 8—14	6:31	5:29
Oct. 19—25	6:53	6:06	Feb. 15—21	6:22	5:37
Oct. 26—Nov. 1	7:01	5:57	Feb. 22—28	6:13	5:46
Nov. 2—8 *Ends	6:09	4:50	Mar. 1—7	6:03	5:53
Nov. 9—15	6:17	4:44	Mar. 8—14 *Begins	6:52	7:01
Nov. 16—22	6:25	4:39	Mar. 15—21	6:41	7:08
Nov. 23—29	6:32	4:36	Mar. 22—28	6:30	7:15
Nov. 30—Dec. 6	6:39	4:35	Mar. 29—Apr. 4	6:18	7:23
Dec. 7—13	6:44	4:35	Apr. 5—11	6:07	7:30
Dec. 14—20	6:49	4:36	Apr. 12—18	5:56	7:37
Dec. 21—27	6:52	4:39	*Daylight Saving Time		

[Pa.B. Doc. No. 14-518. Filed for public inspection March 14, 2014, 9:00 a.m.]

### [ 58 PA. CODE CHS. 141 AND 147 ] Hunting and Trapping; Special Permits

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend § 141.1 (relating to special regulations areas) and add §§ 147.681—147.687 (relating to deer attractant permit) to create and implement a deer attractant permit to authorize limited baiting activities on private property in the southeast special regulations area.

The proposed rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797.

#### 1. Purpose and Authority

On March 31, 2010, the Commission's 3-year evaluation of the effectiveness of a broad scale and widely accessible authorization permitting the baiting of white-tailed deer across the southeast special regulations areas expired. The Commission's final review of the baiting authorization generally concluded that broad scale and widely accessible baiting did not establish viable increases in harvest rates to justify an extension of the experimental program. On February 1, 2011, the Commission amended §§ 147.552 and 147.556 (relating to application; and lawful devices and methods) to create a focused, limited authorization permitting the baiting of white-tailed deer in wildlife management units (WMU) 5C and 5D on approved properties enrolled in the "Red Tag" program. See 41 Pa.B. 1767 (April 2, 2011). The Commission is proposing to amend § 141.1 and add §§ 147.681—147.687 to create and implement a deer attractant permit to authorize limited baiting activities on private property in the southeast special regulations area.

Section 2102(a) of the code (relating to regulations) provides that "The commission shall promulgate such regulations as it deems necessary and appropriate con-

cerning game or wildlife and hunting or furtaking in this Commonwealth, including regulations relating to the protection, preservation and management of game or wildlife and game or wildlife habitat, permitting or prohibiting hunting or furtaking, the ways, manner, methods and means of hunting or furtaking, and the health and safety of persons who hunt or take wildlife or may be in the vicinity of persons who hunt or take game or wildlife in this Commonwealth." Sections 147.681—147.687 and the amendments to § 141.1 are proposed under this authority.

#### 2. Regulatory Requirements

The proposed rulemaking will amend § 141.1 and add §§ 147.681—147.687 to create and implement a deer attractant permit to authorize limited baiting activities on private property in the southeast special regulations area.

#### 3. Persons Affected

Persons wishing to hunt or take game wildlife in the southeast special regulations area may be affected by the proposed rulemaking.

#### 4. Cost and Paperwork Requirements

The proposed rulemaking may result in some additional cost and paperwork associated with the creation and implementation of this new permit in the Commission's existing permitting system. However, the Commission has determined that if there is additional expense associated with this effort, it will not be substantial and would be absorbed by the current budget.

#### 5. Effective Date

The proposed rulemaking will be effective upon final-form publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

#### 6. Contact Person

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** 48-365. No fiscal impact; (8) recommends adoption.

Annex A

TITLE 58. RECREATION

PART III. GAME COMMISSION

CHAPTER 141. HUNTING AND TRAPPING

Subchapter A. GENERAL

§ 141.1. Special regulations areas.

\* \* \* \* \*

(c) *Prohibitions.*

\* \* \* \* \*

(2) It is unlawful to use buckshot in Allegheny or Philadelphia Counties without specific authorization of the Director.

**(3) It is unlawful to, except for normal or accepted farming, habitat management practices, oil and gas drilling, mining, forest management activities, or other legitimate commercial or industrial practices, intentionally lay or place food, fruit, hay, grain, chemical, salt or other minerals anywhere in the southeast special regulations area for the purpose of feeding white-tailed deer, or to intentionally lay or place food, fruit, hay, grain, chemical, salt or other minerals that may cause white-tailed deer to congregate or habituate an area. If otherwise lawful feeding is attracting white-tailed deer, the Commission may provide written notice prohibiting this activity.**

(d) *Permitted acts.* It is lawful to:

\* \* \* \* \*

(6) Hunt or take deer during any deer season through the use of or by taking advantage of bait on private property currently operating under a valid deer control permit where approval for limited baiting activities has previously been obtained under § 147.552 (relating to application). This limited authorization is valid only to the extent that persons comply with the standards and conditions in § 147.556 (relating to lawful devices and methods).

**(7) Hunt or take deer in the southeast special regulations area during regular open hunting seasons for white-tailed deer through the use of or by taking advantage of bait on private property only under a deer attractant permit issued under Chapter 147, Subchapter R (relating to deer control).**

CHAPTER 147. SPECIAL PERMITS

Subchapter R. DEER CONTROL

DEER ATTRACTANT PERMIT

*(Editor's Note: Sections 147.681—147.687 are new and printed in regular type to enhance readability.)*

§ 147.681. Purpose.

The purpose of §§ 147.682—147.687 is to authorize eligible persons to hunt through the use of or otherwise take advantage of approved bait to enhance the harvest rate of white-tailed deer on private property within the southeast special regulations area where traditional hunting and deer control methods have proven ineffective in controlling local deer populations.

§ 147.682. Permit eligibility and use.

(a) *Application.* Deer attractant permits may be issued to landowners or their agents who have suffered material damage to their real property in the southeast special regulations area by white-tailed deer. Permits will be made available through a system established by the Director.

(b) *Hunting.* Deer attractant permits may be utilized by landowners or persons they permit to hunt on their property, or both, who:

(1) Possess a valid hunting license or qualify for applicable license and fee exemptions under section 2706 of the act (relating to resident license and fee exemptions) for the geographical area including the proposed bait site.

(2) Have no prior record of violations of the act or this title, or related license revocations within the 5 years preceding the date of application.

§ 147.683. Operation.

A deer attractant permit issued under this subchapter authorizes landowners or persons they permit to hunt on their property, or both, to hunt through the use of or otherwise take advantage of approved bait for the purpose of enhancing the harvest rate of white-tailed deer. This authorization is subject to the following conditions:

(1) This authorization only applies during regular open hunting seasons for white-tailed deer in the affected portion of each wildlife management unit located within the southeast special regulations area.

(2) A proposed bait site may not be located less than 250 yards from any previously established bait site authorized under this subchapter.

(3) Approved bait may be distributed at each bait site by approved feeders from 2 weeks prior to the opening of the first white-tailed deer season through the close of the last white-tailed deer season within the applicable wildlife management unit.

(4) Approved feeders are limited to sealed, waterproof, automatic, mechanical feeders that are set to distribute bait up to a maximum of three times per day during legal hunting hours only. The feeder must be visibly tagged or labeled with the landowner's permit number or the full name and address of the landowner.

(5) Bait accumulation at any one bait site may not exceed 5 gallons total volume at any given time.

(6) Approved bait is limited to shelled corn and protein pellet supplements.

(7) A person engaging in privileges authorized by a deer attractant permit shall possess a copy of the permit on their person at all times while exercising the permit privileges and while maintaining the bait site and shall produce the permit upon demand of an officer whose duty it is to enforce this title.

(8) It is the sole responsibility of the landowner or his agent and persons they permit to hunt on their property to ensure that the area bait site is in compliance with this section prior to hunting in that area.

(9) The landowner and persons they permit to hunt on their property may not, under any circumstances, hunt, take, kill or harvest any game or wildlife other than white-tailed deer at the bait site or coming to and from the bait site. Persons not authorized by the landowner to

hunt on their property may not, under any circumstances, hunt, take, kill or harvest any game or wildlife at the bait site or coming to and from the bait site.

**§ 147.684. Records and reports.**

(a) A report of deer harvested at or near a bait station shall be submitted by the hunter in accordance with the requirements of section 2323 of the act (relating to tagging and reporting big game kills).

(b) An annual report of deer harvested under the authority of the permit shall be submitted by the landowner or his agent in the manner specified by the Commission within 30 days of the close of the last open season within the applicable wildlife management unit.

(c) Failure to submit a timely and complete annual report required under this section will automatically render the permittee ineligible to reapply for the permit for the subsequent permit year.

**§ 147.685. Suspension of baiting sites.**

(a) The Commission may suspend the operation of any bait site if one or more of the following is determined: (i) The baiting activity is causing conflict with other lawful hunting. (2) The baiting activity is causing public safety hazards. (3) The operation of the baiting site is not in compliance with the requirements of §§ 147.682—147.684 (relating to permit eligibility and use; operation; records and reports). (4) The operation if the baiting site is detrimental to the health and welfare of any wildlife, including white-tailed deer.

(b) The Commission may suspend the operation of bait sites authorized under this subchapter upon the detection of Chronic Wasting Disease within the southeast special regulations area. This suspension may remain indefinitely until the Commission determines that resumption of baiting activities will not create an unreasonable future risk of spreading of the disease on the landscape.

**§ 147.686. Violations.**

Violations of this subchapter will be prosecuted under section 2308 of the act (relating to unlawful devices and methods). Furthermore, the Director may deny, revoke or suspend a permit for violation requirements, standards or limitations of this subchapter upon written notice to the permittee.

**§ 147.687. Sunset clause.**

Sections 147.681—147.686 and this section become effective July 1, 2014, and expire and are rendered void on June 30, 2017, unless the Commission further authorizes their legal effectiveness prior to this termination date.

[Pa.B. Doc. No. 14-519. Filed for public inspection March 14, 2014, 9:00 a.m.]

**[ 58 PA. CODE CHS. 131 AND 141 ]**

**Preliminary Provisions; Hunting and Trapping**

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend

§§ 131.2, 141.43—141.45 and 141.47 to lengthen the broadhead length limitation from 3 inches to 3.25 inches.

The proposed rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797

*1. Purpose and Authority*

Current regulations prohibit a person from hunting big game using an arrow or bolt equipped with a broadhead exceeding 3 inches in length. The Commission recently received a request to lengthen the broadhead length limitation to 3.25 inches to authorize certain handmade and commercially sold products. The Commission reviewed applicable safety and wildlife management concerns and determined that this nominal expansion of authorized broadheads will not have a negative impact on the wildlife resources of this Commonwealth. The Commission is proposing to amend §§ 131.2, 141.43—141.45 and 141.47 to lengthen the broadhead length limitation from 3 inches to 3.25 inches.

Section 2102(d) of the code (relating to regulations) authorizes the Commission to “promulgate regulations stipulating the size and type of traps, the type of firearms and ammunition and other devices which may be used, the manner in which and the location where the devices may be used, the species the devices may be used for and the season when the devices may be used.” The amendments to §§ 131.2, 141.43—141.45 and 141.47 are proposed under this authority.

*2. Regulatory Requirements*

The proposed rulemaking will amend §§ 131.2, 141.43—141.45 and 141.47 to lengthen the broadhead length limitation from 3 inches to 3.25 inches.

*3. Persons Affected*

Persons wishing to hunt or take game using a bow and arrow or crossbow and bolt may be affected by the proposed rulemaking.

*4. Cost and Paperwork Requirements*

The proposed rulemaking should not result in additional cost or paperwork.

*5. Effective Date*

The proposed rulemaking will be effective upon final-form publication in the *Pennsylvania Bulletin* and will remain in effect until changed by the Commission.

*6. Contact Person*

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** 48-361. No fiscal impact; (8) recommends adoption.

Annex A
TITLE 58. RECREATION
PART III. GAME COMMISSION
CHAPTER 131. PRELIMINARY PROVISIONS

§ 131.2. Definitions.

In addition to the definitions contained in section 102 of the act (relating to definitions), the following words and terms, when used in this part or in the act, have the following meanings, unless the context clearly indicates otherwise:

\* \* \* \* \*

Broadhead—[ Shall have an outside diameter or width of at least 7/8 inch with no less than two cutting edges. Cutting edges shall be in the same plane throughout the length of the cutting surface. Broadheads may not exceed 3 inches in length measured from the tip of the broadhead to the point that fits against the arrow shaft. ] A fixed or mechanical tip affixed to the fore end of an arrow or bolt having sharpened cutting edges consisting of metal or naturally occurring stone.

\* \* \* \* \*

CHAPTER 141. HUNTING AND TRAPPING
Subchapter C. BIG GAME

§ 141.43. Deer.

(a) Archery deer season.

(1) Permitted devices. It is lawful to hunt deer during the archery deer season with any of the following devices:

(i) A bow and arrow. A bow must have a peak draw weight of at least 35 pounds. An arrow must be equipped with a broadhead that has an outside diameter or width of at least 7/8 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

(ii) A crossbow and bolt. A crossbow must have a peak draw weight of at least 125 pounds. A bolt must be equipped with a broadhead that has an outside diameter or width of at least 7/8 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

\* \* \* \* \*

§ 141.44. Bear.

(a) Archery bear season.

(1) Permitted devices. It is lawful to hunt bear during the archery bear season with any of the following devices:

(i) A bow and arrow. A bow must have a peak draw weight of at least 35 pounds. An arrow must be equipped with a broadhead that has an outside diameter or width of at least 7/8 inch [ with at least two cutting edges

located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

(ii) A crossbow and bolt. A crossbow must have a peak draw weight of at least 125 pounds. A bolt must be equipped with a broadhead that has an outside diameter or width of at least 7/8 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

\* \* \* \* \*

§ 141.45. Turkey.

(a) Fall turkey season.

(1) Permitted devices. It is lawful to hunt turkey during the fall turkey season with any of the following devices:

\* \* \* \* \*

(iii) A bow and arrow. A bow must have a peak draw weight of at least 35 pounds. An arrow must be equipped with a broadhead that has an outside diameter or width of at least 7/8 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

(iv) A crossbow and bolt. A crossbow must have a peak draw weight of at least 125 pounds. A bolt must be equipped with a broadhead that has an outside diameter or width of at least 7/8 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

\* \* \* \* \*

§ 141.47. Elk.

(a) Permitted devices. It is lawful to hunt elk during the elk season with any of the following devices:

\* \* \* \* \*

(4) A bow and arrow. A bow must have a peak draw weight of at least 45 pounds. An arrow must be equipped with a broadhead that has an outside diameter or width of at least 1 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

(5) A crossbow and bolt. A crossbow must have a peak draw weight of at least 125 pounds. A bolt must be equipped with a broadhead that has an outside diameter or width of at least 1 inch [ with at least two cutting edges located on the same plane throughout the length of the cutting surface, ] and may not exceed [ 3 ] 3.25 inches in length.

\* \* \* \* \*

[Pa.B. Doc. No. 14-520. Filed for public inspection March 14, 2014, 9:00 a.m.]

[ 58 PA. CODE CH. 139 ]  
Seasons and Bag Limits

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend § 139.4 (relating to seasons and bag limits for the license year) to provide updated seasons and bag limits for the 2014-2015 hunting/trapping license year.

The proposed rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797.

1. *Purpose and Authority*

To effectively manage the wildlife resources and provide hunting and trapping opportunities in this Commonwealth during the upcoming license year, the Commission is proposing to amend § 139.4 to provide updated seasons and bag limits for the 2014-2015 license year. The 2014-2015 seasons and bag limits have been amended to reflect current available scientific data, population and harvest records, field surveys and professional staff observations, as well as recommendations received from staff, organized sporting groups, members of the agricultural community and others interested in the management of the wildlife resources of this Commonwealth.

Several changes in hunting seasons and bag limits, when compared with the 2013-2014 regulations, are being proposed. First, it is proposed that small game field possession limits be increased to three times the daily bag. Migratory game bird possession limits were increased to three times the daily bag limit for the 2013-2014 hunting season. This proposed change will make small game possession limits consistent with those for migratory game birds and provide increased hunting opportunity, particularly for nonresident hunters.

Staff have proposed to reduce the 2014 fall turkey seasons in wildlife management units (WMU) 3A, 3B and 3C from 3 weeks to 2 weeks, while retaining the 3-day Thanksgiving hunt segment. Population indices have been showing decreasing trends in each of these WMUs over the last 4 to 5 years. Low spring harvest densities, decreases in poul recruitment and summer sighting survey data also reflect declines warranting this action, which is consistent with guidelines in the Wild Turkey Management Plan. In all cases, a 1-week reduction in the first fall segment of the season is advised over elimination of the 3-day Thanksgiving season segment because it is likely to achieve a greater reduction in harvest.

Also in regard to fall turkey seasons, it is proposed that the WMU 5A season be maintained at 3 days but shifted from midweek to a Thursday-Saturday framework. The turkey population in this WMU remains low, but is higher than prior to the season closure and flocks are well distributed. Including a Saturday in the 3-day season is expected to increase hunter opportunity and satisfaction and was recommended by the WMU 5A Wild Turkey Task Force.

Staff has suggested adding WMUs 2C and 4B to the Wednesday through Saturday extended bear season that runs concurrent with deer season. WMU 2C has had a slightly increasing bear population trend, highway mortalities of bears also have been slowly increasing and there has been a noticeable increase in human-bear conflicts. WMU 4B also has had an increasing trend in human-bear conflicts with several incidents in recent years involving home entry or injury to pets and people. Vehicle mortalities of bears also has generally increased. Furthermore, harvest, which typically correlates well with annual population monitoring, has steadily increased by approximately 20% annually since 2003.

Concerning furbearers, staff has proposed adding WMUs 1B and 3C to the fisher trapping season based on increased numbers of incidental captures and sightings during the past 3 years. Finally, it is proposed that all references to regulated harvest of skunks should specify the "striped skunk." Spotted skunks, a species of conservation concern, have a very limited distribution and low abundance in southwestern counties in this Commonwealth and should be excluded from any regulated harvest.

Section 322(c)(1) of the code (relating to powers and duties of commission) specifically empowers the Commission to "fix seasons, daily shooting or taking hours, and any modification thereof, and daily, season and possession limits for any species of game or wildlife." Section 2102(b)(1) of the code (relating to regulations) authorizes the Commission to "promulgate regulations relating to seasons and bag limits for hunting or furtaking. . ." The amendments to § 139.4 are proposed under this authority.

2. *Regulatory Requirements*

The proposed rulemaking will amend § 139.4 by establishing when and where it is lawful to hunt and trap various game species and also place limits on the numbers that can be legally taken during the 2014-2015 hunting/trapping license year.

3. *Persons Affected*

Persons wishing to hunt or trap game or wildlife within this Commonwealth during the 2014-2015 hunting/trapping license year will be affected by the proposed rulemaking.

4. *Cost and Paperwork Requirements*

The proposed rulemaking should not result in additional cost or paperwork.

5. *Effective Date*

The effective dates of the proposed rulemaking are July 1, 2014, to June 30, 2015.

6. *Contact Person*

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH,  
*Executive Director*

**Fiscal Note:** 48-359. No fiscal impact; (8) recommends adoption.



Annex A

TITLE 58. RECREATION

PART III. GAME COMMISSION

CHAPTER 139. SEASONS AND BAG LIMITS

(Editor's Note: As part of this proposed rulemaking, the Commission is replacing the table which appears in 58 Pa. Code pages 139-3—139-14, serial pages (366851)—(366862) with the following table.)

§ 139.4. Seasons and bag limits for the license year.

(SEASONS AND BAG LIMITS TABLE)  
 2014-2015 OPEN HUNTING AND FURTAKING SEASONS, DAILY LIMIT,  
 FIELD POSSESSION LIMIT AND SEASON LIMIT  
 OPEN SEASON INCLUDES FIRST AND LAST DATES LISTED

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Field Possession Limit After Second Day</i>
Squirrels—(Combined species)— Eligible Junior Hunters only, with or without the required license, when properly accompanied as required by law	Oct. 11	Oct. 17	6	18
Squirrels (Combined species)	Oct. 18	Nov. 29	6	18
	Dec. 15	Dec. 24		
	Dec. 26	Feb. 21, 2015		
Ruffed Grouse	Oct. 18	Nov. 29	2	6
	Dec. 15	Dec. 24		
	Dec. 26	Jan. 24, 2015		
Rabbits, Cottontail— Eligible Junior Hunters only, with or without the required license, when properly accompanied as required by law	Oct. 11	Oct. 18	4	12
Rabbits, Cottontail	Oct. 25	Nov. 29	4	12
	Dec. 15	Dec. 24		
	Dec. 26	Feb. 21, 2015		
Ring-necked Pheasant—There is no open season for the taking of pheasants in any area designated as a wild pheasant recovery area within any wildlife management unit. The Director is authorized to open the pheasant season via executive order in a designated wild pheasant recovery area if the agency is unsuccessful in its efforts to acquire and release wild pheasants.				
Ring-necked Pheasant—Male only in WMUs 2A, 2C, 4C, 4E, 5A and 5B Eligible Junior Hunters only, with or without the required license, when properly accompanied as required by law	Oct. 11	Oct. 18	2	6
Ring-necked Pheasant—Male or female combined in WMUs 1A, 1B, 2B, 2D, 2E, 2F, 2G, 2H, 3A, 3B, 3C, 3D, 4A, 4B, 4D, 5C and 5D Eligible Junior Hunters only, with or without the required license, when properly accompanied as required by law	Oct. 11	Oct. 18	2	6

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Field Possession Limit After Second Day</i>
Ring-necked Pheasant—Male only in WMUs 2A, 2C, 4C, 4E, 5A and 5B	Oct. 25	Nov. 29	2	6
	and			
	Dec. 15	Dec. 24		
	and			
	Dec. 26	Feb. 21, 2015		
Ring-necked Pheasant—Male or female combined in WMUs 1A, 1B, 2B, 2D, 2E, 2F, 2G, 2H, 3A, 3B, 3C, 3D, 4A, 4B, 4D, 5C and 5D	Oct. 25	Nov. 29	2	6
	and			
	Dec. 15	Dec. 24		
	and			
	Dec. 26	Feb. 21, 2015		
Bobwhite Quail—The hunting and taking of bobwhite quail is permitted in all WMUs except in WMUs 4A, 4B, 5A, 5B, 5C and 5D where the season is closed.	Oct. 25	Nov. 29	4	12
Hares (Snowshoe Rabbits) or Varying Hares in WMUs 3B, 3C and 3D	Dec. 26	Dec. 29	1	3
Hares (Snowshoe Rabbits) or Varying Hares—in WMYs 1A, 1B, 2A, 2B, 2C, 2D, 2E, 2F, 2G, 2H, 3A, 4A, 4B, 4C, 4D, 4E, 5A, 5B, 5C and 5D	Dec. 26	Jan. 1, 2015	1	3
Woodchucks (Groundhog)	No closed season except during the regular firearms deer seasons. Hunting on Sundays is prohibited.		Unlimited	
Porcupines Season closed during the overlap with the regular firearms deer seasons.	Sep. 1	Mar. 31, 2015	3	10
<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Season Limit</i>
Wild Turkey—Male or Female			1	1
WMU 2B (Shotgun, Bow and Arrow only)	Nov. 1	Nov. 21		
	and			
	Nov. 27	Nov. 29		
WMU 1B	Nov. 1	Nov. 8		
	and			
	Nov. 27	Nov. 29		
WMUs 1A, 2A, 2D, 2F, 2G, 2H, 3A, 3B and 3C	Nov. 1	Nov. 15		
	and			
	Nov. 27	Nov. 29		
WMUs 2C, 2E, 3D, 4A, 4B, 4C, 4D and 4E	Nov. 1	Nov. 21		
	and			
	Nov. 27	Nov. 29		
WMU 5A	Nov. 6	Nov. 8		
WMUs 5B, 5C and 5D	Closed to fall turkey hunting			
Wild Turkey (Spring Gobbler) Statewide <sup>1</sup> Bearded Bird only	May 2, 2015	May 16, 2015	1	2
	and		May be hunted 1/2 hour before sunrise to 12 noon	
	May 18, 2015	May 30, 2015	1	2
			May be hunted 1/2 hour before sunrise to 1/2 hour after sunset	
Wild Turkey (Spring Gobbler) Statewide Youth Hunt <sup>1</sup> Bearded Bird only Eligible junior hunters only with the required license and when properly accompanied	April 25, 2014		1	1

MIGRATORY GAME BIRDS

Except as further restricted by this chapter, the seasons, bag limits, hunting hours and hunting regulations for migratory game birds shall conform to regulations adopted by the United States Secretary of the Interior under authority of the Migratory Bird Treaty Act (16 U.S.C.A. §§ 703—712) as published in the *Federal Register* on or about August 27 and September 28 of each year.

Exceptions:

(a) Hunting hours in § 141.4 (relating to hunting hours).

(b) Nontoxic shot as approved by the Director of the United States Fish and Wildlife Service is required for use Statewide in hunting and taking of migratory waterfowl.

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Field Possession Limit After First Day</i>
Crows (Hunting permitted on Friday, Saturday and Sunday only)	July 4	April 5, 2015	Unlimited	
Starlings and English Sparrows	No closed season except during the regular firearms deer seasons.		Unlimited	

FALCONRY

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Field Possession Limit After Second Day</i>
Squirrels—(Combined species)	Sept. 1	Mar. 31, 2015	6	18
Quail	Sept. 1	Mar. 31, 2015	4	12
Ruffed Grouse	Sept. 1	Mar. 31, 2015	2	6
Cottontail Rabbits	Sept. 1	Mar. 31, 2015	4	12
Snowshoe or Varying Hare	Sept. 1	Mar. 31, 2015	1	3
Ring-necked Pheasant—Male and Female (Combined)	Sept. 1	Mar. 31, 2015	2	6

Migratory Game Birds—Seasons and bag limits shall be in accordance with Federal regulations.

WHITE-TAILED DEER

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Season Limit</i>
Deer, Archery (Antlered and Antlerless) <sup>2</sup> (Statewide)	Oct. 4	Nov. 15	One antlered and an antlerless deer with each required antlerless license.
	Dec. 26	Jan. 10, 2015	
Deer, Archery (Antlerless) WMUs 2B, 5C and 5D	Sept. 20	Oct. 3	An antlerless deer with each required antlerless license.
	Nov. 17	Nov. 29	
Deer, Archery (Antlered and Antlerless) <sup>2</sup> WMUs 2B, 5C and 5D	Jan. 12, 2015	Jan. 24, 2015	One antlered and an antlerless deer with each required antlerless license.
Deer, Regular firearms (Antlered and Antlerless) <sup>2</sup> WMUs 1A, 1B, 2B, 3A, 3D, 4A, 4C, 5A, 5B, 5C and 5D	Dec. 1	Dec. 13	One antlered, and an antlerless deer with each required antlerless license.
	Dec. 1	Dec. 15	
Deer, Regular firearms (Antlered only) <sup>2</sup> WMUs 2A, 2C, 2D, 2E, 2F, 2G, 2H, 3B, 3C, 4B, 4D and 4E	Dec. 1	Dec. 15	One antlered deer.
Deer, Regular firearms (Antlered and Antlerless) <sup>2</sup> WMUs 2A, 2C, 2D, 2E, 2F, 2G, 2H, 3B, 3C, 4B, 4D and 4E	Dec. 6	Dec. 13	One antlered, and an antlerless deer with each required antlerless license.

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Season Limit</i>
Deer, Special firearms (Antlerless only) (Statewide) Only Junior and Senior License Holders, <sup>3</sup> Commission Disabled Person Permit Holders (to use a vehicle as a blind), and Residents serving on active duty in the U.S. Armed Forces, or in the U.S. Coast Guard, with required antlerless license	Oct. 23	Oct. 25	An antlerless deer with each required antlerless license.
Deer, Muzzleloading (Antlerless only) (Statewide)	Oct. 18	Oct. 25	An antlerless deer with each required antlerless license.
Deer, Flintlock (Antlered or Antlerless) <sup>2</sup> (Statewide)	Dec. 26	Jan. 10, 2015	One antlered, or one antlerless—plus an additional antlerless deer with each required antlerless license.
Deer, Flintlock (Antlered or Antlerless) <sup>2</sup> WMUs 2B, 5C and 5D	Dec. 26	Jan. 24, 2015	An antlerless deer with each required antlerless license.
Deer, Extended Regular firearms (Antlerless) Counties of Allegheny, Bucks, Chester, Delaware, Montgomery and Philadelphia	Dec. 26	Jan. 24, 2015	An antlerless deer with each required antlerless license.
Deer, Antlerless (Letterkenny Army Depot, Franklin County and New Cumberland Army Depot, York County and Fort Detrick, Raven Rock Site, Adams County)	Hunting is permitted on days established by the United States Department of the Army.		An antlerless deer with each required antlerless license.

**BLACK BEAR**

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Season Limit</i>
Bear, Archery only <sup>4</sup> (Statewide)	Nov. 17	Nov. 21	1	1
Bear, Archery only <sup>4</sup> WMUs 2B, 5C and 5D	Sept. 20	Nov. 15	1	1
Bear, Archery only <sup>4</sup> WMU 5B	Oct. 4	Nov. 15	1	1
Bear, Muzzleloader <sup>4</sup> WMUs 2B, 5B, 5C and 5D	Oct. 18	Oct. 25	1	1
Bear, Special Firearms <sup>4</sup> WMUs 2B, 5B, 5C and 5D Junior and Senior License holders, disabled and PA residents on active duty in armed services	Oct. 23	Oct. 25	1	1
Bear, Regular Firearms <sup>4</sup> (Statewide)	Nov. 22	Nov. 26	1	1
Bear, Extended Firearms <sup>4</sup> WMUs 2C, 4B, 4C, 4D and 4E	Dec. 3	Dec. 6	1	1
Bear, Extended Firearms <sup>4</sup> WMUs 2B, 5B, 5C and 5D	Dec. 1	Dec. 13	1	1
Bear, Extended Firearms <sup>4</sup> WMUs 3A, 3B, 3C and 3D	Dec. 1	Dec. 6	1	1

ELK

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Season Limit</i>
Elk, Regular <sup>5</sup> (Antlered and Antlerless)	Nov. 3	Nov. 8	1	One elk with required license
Elk, Extended <sup>5</sup> (Antlered and Antlerless)	Nov. 10	Nov. 15	1	One elk with required license

FUR TAKING—TRAPPING

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Season Limit</i>
Minks and Muskrats (Statewide)	Nov. 22	Jan. 11, 2015	Unlimited	
Beaver (Statewide)	Dec. 26	Mar. 31, 2015		
WMUs 1A, 1B and 3C (Combined)			20	40
WMUs 2A, 2B, 2C, 2D, 2E, 2F, 3A, 3B, 3D, 5C and 5D (Combined)			20	20
WMUs 2G, 2H, 4A, 4B, 4C, 4D, 4E, 5A and 5B (Combined)			5	5
Coyotes, Foxes, Opossums, Raccoons, Striped Skunks, Weasels—(Statewide)	Oct. 26	Feb. 22, 2015	Unlimited	
Coyotes & Foxes—(Statewide) (Cable restraint devices may be used)	Dec. 26	Feb. 22, 2015	Unlimited	
Bobcat (with appropriate permit) WMUs 2A, 2C, 2E, 2F, 2G, 2H, 3A, 3B, 3C, 3D, 4A, 4C, 4D and 4E	Dec. 20	Jan. 15, 2015	1	1
Fisher (with appropriate permit) WMUs 1B, 2C, 2D, 2E, 2F, 2G, 2H, 3A, 3B, 3C, 3D, 4D and 4E	Dec. 20	Dec. 25	1	1

FUR TAKING—HUNTING

<i>Species</i>	<i>First Day</i>	<i>Last Day</i>	<i>Daily Limit</i>	<i>Season Limit</i>
Coyotes—(Statewide)			Unlimited	
Coyotes—(During any big game season)				
Opossums, Striped Skunks, Weasels (Statewide)				
Raccoons and Foxes—(Statewide)	Oct. 25	Feb. 21, 2015	Unlimited	
Bobcat (with appropriate permit) WMUs 2A, 2C, 2E, 2F, 2G, 2H, 3A, 3B, 3C, 3D, 4A, 4C, 4D and 4E	Jan. 20, 2015	Feb. 10, 2015	1	1

No open seasons on other wild birds or wild mammals.

<sup>1</sup> Only persons who possess a special wild turkey license as provided for in section 2709 of the act (relating to license costs and fees) may take a second spring gobbler during the hunting license year; all other persons, including mentored youth hunters, may take only one spring gobbler. A maximum of 2 gobblers per license year may be taken by any combination of licenses or exceptions for mentored youth.

<sup>2</sup> Only one antlered deer (buck) may be taken during the hunting license year.

<sup>3</sup> Includes persons who have reached or will reach their 65th birthday in the year of the application for the license and hold a valid adult license or qualify for license and fee exemptions under section 2706 of the act (relating to resident license and fee exemptions).

<sup>4</sup> Only one bear may be taken during the hunting license year.

<sup>5</sup> Only one elk may be taken during the hunting license year.

[ 58 PA. CODE CH. 147 ]

Special Permits; Mentored Hunting Program Permit

To effectively manage the wildlife resources of this Commonwealth, the Game Commission (Commission) proposed at its January 28, 2014, meeting to amend Chapter 147, Subchapter X (relating to Mentored Hunting Program Permit) to create and implement a Mentored Adult Hunting Program in this Commonwealth.

The proposed rulemaking will not have an adverse impact on the wildlife resources of this Commonwealth.

The authority for the proposed rulemaking is 34 Pa.C.S. (relating to Game and Wildlife Code) (code).

The proposed rulemaking was made public at the January 28, 2014, meeting of the Commission. Comments can be sent until April 4, 2014, to the Director, Information and Education, Game Commission, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797.

1. Purpose and Authority

Since the successful implementation of the Mentored Youth Hunting Program in fall 2006, the Commission has been striving to find a way to apply the successes of this mentor-based program to nonhunting adults in this Commonwealth. The Commission determined that a program could entice increased adult participation in this Commonwealth's great hunting heritage by streamlining their introduction to the sport of hunting. The act of May 15, 2013 (P.L. 26, No. 7) authorizes the Commission to implement a Mentored Hunting Program in this Commonwealth. The Commission is proposing to amend Chapter 147, Subchapter X to create and implement a Mentored Adult Hunting Program. The Mentored Adult Hunting Program will maintain the mentor-based structure of the Mentored Youth Hunting Program, but will have different species allowances, costs and safety features. Adult participants will now be able to apply for and receive a Mentored Adult Hunting Permit through the Pennsylvania Automated License System at any of the Commission's issuing agent locations across this Commonwealth prior to participating in the Mentored Adult Hunting Program. Permit application will require participants to supply the required identification information and pay a fee of \$19 for residents and \$100 for nonresidents, plus any applicable transactional and issuing agent fees.

Section 2901(b) of the code (relating to authority to issue permits) provides "the commission may, as deemed necessary to properly manage the game or wildlife resources, promulgate regulations for the issuance of any permit and promulgate regulations to control the activities which may be performed under authority of any permit issued." The amendments to Chapter 147, Subchapter X are proposed under this authority.

2. Regulatory Requirements

The proposed rulemaking will amend Chapter 147, Subchapter X to create and implement a deer attractant permit to create and implement a Mentored Adult Hunting Program.

3. Persons Affected

Persons of majority age wishing to hunt or take game or wildlife in this Commonwealth may be affected by the proposed rulemaking.

4. Cost and Paperwork Requirements

The proposed rulemaking may result in some additional cost and paperwork associated with the implementation

of these changes in Pennsylvania Automated License System. However, the Commission has determined that if there is additional expense associated with this effort, it will not be substantial and would be absorbed by the current budget.

5. Effective Date

The proposed rulemaking will be effective upon final-form publication in the Pennsylvania Bulletin and will remain in effect until changed by the Commission.

6. Contact Person

For further information regarding the proposed rulemaking, contact Richard R. Palmer, Director, Bureau of Wildlife Protection, 2001 Elmerton Avenue, Harrisburg, PA 17110-9797, (717) 783-6526.

R. MATTHEW HOUGH, Executive Director

Fiscal Note: 48-362. No fiscal impact; (8) recommends adoption.

Annex A

TITLE 58. RECREATION

PART III. GAME COMMISSION

CHAPTER 147. SPECIAL PERMITS

Subchapter X. MENTORED [ YOUTH ] HUNTING PROGRAM PERMIT

§ 147.801. Purpose and scope.

(a) The purpose of this subchapter is to define and implement the Mentored [ Youth ] Hunting Program within this Commonwealth and provide for the issuance of hunting permits to eligible [ youths ] individuals.

(b) The Mentored [ Youth ] Hunting Program is intended to provide mentors who are dedicated to promoting and sharing this Commonwealth's hunting heritage with [ interested youths ] others, the opportunity to provide these [ younger ] unlicensed [ youths ] individuals with one-on-one, hands-on experience and in-field training on the mechanical, ethical, safety, responsibility and enjoyment aspects of the hunting experience.

§ 147.802. Definitions.

The following words and terms, when used in this subchapter, have the following meanings, unless the context clearly indicates otherwise:

\* \* \* \* \*

Mentor—A licensed person, 21 years of age or older who is serving as a guide to a mentored youth or mentored adult while engaged in hunting or related activities.

Mentored adult—An unlicensed person, 18 years of age or older, who is accompanied by a mentor while engaged in hunting or related activities.

Mentored youth—An unlicensed person, under 12 years of age who is accompanied by a mentor while engaged in hunting or related activities.

\* \* \* \* \*

§ 147.803. Application.

(a) Form and content. Applications for mentored [ youth ] hunting permits issued under this subchapter shall be made through the Commission or any of its authorized license-issuing agents on the appropriate form designated by the Commission for this purpose. Each

application must include the name, address, telephone number, date of birth [ **and** ], Social Security number of the applicant **and any other information required by the Commission.**

(b) *Eligibility.*

(1) **Mentored youth hunting permits are available to youth applicants under 12 years of age. Mentored youth hunting permits are available to eligible youth applicants until they reach 12 years of age, after which a junior hunting license is required.**

(2) **Mentored adult hunting permits are available to adult applicants 18 years of age or older who have never held a prior hunting license within this Commonwealth or another state or nation. Mentored adult hunting permits are available to eligible adult applicants for a total of 3 consecutive, unbroken license years, after which an applicable adult hunting license is required.**

[ (b) ] (c) *Minors.* Applications may be submitted on behalf of an eligible mentored youth upon presentation of a written request executed by a parent or legally constituted guardian.

[ (c) ] (d) *Fee.*

(1) The fee for a mentored youth hunting permit will be \$1, plus any applicable transactional and issuing agent fees.

(2) **The fee for a mentored adult hunting permit will be:**

(i) **For residents, \$19, plus any applicable transactional and issuing agent fees.**

(ii) **For nonresidents, \$100, plus any applicable transactional and issuing agent fees.**

§ 147.804. *General.*

(a) *License required.* A mentor shall possess a valid Pennsylvania hunting license or qualify for license and fee exemptions under section 2706 of the act (relating to resident license and fee exemptions) prior to engaging in any mentored [ **youth** ] hunting activities.

(b) *Permit required.* A mentored youth **or mentored adult** shall possess a valid **applicable** mentored [ **youth** ] hunting permit prior to engaging in any mentored [ **youth** ] hunting activities.

(c) *Species limitation.*

(1) A mentored youth's hunting eligibility is restricted to the following species: squirrel, woodchuck, coyote, deer and wild turkey.

(2) **A mentored adult's hunting eligibility is restricted to the following species: squirrel, ruffed grouse, rabbit, pheasant, bobwhite quail, hares, porcupine, woodchuck, crow, coyote, antlerless deer and wild turkey.**

(d) *Seasons and bag limits.* A mentored youth's **and mentored adult's** hunting eligibility is further constrained by applicable hunting seasons, daily limits, field possession limits and season limits provided in § 139.4 (relating to seasons and bag limits for the license year).

(e) *Applicability of junior seasons and antler restrictions.* A mentored youth is eligible to hunt during any special youth hunting seasons that apply to any species specified in subsection (c) and are subject to the

same antler restrictions that apply to junior license holders in § 131.2 (relating to definitions).

(f) [ **A mentored youth** ] *Tagging requirements.* **Mentored youth and mentored adults** shall tag and report all big game harvested in the manner provided in section 2323 of the act (relating to tagging and reporting big game kills).

(g) *Transfer of an antlerless license.* Notwithstanding the prohibitions in section 2711(3) and (5) of the act (relating to unlawful acts concerning licenses), mentors are authorized to transfer [ **an** ] antlerless licenses issued to them to an eligible mentored youth **or mentored adult**. The antlerless license shall be valid and in the possession of the mentor at all times while hunting antlerless deer. The transfer of the antlerless license may not occur until after the mentored youth **or mentored adult** has harvested the antlerless deer, but before tagging the carcass. A mentored youth **or mentored adult** may receive by transfer no more than one antlerless deer license each license year. [ **A mentored youth is** ] **Mentored youth and mentored adults** are ineligible to make direct application for an antlerless license.

(h) *Transfer of a fall turkey tag.* Notwithstanding the prohibitions in section 2711(a)(3) and (5) of the act, mentors are authorized to transfer fall turkey tags issued to them to **an** eligible mentored youth **or mentored adult**. The fall turkey tag shall be valid and in the possession of the mentor at all times while hunting fall turkey. The transfer of the fall turkey tag may not occur until after the mentored youth **or mentored adult** has harvested the fall turkey, but before tagging the carcass. A mentored youth **or mentored adult** may not receive by transfer more than one fall turkey tag each license year.

(i) *Transfer of a Deer Management Assistance Program harvest permit.* Notwithstanding the prohibitions in § 147.676(2) and (3) (relating to unlawful acts), mentors are authorized to transfer Deer Management Assistance Program (DMAP) harvest permits issued to them to **an** eligible mentored youth **or mentored adult**. The DMAP harvest permit must be valid and in the possession of the mentor at all times while hunting [ **anterless** ] **antlerless** deer. The transfer of the DMAP harvest permit may not occur until after the mentored youth **or mentored adult** has harvested the [ **anterless** ] **antlerless** deer, but before tagging the carcass. A mentored youth **or mentored adult** may not receive by transfer more than one DMAP harvest permit each license year. [ **A mentored youth is** ] **Mentored youth and mentored adults** are ineligible to make direct application for a DMAP harvest permit.

§ 147.805. *Safety.*

While engaged in mentored [ **youth** ] hunting activities:

(1) A mentored youth shall be stationary, within arms reach and subject to the immediate control of the mentor at all times while in possession of any lawful hunting device. **This limitation may not be construed to apply to mentored adults. Mentored adults shall be accompanied by the mentor within eyesight and in close proximity so that verbal instruction and guidance can easily be understood without the aid of electronic communication devices or sound amplification devices.**

(2) A mentor may not accompany more than one **mentored youth** [ , **including junior hunters,** ] **or mentored adult** at any given time. **A mentor may not accompany a junior hunter in addition to accompanying a mentored youth or mentored adult.**

(3) A mentor and mentored youth may not collectively possess more than one lawful hunting device at any given time. **This limitation may not be construed to apply to mentors and mentored adults participating in the mentored adult hunting program.**

(4) A mentor and mentored youth **or mentored adult** shall [ **both** ] **each** comply with section 2524 of the act (relating to protective material required) and with any regulations promulgated by the Commission relating to protective material.

**§ 147.806. Liability.**

A mentor is responsible and accountable for all actions of the mentored youth **or mentored adult** occurring

while engaged in mentored [ **youth** ] hunting activities. A mentor who causes or allows a mentored youth **or mentored adult** to engage in an unlawful act shall be punishable as the principal offender as provided in section 924 of the act (relating to liability for actions of others).

**§ 147.807. Violations.**

It is unlawful for a mentor [ **or** ], mentored youth **or mentored adult** to fail to comply with any of the requirements, standards or limitations of this subchapter. A person violating this subchapter shall, upon conviction, be sentenced to pay the fine prescribed in the act. The Director may additionally deny, revoke or suspend any permit for any violation of this subchapter upon written notice to the permittee.

[Pa.B. Doc. No. 14-522. Filed for public inspection March 14, 2014, 9:00 a.m.]



# STATEMENTS OF POLICY

## Title 4—ADMINISTRATION

### PART II. EXECUTIVE BOARD

#### [ 4 PA. CODE CH. 9 ]

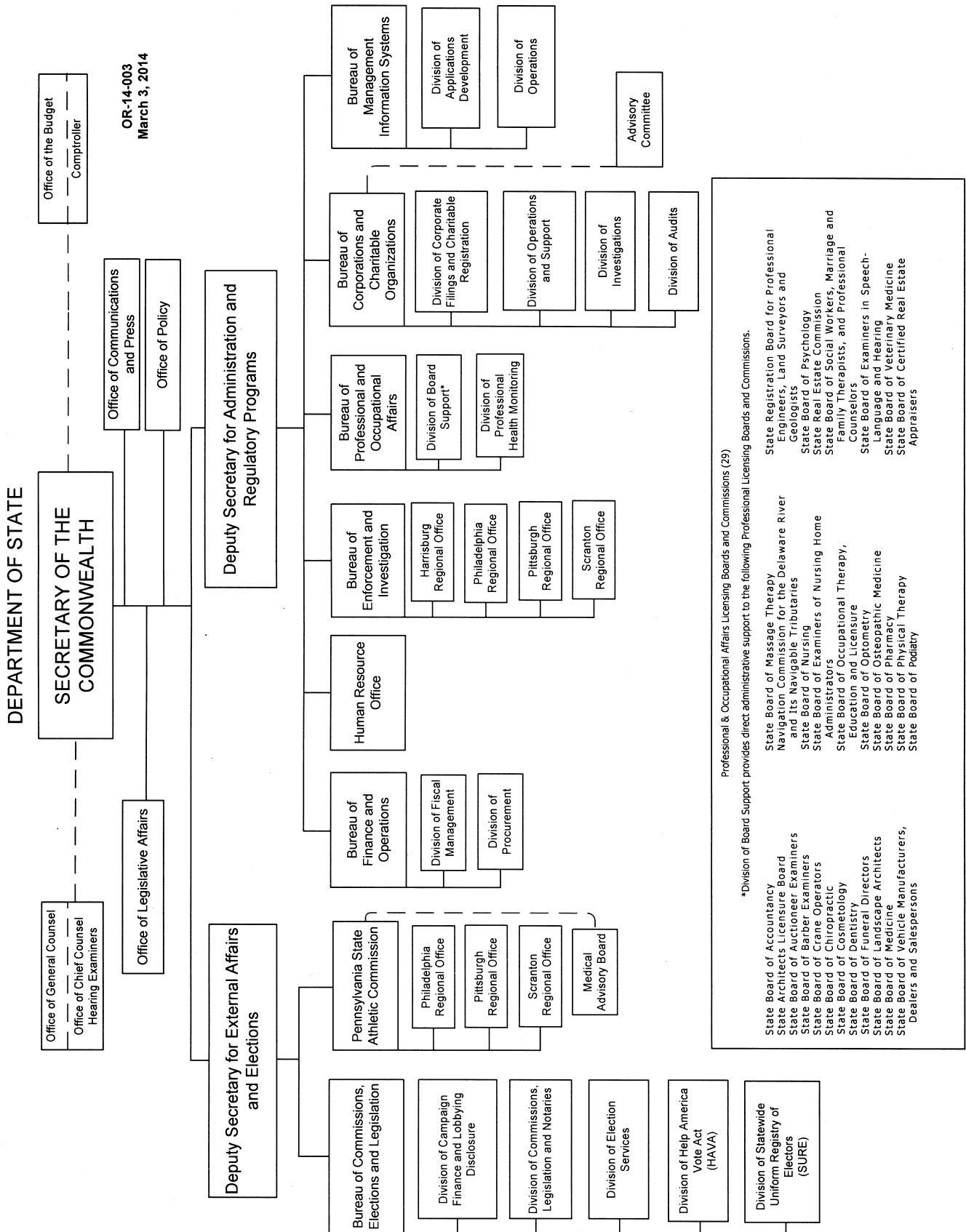
#### Reorganization of the Department of State

The Executive Board approved a reorganization of the Department of State effective March 3, 2014.

The organization chart at 44 Pa.B. 1452 (March 15, 2014) is published at the request of the Joint Committee on Documents under 1 Pa. Code § 3.1(a)(9) (relating to contents of *Code*).

*(Editor's Note: The Joint Committee on Documents has found organization charts to be general and permanent in nature. This document meets the criteria of 45 Pa.C.S. § 702(7) (relating to contents of Pennsylvania Code) as a document general and permanent in nature which shall be codified in the Pennsylvania Code.)*

[Pa.B. Doc. No. 14-523. Filed for public inspection March 14, 2014, 9:00 a.m.]



# NOTICES

## DEPARTMENT OF AGRICULTURE

### Referendum on Continuation of the Pennsylvania Peach and Nectarine Research Program; Referendum Order

I. The Pennsylvania Peach and Nectarine Research Program was established under the provisions of the Agricultural Commodities Marketing Act. The Act requires that the Secretary of Agriculture call a referendum of affected producers every five years to determine whether or not a majority of those voting still desire the program. The program was last subjected to a review referendum conducted in 2009. It is now time for another review referendum to determine whether a majority of the peach and nectarine producers desire the program to continue.

II. *Referendum Period:* The referendum period shall be from March 17, 2014 until 4 p.m. on March 31, 2014. Completed ballots shall be mailed or hand-delivered to the Pennsylvania Department of Agriculture, Bureau of Market Development, Room 310, 2301 North Cameron Street, Harrisburg, Pennsylvania 17110-9408. Hand-delivered ballots must be received by 4 p.m. on March 31, 2014. Ballots that are mailed must be postmarked no later than March 31, 2014, and received no later than April 4, 2014.

III. *Notice of Referendum:* This referendum order and an official ballot shall be mailed no later than March 10, 2014, to all affected producers whose names appear on the list of Pennsylvania peach and nectarine producers maintained in the Office of the Secretary of Agriculture. Additional copies of the same materials shall be made available at the Office of the Secretary of Agriculture.

IV. *Eligible Voters:* The rules governing the eligibility of a producer for voting are as follows: The record date for determination of whether a producer is eligible to vote is March 10, 2014. All peach and nectarine producers who produced, grew, or caused to be grown 500 or more peach and/or nectarine trees, of all ages, for the production of peaches and/or nectarines for sale or marketing in the Commonwealth in calendar year 2013 and intend to produce, grow, or cause to be grown 500 or more peach and/or nectarine trees, of all ages, for the production of peaches and/or nectarines for sale or marketing in the Commonwealth in calendar year 2014.

V. *Counting of Ballots:* The ballots will be canvassed and counted by a Teller Committee appointed by the Secretary of Agriculture. The counting of the ballots will begin at 12 p.m., Thursday, April 10, 2014 at the Pennsylvania Department of Agriculture, 2301 North Cameron Street, Harrisburg, Pennsylvania 17110. The Secretary will announce the results of the referendum within 30 days following the completion of the referendum period. The results will be published in the *Pennsylvania Bulletin* and the Harrisburg *Patriot-News*, and disseminated to the news media.

VI. *Reporting Irregularities:* Any irregularities or disputes concerning the referendum procedures must be

reported in written form to the Secretary of Agriculture not later than seven (7) calendar days from the end of the referendum period.

VII. *Publication:* This referendum order shall be published in the *Pennsylvania Bulletin* and the Harrisburg *Patriot-News*.

VIII. *Effective Date:* The foregoing order shall be effective immediately.

Dated March 4, 2014.

GEORGE D. GREIG,  
*Secretary*

[Pa.B. Doc. No. 14-524. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Referendum Order on Recommended Changes to the Pennsylvania Wine Marketing and Research Program

A referendum will be held to vote on recommended changes to the Pennsylvania Wine Marketing and Research Program. In summary, the proposed amendments would: (1) revise the definition of producer to exclude those who neither produce grapes nor wine in Pennsylvania in light of a legal ruling that permits such operations to obtain limited winery licenses; (2) revise producer charges payment options to expressly reflect the monthly payment option currently being offered; (3) provide that sales volume reporting be legally verified by the producer subject to 18 Pa.C.S.A. § 4904; (4) revise the producer charge amount from \$.15 to \$.20 per gallon. In accordance with the requirements of the Agricultural Commodities Marketing Act, a public hearing was held on December 2, 2013, to hear testimony and consider evidence on the proposed amendments and related matters. By Order of March 3, 2014, this office determined that the proposed amendments tend to effectuate the purposes of the Agricultural Commodities Marketing Act.

I. The Pennsylvania Wine Marketing and Research Program was established under the provisions of the Agricultural Commodities Marketing Act. The Act requires that the Secretary of Agriculture call a referendum of affected producers any time there is a proposed change to the program order. The referendum to be held for the Pennsylvania Wine Marketing and Research Program will determine whether a majority of those voting desire the requested changes.

II. *Referendum Period:* The referendum period shall be from March 17, 2014, until 4 p.m. on March 31, 2014. Completed ballots shall be mailed or hand-delivered to the Pennsylvania Department of Agriculture, Bureau of Market Development, Room 310, 2301 North Cameron Street, Harrisburg, Pennsylvania 17110-9408. Hand-delivered ballots must be received by 4 p.m. on March 31, 2014. Ballots that are mailed must be postmarked no later than March 31, 2014, and received no later than April 4, 2014.

III. *Notice of Referendum*: This referendum order and an official ballot shall be mailed no later than March 10, 2014, to all affected producers whose names appear on the list of Pennsylvania wine producers maintained in the Office of the Secretary of Agriculture. Additional copies of the same materials shall be made available at the Office of the Secretary of Agriculture.

IV. *Eligible Voters*: The rules governing the eligibility of a producer for voting are as follows: The record date for determination of whether a producer is eligible to vote is March 10, 2014. Names of affected eligible producers shall be taken from the commodity wine list of producers/sellers maintained in the Office of the Secretary of Agriculture. These names are supplied to the Secretary from the Pennsylvania Liquor Control Board. Voting producers must have a Limited Winery License. Producers who hold a Limited Winery License but do not produce grapes or wine in Pennsylvania are not eligible to vote.

V. *Counting of Ballots*: The ballots will be canvassed and counted by a Teller Committee appointed by the Secretary of Agriculture. The counting of the ballots will begin at 10 a.m., Thursday, April 10, 2014, at the

Pennsylvania Department of Agriculture, 2301 North Cameron Street, Harrisburg, Pennsylvania 17110. The Secretary will announce the results of the referendum within 30 days following the completion of the referendum period. The results will be published in the *Pennsylvania Bulletin* and the Harrisburg *Patriot-News*, and disseminated to the news media.

VI. *Reporting Irregularities*: Any irregularities or disputes concerning the referendum procedures must be reported in written form to the Secretary of Agriculture not later than seven (7) calendar days from the end of the referendum period.

VII. *Publication*: This referendum order shall be published in the *Pennsylvania Bulletin* and the Harrisburg *Patriot-News*.

VIII. *Effective Date*: The foregoing order shall be effective immediately.

GEORGE D. GREIG,  
Secretary

[Pa.B. Doc. No. 14-525. Filed for public inspection March 14, 2014, 9:00 a.m.]

## DEPARTMENT OF BANKING AND SECURITIES

### Actions on Applications

The Department of Banking and Securities (Department), under the authority contained in the act of November 30, 1965 (P. L. 847, No. 356), known as the Banking Code of 1965; the act of December 14, 1967 (P. L. 746, No. 345), known as the Savings Association Code of 1967; the act of May 15, 1933 (P. L. 565, No. 111), known as the Department of Banking and Securities Code; and the act of December 19, 1990 (P. L. 834, No. 198), known as the Credit Union Code, has taken the following action on applications received for the week ending March 4, 2014.

Under section 503.E of the Department of Banking and Securities Code (71 P. S. § 733-503.E), any person wishing to comment on the following applications, with the exception of branch applications, may file their comments in writing with the Department of Banking and Securities, Corporate Applications Division, 17 North Second Street, Suite 1300, Harrisburg, PA 17101-2290. Comments must be received no later than 30 days from the date notice regarding receipt of the application is published in the *Pennsylvania Bulletin*. The nonconfidential portions of the applications are on file at the Department and are available for public inspection, by appointment only, during regular business hours. To schedule an appointment, contact the Corporate Applications Division at (717) 783-2253. Photocopies of the nonconfidential portions of the applications may be requested consistent with the Department's Right-to-Know Law Records Request policy.

### BANKING INSTITUTIONS

#### Holding Company Acquisitions

<i>Date</i>	<i>Name and Location of Applicant</i>	<i>Action</i>
2-27-2014	ESSA Bank and Trust Stroudsburg Monroe County  Application for approval to acquire 100% of Franklin Security Bancorp, Inc., Wilkes-Barre, and thereby indirectly acquire 100% of Franklin Security Bank, Wilkes-Barre.	Approved

#### Consolidations, Mergers and Absorptions

<i>Date</i>	<i>Name and Location of Applicant</i>	<i>Action</i>
2-27-2014	ESSA Bank and Trust Stroudsburg Monroe County  Application for approval to merge Franklin Security Bank, Wilkes-Barre, with and into ESSA Bank and Trust, Stroudsburg.	Approved

**Branch Applications****De Novo Branches**

<i>Date</i>	<i>Name and Location of Applicant</i>	<i>Location of Branch</i>	<i>Action</i>
2-26-2014	Somerset Trust Company Somerset Somerset County	2100 Summit Ridge Plaza Mt. Pleasant Westmoreland County	Approved

**Branch Relocations**

<i>Date</i>	<i>Name and Location of Applicant</i>	<i>Location of Branch</i>	<i>Action</i>
2-24-2014	Somerset Trust Company Somerset Somerset County	<i>To:</i> 210 Ohio Street Boswell Somerset County  <i>From:</i> 802 Atkinson Way Boswell Somerset County	Effective

**Branch Consolidations**

<i>Date</i>	<i>Name and Location of Applicant</i>	<i>Location of Branch</i>	<i>Action</i>
2-26-2014	CNB Bank Clearfield Clearfield County	<i>Into:</i> One South Second Street Clearfield Clearfield County  <i>From:</i> 221 East Cherry Street Clearfield Clearfield County	Approved

**Branch Discontinuances**

<i>Date</i>	<i>Name and Location of Applicant</i>	<i>Location of Branch</i>	<i>Action</i>
12-31-2013	Miners Bank Minersville Schuylkill County	300 Hobart Street Gordon Schuylkill County	Closed

**SAVINGS INSTITUTIONS**

No activity.

**CREDIT UNIONS**

No activity.

The Department's web site at [www.dobs.state.pa.us](http://www.dobs.state.pa.us) includes public notices for more recently filed applications.

GLENN E. MOYER,  
*Secretary*

[Pa.B. Doc. No. 14-526. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Maximum Lawful Rate of Interest for Residential Mortgages for the Month of April 2014**

The Department of Banking and Securities (Department), under the authority contained in section 301 of the act of January 30, 1974 (P. L. 13, No. 6) (41 P. S. § 301), determines that the maximum lawful rate of interest for residential mortgages for the month of April, 2014, is 5 3/4%.

The interest rate limitations under the State's usury statute were preempted to a great extent by Federal law, the Depository Institutions Deregulation and Monetary Control Act of 1980 (Pub. L. No. 96-221). Further preemption was instituted with the signing of Pub. L. No. 96-399, which overrode State interest rate limitations on any individual who finances the sale or exchange of residential real property which the individual owns and which

the individual occupies or has occupied as his principal residence.

Each month the Department is required by State law to compute and announce the ceiling rate on residential mortgages in this Commonwealth. This maximum rate is determined by adding 2.50 percentage points to the yield rate on long-term government bonds as published by the Federal Reserve Board and/or the United States Treasury. The latest yield rate on long-term government securities is 3.25 to which was added 2.50 percentage points for a total of 5.75 that by law is rounded off to the nearest quarter at 5 3/4%.

GLENN E. MOYER,  
*Secretary*

[Pa.B. Doc. No. 14-527. Filed for public inspection March 14, 2014, 9:00 a.m.]

# DEPARTMENT OF ENVIRONMENTAL PROTECTION

## Applications, Actions and Special Notices

### APPLICATIONS

#### THE CLEAN STREAMS LAW AND THE FEDERAL CLEAN WATER ACT APPLICATIONS FOR NATIONAL POLLUTION DISCHARGE ELIMINATION SYSTEM (NPDES) PERMITS AND WATER QUALITY MANAGEMENT (WQM) PERMITS

This notice provides information about persons who have applied for a new, amended or renewed NPDES or WQM permit, a permit waiver for certain stormwater discharges or submitted a Notice of Intent (NOI) for coverage under a General Permit. The applications concern, but are not limited to, discharges regarding industrial, animal or sewage waste, discharges to groundwater, discharges associated with municipal separate storm sewer systems (MS4), stormwater associated with construction activities or concentrated animal feeding operations (CAFO). This notice is provided in accordance with 25 Pa. Code Chapters 91 and 92a and 40 CFR Part 122, implementing The Clean Streams Law (35 P. S. §§ 691.1—691.1001) and the Federal Clean Water Act (33 U.S.C.A. §§ 1251—1376).

<i>Location</i>	<i>Permit Authority</i>	<i>Application Type or Category</i>
Section I	NPDES	Renewals
Section II	NPDES	New or Amendment
Section III	WQM	Industrial, Sewage or Animal Waste; Discharge into Groundwater
Section IV	NPDES	MS4 Individual Permit
Section V	NPDES	MS4 Permit Waiver
Section VI	NPDES	Individual Permit Stormwater Construction
Section VII	NPDES	NOI for Coverage under NPDES General Permits

For NPDES renewal applications in Section I, the Department of Environmental Protection (Department) has made a tentative determination to reissue these permits for 5 years subject to effluent limitations and monitoring and reporting requirements in their current permits, with appropriate and necessary updated requirements to reflect new and changed regulations and other requirements.

For applications for new NPDES permits and renewal applications with major changes in Section II, as well as applications for MS4 Individual Permits and Individual Stormwater Construction Permits in Sections IV and VI, the Department, based upon preliminary reviews, has made tentative determinations of proposed effluent limitations and other terms and conditions for the permit applications. In accordance with 25 Pa. Code § 92a.32(d), the proposed discharge of stormwater associated with construction activities will be managed in accordance with the requirements of 25 Pa. Code Chapter 102. These determinations are published as proposed actions for comments prior to taking final actions.

Unless indicated otherwise, the United States Environmental Protection Agency (EPA) Region III Administrator has waived the right to review or object to proposed NPDES permit actions under the waiver provision in 40 CFR 123.24(d).

Persons wishing to comment on NPDES applications are invited to submit statements to the contact office noted before the application within 30 days from the date of this public notice. Persons wishing to comment on WQM permit applications are invited to submit statements to the office noted before the application within 15 days from the date of this public notice. Comments received within the respective comment periods will be considered in the final determinations regarding the applications. A comment submittal should include the name, address and telephone number of the writer and a concise statement to inform the Department of the exact basis of a comment and the relevant facts upon which it is based.

The Department will also accept requests for public hearings on applications. A public hearing may be held if the responsible office considers the public response significant. If a hearing is scheduled, a notice of the hearing will be published in the *Pennsylvania Bulletin* and a newspaper of general circulation within the relevant geographical area. The Department will postpone its final determination until after a public hearing is held.

Persons with a disability who require an auxiliary aid, service, including TDD users, or other accommodations to seek additional information should contact the Department through the Pennsylvania AT&T Relay Service at (800) 654-5984.

#### I. NPDES Renewal Applications

*Southeast Region: Clean Water Program Manager, 2 East Main Street, Norristown, PA 19401. Phone: 484.250.5970*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed No.)</i>	<i>EPA Waived Y/N?</i>
PA0052761 (Sewage)	Buckingham Valley Nursing Center STP 820 Durham Road Newtown, PA 18940	Bucks County Buckingham Township	Unnamed Tributary of Mill Creek (2-F)	Y

*Southcentral Region: Clean Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone: 717-705-4707.*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed #)</i>	<i>EPA Waived Y/N?</i>
PA0084701— SEW	Penn Township Municipal Authority—Cove STP 102 Municipal Building Road Duncannon, PA 17020	Perry County / Penn Township	UNT Susquehanna River / 7-A	Y
PA0084123— SEW	Penn Township Municipal Authority—Kinkora STP 102 Municipal Building Road Duncannon, PA 17020	Perry County / Penn Township	Cove Creek / 7-A	Y
PA0080527— SEW	Oliver's Upper Lawn Mobile Home Community 296 Long Road Palmyra, PA 17078-8380	Lebanon County / South Londonderry Township	UNT Conewago Creek / 3-F	Y
PA0246808— CAFO	Clair Hurst 788 King Pen Road Kirkwood, PA 17536	Lancaster County / Little Britain Township	UNT West Branch Octoraro Creek	Y
PA0261386— SEW	Albert C. Kuhn (Lot 11—Kendor Summit) PO Box 121 Carlisle, PA 17013	Cumberland County / North Middleton Township	Conodoguinet Creek / 7-B	Y
PA0085715— SEW	Bertha M. Geib 504 Hemlock Lane Lebanon, PA 17042	Lebanon County / Cornwall Borough	UNT Shearer's Creek / 7-G	Y
PA0086282— GWCU	Texas Eastern Transmission, LP (Grantville Compressor Station) 5400 Westheimer Court Houston, TX 77056	Dauphin County / East Hanover Township	UNT Bow Creek / 7-D	Y
PA0053708— SEW	James Gaffney Hawk Mountain Bed & Breakfast 223 Stoney Run Valley Road Kempton, PA 19529	Berks County / Albany Township	Stony Run / 3-B	Y

*Northcentral Region: Clean Water Program Manager, 208 West Third Street, Williamsport, PA 17701*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed No.)</i>	<i>EPA Waived Y/N?</i>
PA0111716 (Sewage)	Wonderview Sanitary Facility, Inc. Wastewater Treatment Plant Wonderview Development Bloomsburg, PA 17815	Columbia County Main Township	Susquehanna River (5-D)	Y

*Southwest Regional Office: Regional Clean Water Program Manager, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed No.)</i>	<i>EPA Waived Y/N?</i>
PA0092894 (Sewage)	Bailey Mine 332 Enon Church Road West Finley, PA 15377	Greene County Richhill Township	Enlow Fork (20-E)	Y
PA0096814 (Sewage)	Robyns Shop Donegal Tri Fuel STP Rte 31 Donegal, PA 15628	Westmoreland County Donegal Township	Minnow Run (19-E)	Y
PA0091138 (Sewage)	Teodori STP Lawrence, PA 15055	Washington County Cecil Township	Chartiers Creek (20-F)	Y
PA0205257 (Sewage)	Greensboro Monongahela Township Joint Sewer Authority STP Stony Hill Road Greensboro, PA 15338-0342	Greene County Monongahela Township	Back Channel of Monongahela River (19-G)	Y

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed No.)</i>	<i>EPA Waived Y/N?</i>
PA0216381 (Sewage)	Holly Hill STP 1 Holly Hill Drive Freedom, PA 15042	Beaver County New Sewickley Township	UNT of Crows Run (20-G)	Y
PA0028258 (Sewage)	Ohiopyle Borough PO Box 83 Ohiopyle, PA 15470	Fayette County Ohiopyle Borough	Meadow Run (19-E)	Y
PA0023906 (Sewage)	Masontown WW River Avenue Masontown, PA 15461	Fayette County Masontown Borough	Unnamed Tributary of Monongahela River (19-G)	Y

*Northwest Region: Clean Water Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed#)</i>	<i>EPA Waived Y/N?</i>
PA0222810 (Sewage)	Brian G. Pitell SFTF 707 Little Creek Road, Evans City, PA 16033	Butler County Connoquenessing Township	Little Connoquenessing Creek (20-C)	Y

## II. Applications for New or Expanded Facility Permits, Renewal of Major Permits and EPA Non-Waived Permit Applications

*Northeast Region: Clean Water Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915. Phone: 570-826-2511.*

**PA0012475**, SIC Code 4911, **NRG Rema LLC**, 121 Champion Way Suite 200, Canonsburg, PA 15317-5817. Facility Name: NRG Rema LLC Portland Station. This existing facility is located in Upper Mount Bethel Township, **Northampton County**.

Description of Existing Activity: The application is for a renewal of an NPDES permit for an existing discharge of treated.

The receiving stream(s), Delaware River, is located in State Water Plan watershed 1-F and is classified for Warm Water Fishes and Migratory Fishes, aquatic life, water supply and recreation. The discharge is not expected to affect public water supplies.

The proposed effluent limits for Outfall 001 are based on a design flow of 298.71 MGD.

<i>Parameters</i>	<i>Mass (lb/day)</i>			<i>Concentration (mg/l)</i>		<i>Instant. Maximum</i>
	<i>Average Monthly</i>	<i>Daily Maximum</i>	<i>Minimum</i>	<i>Average Monthly</i>	<i>Daily Maximum</i>	
Flow (MGD)	Report	Report	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	XXX	9.0
Total Residual Chlorine	XXX	XXX	XXX	XXX	0.2	XXX
Temperature (°F)						
Ambient	XXX	XXX	XXX	Report	XXX	XXX
Downstream Monitoring	XXX	XXX	XXX	Report	XXX	XXX
Jan 1-31	XXX	XXX	XXX	XXX	93.8	XXX
Feb 1-29	XXX	XXX	XXX	XXX	95.7	XXX
Mar 1-31	XXX	XXX	XXX	XXX	85.8	XXX
Apr 1 - Sep 30	XXX	XXX	XXX	XXX	110	XXX
Oct 1-31	XXX	XXX	XXX	XXX	104.7	XXX
Nov 1-30	XXX	XXX	XXX	XXX	94.4	XXX
Dec 1-31	XXX	XXX	XXX	XXX	78.5	XXX
Bromide	XXX	XXX	XXX	Report	XXX	XXX
Bis(2-Ethylhexyl)Phthalate (µg/L)	XXX	XXX	XXX	Report	XXX	XXX

The proposed effluent limits for Outfall 002 are based on a design flow of 0.014 MGD.

<i>Parameters</i>	<i>Mass (lb/day)</i>			<i>Concentration (mg/l)</i>		<i>Instant. Maximum</i>
	<i>Average Monthly</i>	<i>Daily Maximum</i>	<i>Minimum</i>	<i>Average Monthly</i>	<i>Daily Maximum</i>	
Flow (MGD)	Report	Report	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	XXX	9.0
Total Residual Chlorine	XXX	XXX	XXX	0.5	XXX	1.17
CBOD <sub>5</sub>	XXX	XXX	XXX	25.0	XXX	50.0
Total Suspended Solids	XXX	XXX	XXX	30	XXX	60.0
Fecal Coliform (CFU/100 ml)	XXX	XXX	XXX	200	XXX	1,000
Ammonia-Nitrogen	XXX	XXX	XXX	Geo Mean 20.0	XXX	40.0



The proposed effluent limits for Outfall 003 are based on a design flow of 0.758 MGD.

<i>Parameters</i>	<i>Mass (lb/day)</i>			<i>Concentration (mg/l)</i>		<i>Instant. Maximum</i>
	<i>Average Monthly</i>	<i>Daily Maximum</i>	<i>Minimum</i>	<i>Average Monthly</i>	<i>Daily Maximum</i>	
Flow (MGD)	Report	Report	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	XXX	9.0
Total Suspended Solids	XXX	XXX	XXX	30.0	60.0	75.0
Oil and Grease	XXX	XXX	XXX	15.0	20.0	30.0
Total Copper	XXX	XXX	XXX	Report	XXX	XXX
Dissolved Iron	XXX	XXX	XXX	Report	XXX	7.0
Total Iron	XXX	XXX	XXX	1.0	XXX	XXX
Total Nickel	XXX	XXX	XXX	Report	XXX	XXX
Total Zinc	XXX	XXX	XXX	Report	XXX	XXX
Bromide	XXX	XXX	XXX	Report	XXX	XXX

The proposed effluent limits for Outfall 103 are based on a design flow of 0.000000 MGD.

<i>Parameters</i>	<i>Mass (lb/day)</i>			<i>Concentration (mg/l)</i>		<i>Instant. Maximum</i>
	<i>Average Monthly</i>	<i>Daily Maximum</i>	<i>Minimum</i>	<i>Average Monthly</i>	<i>Daily Maximum</i>	
pH (S.U.)	XXX	XXX	XXX	XXX	Report	XXX
Total Suspended Solids	XXX	XXX	XXX	XXX	Report	XXX
Oil and Grease	XXX	XXX	XXX	XXX	Report	XXX
Total Copper	XXX	XXX	XXX	XXX	Report	XXX
Total Iron	XXX	XXX	XXX	XXX	Report	XXX
Total Nickel	XXX	XXX	XXX	XXX	Report	XXX
Total Zinc	XXX	XXX	XXX	XXX	Report	XXX

The proposed effluent limits for Outfall 203 are based on a design flow of 0.000000 MGD.

<i>Parameters</i>	<i>Mass (lb/day)</i>			<i>Concentration (mg/l)</i>		<i>Instant. Maximum</i>
	<i>Average Monthly</i>	<i>Daily Maximum</i>	<i>Minimum</i>	<i>Average Monthly</i>	<i>Daily Maximum</i>	
pH (S.U.)	XXX	XXX	XXX	XXX	Report	XXX
Total Suspended Solids	XXX	XXX	XXX	XXX	Report	XXX
Oil and Grease	XXX	XXX	XXX	XXX	Report	XXX
Total Copper	XXX	XXX	XXX	XXX	Report	XXX
Total Iron	XXX	XXX	XXX	XXX	Report	XXX
Total Nickel	XXX	XXX	XXX	XXX	Report	XXX
Total Zinc	XXX	XXX	XXX	XXX	Report	XXX

The proposed effluent limits for Outfall 303 are based on a design flow of 0.000000 MGD.

<i>Parameters</i>	<i>Mass (lb/day)</i>			<i>Concentration (mg/l)</i>		<i>Instant. Maximum</i>
	<i>Average Monthly</i>	<i>Daily Maximum</i>	<i>Minimum</i>	<i>Average Monthly</i>	<i>Daily Maximum</i>	
pH (S.U.)	XXX	XXX	XXX	XXX	Report	XXX
Total Suspended Solids	XXX	XXX	XXX	XXX	Report	XXX
Oil and Grease	XXX	XXX	XXX	XXX	Report	XXX
Total Copper	XXX	XXX	XXX	XXX	Report	XXX
Total Iron	XXX	XXX	XXX	XXX	Report	XXX
Total Nickel	XXX	XXX	XXX	XXX	Report	XXX
Total Zinc	XXX	XXX	XXX	XXX	Report	XXX

In addition, the permit contains the following major special conditions:

- Clean water act 316(b) cooling water intake structure requirements.

You may make an appointment to review the DEP files on this case by calling the File Review Coordinator at 570-826-5472.

The EPA Waiver is not in effect.

**PA0065480**, Storm Water, SIC Code 4213, **Fedex Freight Inc.**, 2200 Forward Drive, DC: 2219, Harrison, AR 72601. Facility Name: Fedex Freight Inc.—ALT. This proposed facility is located at 360 Stokes Park Road in Bethlehem City, **Northampton County**.

Description of Proposed Activity: The application is for a new NPDES permit for an existing discharge of Storm Water associated with industrial activities from an existing facility.

The receiving stream(s), Unnamed Tributary to Monocacy Creek, is located in State Water Plan watershed 2-C and is classified for High Quality Waters—Cold Water Fishes and, aquatic life, water supply and recreation. The discharge is not expected to affect public water supplies.

The proposed effluent limits for Outfall 001 & 002 are based on a design flow of 0.000000 MGD (stormwater only).

Parameters	Mass (lb/day)			Concentration (mg/l)		
	Average Monthly	Daily Maximum	Minimum	Average Monthly	Daily Maximum	Instant. Maximum
pH (S.U.)	XXX	XXX	Report	XXX	XXX	Report
Total Suspended Solids	XXX	XXX	XXX	XXX	Report	XXX
Oil and Grease	XXX	XXX	XXX	XXX	Report	XXX
Total Kjeldahl Nitrogen	XXX	XXX	XXX	XXX	Report	XXX
Total Iron	XXX	XXX	XXX	XXX	Report	XXX

In addition, the permit contains the following major special conditions:

- Standard IW permit conditions (necessary property rights; residuals management; relation to WQM permits; BAT/ELG) and standard stormwater conditions.

You may make an appointment to review the DEP files on this case by calling the File Review Coordinator at 570-826-5472.

The EPA Waiver is in effect.

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*Southwest Regional Office: Regional Clean Water Program Manager, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

**PA0254771**, SIC Code 4911, **Tenaska PA Partners LLC**, 1044 N 115 Street, Omaha, NE 68154. Facility Name: Tenaska Westmoreland Generating Station. This proposed facility is located in South Huntingdon Township, **Westmoreland County**.

Description of Proposed Activity: The application is for a new NPDES permit for a new discharge of treated cooling tower blowdown, low volume wastewater and stormwater associated with industrial activity.

The receiving stream(s), Barren Run, Unnamed Tributary to Youghiogheny River and Youghiogheny River, is located in State Water Plan watershed 19-D and is classified for Warm Water Fishes, aquatic life, water supply and recreation. The discharge is not expected to affect public water supplies.

The proposed effluent limits for Outfall 001 are based on a design flow of 1.2 MGD.

Parameters	Mass (lb/day)			Concentration (mg/l)		
	Average Monthly	Daily Maximum	Minimum	Average Monthly	Daily Maximum	Instant. Maximum
Flow (MGD)	Report	Report	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6	XXX	XXX	9
Total Residual Chlorine	XXX	XXX	XXX	0.5	XXX	1.17
Temperature (°F)	XXX	XXX	XXX	XXX	110 Max	XXX
Total Dissolved Solids	Report	Report	XXX	2,000	4,000	XXX
Total Copper	XXX	XXX	XXX	0.143	0.223	XXX
Sulfate	Report	Report	XXX	Report	Report	XXX
Total Zinc	XXX	XXX	XXX	1.22	1.91	XXX
Chloride	Report	Report	XXX	Report	Report	XXX
Bromide	Report	Report	XXX	Report	Report	XXX

The proposed effluent limits for Outfall 101 are based on a design flow of 1 MGD.

Parameters	Mass (lb/day)			Concentration (mg/l)		
	Average Monthly	Daily Maximum	Minimum	Average Monthly	Daily Maximum	Instant. Maximum
pH (S.U.)	XXX	XXX	6	XXX	XXX	9
Free Available Chlorine	XXX	XXX	XXX	0.2	XXX	0.5
Total Chromium	XXX	XXX	XXX	0.2	0.2	XXX
Total Zinc	XXX	XXX	XXX	1.0	1.0	XXX

The proposed effluent limits for Outfall 201 are based on a design flow of 0.2 MGD.

Parameters	Mass (lb/day)			Concentration (mg/l)		
	Average Monthly	Daily Maximum	Minimum	Average Monthly	Daily Maximum	Instant. Maximum
pH (S.U.)	XXX	XXX	6	XXX	XXX	9
Total Suspended Solids	XXX	XXX	XXX	30.0	100.0	XXX
Oil and Grease	XXX	XXX	XXX	15.0	20.0	XXX

In addition, the permit contains the following major special conditions:

- Outfalls 002—009 shall discharge solely uncontaminated stormwater. Sample analysis of these stormwater discharges shall be submitted on Module 13 to the Department in accordance with 40 CFR 122.26(c)(E) by December 31, 2015.
- This discharge shall not cause a change in the stream temperature of more than 2°F during any one hour.
- Chlorine may not be discharged from any single generating unit for more than two hours per day unless the discharger demonstrates to the permitting authority that discharges for more than two hours are required for macro invertebrate control. Simultaneous multi-unit chlorination application is not permitted unless the utility can demonstrate to the Regional Administrator or State, if the State has NPDES permit issuing authority, that the units in a particular location cannot operate at or below this level of chlorination.
- There shall be no net addition of the 126 priority pollutants to non-contact cooling water over intake values from chemicals added for cooling tower maintenance, except chromium and zinc.
- There shall be no discharge of polychlorinated biphenyl (PCB) compounds such as those commonly used for transformer fluid at any time.

You may make an appointment to review the DEP files on this case by calling the File Review Coordinator at 412-442-4000.

The EPA Waiver is in effect.

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### III. WQM Industrial Waste and Sewerage Applications under The Clean Streams Law

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*Southeast Region: Clean Water Program Manager, 2 East Main Street, Norristown, PA 19401, 484.250.5900*

**WQM Permit No. 2314401**, Sewage, **US Army Corps of Engineers**, 600 Dr. Martin Luther King Jr. Place, Louisville, KY 40202.

This proposed facility is located in Edgmont Township, **Delaware County**.

Description of Action/Activity: Construction and operation of a proposed on-lot sewage disposal system and industrial waste holding tank.

*Southcentral Region: Clean Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone: 717-705-4707.*

**WQM Permit No. 2282406 Amendment No. 3**, Sewerage, **Berrysburg Borough Authority**, PO Box 183, Berrysburg, PA 17085-0183.

This proposed facility is located in Berrysburg Borough, **Dauphin County**.

Description of Proposed Action/Activity: Construction of new wastewater treatment plant with a continuous flow SBR treatment system.

*Southwest Region: Clean Water Program Manager, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

**WQM Permit No. WQG026144**, Sewage, **Central Indiana County Joint Sewer Authority**, 603 South Main St Ext, Homer City, PA 15748.

This proposed facility is located in Center Township, **Indiana County**.

Description of Proposed Action/Activity: construction of a pump station, force main and gravity sewer extension.

**WQM Permit No. 0214400**, Sewage, **Castle Shannon Borough Allegheny County**, 3310 McRoberts Rd, Castle Shannon, PA 15234.

This proposed facility is located in Castle Shannon Borough, **Allegheny County**.

Description of Proposed Action/Activity: Sanitary sewer relocation.

*Northwest Region: Clean Water Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

**WQM Permit No. WQG01611401**, Sewage, **Eric S. Hanna**, 214 Maple Shade Road, Cranberry, PA 16319.

This proposed facility is located in Cranberry Township, **Venango County**.

Description of Proposed Action/Activity: Single Residence Sewage Treatment Plant to replace a malfunctioning on-lot system.

**WQM Permit No. WQG01251402**, Sewage, **Timothy A. Moore**, 11659 Old Lake Road, North East, PA 16428.

This proposed facility is located in North East Township, **Erie County**.

Description of Proposed Action/Activity: Single Residence Sewage Treatment Plant to replace a malfunctioning on-lot system.

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### IV. NPDES Applications for Stormwater Discharges from MS4

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### V. Applications for NPDES Waiver Stormwater Discharges from MS4

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### VI. NPDES Individual Permit Applications for Discharges of Stormwater Associated with Construction Activities

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*Southeast Region: Water Management Program Manager, 2 East Main Street, Norristown, PA 19401*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI01 1514009	Brian & Jill Lawlor 31 Steepleview Drive Glenmore, PA 19343 Co-Applicant: Stoltzfus Enterprises, LTD 26 East Main Street Elverson, PA 19520	Chester	West Vincent Township	Pickering Creek HQ—TSF—MF
PAI01 1514006	Allan A. Myers, L.P. P.O. Box 98 Worcester, PA 19490	Chester	East Whiteland Township	Valley Creek EV
PAI01 2314002	Mr. Michael Hare BPG Land Partners VII Seaport, LLC 322 A Street, Suite 300 Wilmington, DE 19801	Delaware	City of Chester	Delaware River WWF—MF
PAI01 2314001	Philadelphia Freedom Valley YMCA 1299 West Baltimore Pike Media, PA 19003	Delaware	Middletown Township	Rocky Run HQ Chester Creek WWF—MF

*Northeast Region: Watershed Management Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915.**Monroe County Conservation District, 8050 Running Valley Rd., Stroudsburg PA 18360-0917*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI024514002	PA American Water Co. 4 Wellington Blvd. Suite 2 Reading, PA 19610	Monroe	Hamilton Township	Aquashicola Creek (HQ-CWF, MF) and Ross Common Creek (HQ-CWF, MF)

*Northampton County Conservation District, 14 Gracedale Avenue Greystone Bldg., Nazareth PA 18064-9211*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI024813005	EastP I, LLC 6831 E. 32nd Street Indianapolis, IN 46226	Northampton	Lower Nazareth Township and Bethlehem Township	Monocacy Creek (HQ-CWF, MF)
PAI024813011	E & M Logistics LLC 928 N. Ninth Street Allentown, PA 18102	Northampton	Hanover Township	Monocacy Creek (HQ-CWF, MF)

*Northcentral Region: Waterways & Wetlands Program Manager, 208 West Third Street, Williamsport, PA 17701**Tioga County Conservation District: 50 Plaza Lane, Wellsboro, PA 16901, (570) 724-1801, X 3*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI045914001	Mr Jeff Rush 874 Linck Hill Rd Morris PA 16938	Tioga	Morris Township	Zimmerman Creek EV

**VII. List of NOIs for NPDES and/or Other General Permit Types**

PAG-12 CAFOs

**CAFO Notices of Intent Received***Southcentral Region: Clean Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Telephone: 717-705-4707.***PAG123774, CAFO, Joel Krall, Furnace Hill Holsteins, 480 Schaeffer Road, Lebanon, PA 17042.**This proposed facility is located in South Lebanon Township, **Lebanon County**.

Description of Size and Scope of Proposed Operation/Activity: existing but expanding 383.38 AEU's dairy operation.

The receiving stream, UNT to Hammer Creek, is in watershed 7-J, and classified for: SWF.

The proposed effluent limits for the operation/activity include: Except for the chronic or catastrophic rainfall events defined as over the 25-year/24-hour rain storms, the CAFO general permit is a non-discharge NPDES permit. Where

applicable, compliance with 40 CFR federal effluent limitation guidelines is required. The general permit requires no other numeric effluent limitations and compliance with the Pennsylvania Nutrient Management Act and the Clean Stream Law constitutes compliance with the state narrative water quality standards.

**STATE CONSERVATION COMMISSION  
PROPOSED NUTRIENT MANAGEMENT PLANS RELATED TO APPLICATIONS  
FOR NPDES PERMITS FOR CAFOs**

This notice provides information about agricultural operations that have submitted nutrient management plans (NMPs) for approval under 3 Pa.C.S. Chapter 5 and that have or anticipate submitting applications for new, amended or renewed NPDES permits, or Notices of Intent (NOIs) for coverage under a general permit, for CAFOs, under 25 Pa. Code Chapter 92a. This notice is provided in accordance with 25 Pa. Code Chapter 92a and 40 CFR Part 122, implementing The Clean Streams Law and the Federal Clean Water Act.

Based upon preliminary reviews, the State Conservation Commission (SCC) or County Conservation Districts (CCD) working under a delegation agreement with the SCC have completed an administrative review of NMPs described. These NMPs are published as proposed plans for comment prior to taking final actions. The NMPs are available for review at the CCD office for the county where the agricultural operation is located. A list of CCD office locations is available at <http://www.nacdnet.org/about/districts/directory/pa.phtml> or can be obtained from the SCC at the office address listed or by calling (717) 787-8821.

Persons wishing to comment on an NMP are invited to submit a statement outlining their comments on the plan to the CCD, with a copy to the SCC for each NMP, within 30 days from the date of this public notice. Comments received within the respective comment periods will be considered in the final determinations regarding the NMPs. Comments should include the name, address and telephone number of the writer and a concise statement to inform the SCC of the exact basis of the comments and the relevant facts upon which they are based. Comments should be sent to the SCC, Agriculture Building, Room 310, 2301 North Cameron Street, Harrisburg, PA 17110.

Persons with a disability who require an auxiliary aid, service, including TDD users or other accommodations to seek additional information should contact the SCC through the Pennsylvania AT&T Relay Service at (800) 654-5984.

**APPLICATIONS  
NUTRIENT MANAGEMENT PLAN—PUBLIC NOTICE SPREADSHEET**

<i>Agricultural Operation Name and Address</i>	<i>County</i>	<i>Total Acres</i>	<i>Animal Equivalent Units</i>	<i>Animal Type</i>	<i>Special Protection Waters (HQ or EV or NA)</i>	<i>Renewal/ New</i>
A and L Farms Linford Snyder 3304 Mountain Road, Hamburg PA 19526	Berks	160.4	485.9	Layers	TSF	Amendment

**PUBLIC WATER SUPPLY (PWS)  
PERMITS**

Under the Pennsylvania Safe Drinking Water Act (35 P. S. §§ 721.1—721.17), the following parties have applied for PWS permits to construct or substantially modify public water systems.

Persons wishing to comment on permit applications are invited to submit statements to the office listed before the application within 30 days of this public notice. Comments received within this 30-day comment period will be considered in the formulation of the final determinations regarding an application. A comment should include the name, address and telephone number of the writer and a concise statement to inform the Department of the exact basis of a comment and the relevant facts upon which it is based. A public hearing may be held after consideration of comments received during the 30-day public comment period.

Following the comment period, the Department will make a final determination regarding the proposed permit. Notice of this final determination will be published in the *Pennsylvania Bulletin* at which time this determination may be appealed to the Environmental Hearing Board.

The permit application and related documents are on file at the office listed before the application and available for public review. Arrangements for inspection and copying information should be made with the office listed before the application.

Persons with a disability that require an auxiliary aid, service or other accommodations to participate during the 30-day public comment period should contact the office listed before the application. TDD users may contact the Department through the Pennsylvania AT&T Relay Service at (800) 654-5984.

**SAFE DRINKING WATER**

**Applications Received Under the Pennsylvania Safe Drinking Water Act**

*Southeast Region: Safe Drinking Water Program Manager, 2 East Main Street, Norristown, PA 19401*

**Permit No. 4614502** Public Water Supply

Applicant	<b>National Water Services, Inc.</b>
Counties	<b>Montgomery and Delaware</b>
Townships	Plymouth, Abington, and Concord
Responsible Official	Ramon Lovato 1217 Parkway Drive Suite 13 Santa Fe, NM 87507

Type of Facility PWS  
 Consulting Engineer Charles L. Myers, P.E.  
 941 Marcon Boulevard  
 Suite 801  
 Allentown, PA 18109  
 Application Received Date February 12, 2014  
 Description of Action Installation of vended water machines at three (3) locations.

*Southcentral Region: Safe Drinking Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110*

**Permit No. 3614507, Minor Amendmant**, Public Water Supply.

Applicant **Dutch Treat Motel**  
 Municipality Strassburg Township  
 County **Lancaster**  
 Responsible Official Ashish Joshi, Manager  
 265 Herr Road  
 Ronks, PA 17572

Type of Facility Public Water Supply  
 Consulting Engineer Charles A. Kehew II, P.E.  
 James R. Holley &  
 Associates, Inc.  
 18 South George Street  
 York, PA 17401  
 Application Received: 2/24/2014

Description of Action Anion exchange nitrate treatment and demonstration of 4-Log treatment of viruses.

**Permit No. 0114502**, Public Water Supply.

Applicant **PA Conference of Seventh Day Adventist**  
 Municipality Cumberland Township  
 County **Adams**  
 Responsible Official Andrew Berlin, Deacon  
 1439 Biglerville Road  
 Gettysburg, PA 17325

Type of Facility Public Water Supply  
 Consulting Engineer P Fred. Heebrandt, P.E.  
 Wm F Hill & Associates Inc  
 207 Baltimore Street  
 Gettysburg, PA 17325

Application Received: 2/26/2014  
 Description of Action Installation of a treatment system for the removal of arsenic at the Gettysburg Seventh Day Adventist Church.

**Permit No. 2814503 MA, Minor Amendmant**, Public Water Supply.

Applicant **Sandy Hook Water Association**  
 Municipality Hamilton Township  
 County **Franklin**  
 Responsible Official Richard Mellott,  
 Association Member  
 5103 Mountain Road  
 Chambersburg, PA 17201

Type of Facility Public Water Supply

Consulting Engineer Harry E. Bingaman, P.E.  
 Glace Assoc., Inc.  
 3705 Trindle Rd.  
 Camp Hill, PA 17011

Application Received: 2/19/2014

Description of Action Installation of additional chlorine contact pipe to meet 1-log post filtration Giardia inactivation.

**Permit No. 3614505**, Public Water Supply.

Applicant **Columbia Water Company**  
 Municipality Columbia Borough  
 County **Lancaster**  
 Responsible Official David T. Lewis,  
 General Manager  
 220 Locust Street  
 Columbia, PA 17512

Type of Facility Public Water Supply  
 Consulting Engineer Daniel Cargnel, P.E.  
 Buchart Horn, Inc.  
 445 West Philadelphia Street  
 York, PA 17404

Application Received: 1/30/2014

Description of Action Installation of spray aeration system in the Lockard Hollow, Prospect and Manor/Mountville Storage Tanks for disinfection byproducts removal.

#### MINOR AMENDMENT

#### Applications Received Under the Pennsylvania Safe Drinking Water Act

*Southwest Region: Water Supply Management Program Manager, 400 Waterfront Drive, Pittsburgh, Pa 15222-4745*

**Application No. 0294501-T1, Minor Amendmant.**

Applicant Hampton Shaler Water Authority  
 PO Box 66  
 3101 McCully Road  
 Allison Park, PA 15101

[Township or Borough] Etna Borough

Responsible Official Sameul Scarfone,  
 Executive Director  
 Hampton Shaler Water Authority  
 PO Box 66 3101  
 McCully Road  
 Allison Park, PA 15101

Type of Facility Water system

Consulting Engineer

Application Received Date February 8, 2014

Description of Action Transfer of facilities formerly owned by Etna Borough's water system.

## WATER ALLOCATIONS

### Applications received under the act of June 24, 1939 (P.L. 842, No. 365) (35 P.S. §§ 631—641) relating to the Acquisition of Rights to Divert Waters of the Commonwealth

*Northeast Region: Safe Drinking Water Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915*

**WA 39-705D**, Water Allocation, **Township of Salisbury**, 2900 South Pike Avenue, Allentown, PA 18103, Salisbury Township, **Lehigh County**. The applicant is requesting the renewal of an allocation for purchase of water from the City of Bethlehem system with a quantity of allocation of up to 1,500 gpd, as a monthly average.

## LAND RECYCLING AND ENVIRONMENTAL REMEDIATION

### UNDER ACT 2, 1995 PREAMBLE 1

### Acknowledgment of Notices of Intent to Remediate Submitted under the Land Recycling and Environmental Remediation Standards Act (35 P.S. §§ 6026.101—6026.907)

Sections 302—305 of the Land Recycling and Environmental Remediation Standards Act (act) (35 P.S. §§ 6026.302—6026.305) require the Department to publish in the *Pennsylvania Bulletin* an acknowledgment noting receipt of Notices of Intent to Remediate. An acknowledgment of the receipt of a Notice of Intent to Remediate is used to identify a site where a person proposes to, or has been required to, respond to a release of a regulated substance at a site. A person intending to use the background standard, Statewide health standard, the site-specific standard or intend to remediate a site as a special industrial area shall file a Notice of Intent to Remediate with the Department. A Notice of Intent to Remediate filed with the Department provides a brief description of the location of the site, a list of known or suspected contaminants at the site, the proposed remediation measures for the site and a description of the intended future use of the site. A person who demonstrates attainment of one or a combination of cleanup standards or receives approval of a special industrial area remediation identified under the act will be relieved of further liability for the remediation of the site for contamination identified in reports submitted to and approved by the Department. Furthermore, the person shall not be subject to citizen suits or other contribution actions brought by responsible persons not participating in the remediation.

Under sections 304(n)(1)(ii) and 305(c)(2) of the act, there is a 30-day public and municipal comment period for sites proposed for remediation using a site-specific standard, in whole or in part, and for sites remediated as a special industrial area. This period begins when a summary of the Notice of Intent to Remediate is published in a newspaper of general circulation in the area of the site. For the following site, proposed for remediation to a site-specific standard or as a special industrial area, the municipality, within which the site is located, may request to be involved in the development of the remediation and reuse plans for the site if the request is made within 30 days of the date specified as follows. During this comment period, the municipality may request that the person identified as the remediator of the site develop

and implement a public involvement plan. Requests to be involved and comments should be directed to the remediator of the site.

For further information concerning the content of a Notice of Intent to Remediate, contact the environmental cleanup program manager in the Department regional office listed before the notice. If information concerning this acknowledgment is required in an alternative form, contact the community relations coordinator at the appropriate regional office. TDD users may telephone the Department through the AT&T Relay Service at (800) 654-5984.

The Department has received the following Notices of Intent to Remediate:

*Southcentral Region: Environmental Cleanup and Brownfields Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone 717.705.4705.*

**Former Armstrong Environmental Services Facility**, 205 Greenfield Road, Lancaster, PA, East Lampeter Township, **Lancaster County**. Reliance Environmental, Inc., 235 North Duke Street, Lancaster, PA 17602, on behalf of 205 Greenfield Road LLP, 5 Holland Street, Salunga, PA 17538, submitted a Notice of Intent to Remediate site soils and groundwater contaminated with No. 2 fuel oil. The site will be remediated to a combination of Residential Statewide Health and Site-Specific standards, and is zoned for commercial/retail use. The Notice of Intent to Remediate was published in the *Intelligencer Journal—New Era* on February 19, 2014.

*Northwest Region: Environmental Cleanup & Brownfields Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

**All American Hose, Inc. (6424 West Ridge Road)**, 6424 West Ridge Road, Fairview Township, **Erie County**. AECOM Technical Services, Inc., Gulf Tower, 707 Grant Street, Pittsburgh, PA 15219, on behalf of Parker Hannifin Corporation, 6035 Parkland Boulevard, Cleveland, OH 44124, submitted a Notice of Intent to Remediate. The site is used for the manufacture of industrial grade hose products. Site soil and site groundwater has been contaminated with VOC's, SVOC's, and metals. The proposed remediation standard for the site is Statewide Health. The Notice of Intent to Remediate was published in *The Erie Times-News* on January 24, 2014.

**Buffalo & Pittsburgh Railroad Butler Terminal**, 100 B&P Lane, Butler and Summit Townships, **Butler County**. SE Technologies, LLC., 98 Vanadium Road, Bridgeville, PA 15017, on behalf of Buffalo & Pittsburgh Railroad, 100 B&P Lane, Butler, PA 16001, submitted a Notice of Intent to Remediate. Historic releases of petroleum products have occurred throughout the yard area. Areas investigated include the closed lube oil underground storage tank system and the former diesel fuel aboveground storage tank. Petroleum constituents analyzed in soil and groundwater include those identified in the Pennsylvania Department of Environmental Protection Petroleum Short List for diesel fuel and lube oil. The intended future use of the property will be industrial. The proposed remediation standard for the site will be Statewide Health. The Notice of Intent to Remediate was published in the *Butler Eagle* on February 13, 2014.

*Southwest Region: Environmental Cleanup & Brownfield Development Program Manager, 400 Waterfront Drive, Pittsburgh, Pa 15222-4745*

**XTO Energy Inc., Ansley-Daker #3 Well Site**, Davis Road, Home, PA 15747, Rayne Township, **Indiana**

**County.** Groundwater and Environmental Services, Inc. 301 Commerce Park Drive, Cranberry Township, PA 16066 on behalf of XTO Energy, Inc., 395 Airport Road, Indiana, PA 15701 has submitted a Notice of Intent to Remediate (NIR) on February 26, 2014 to meet: the residential Statewide Health Standard concerning site soils contaminated with aluminum, antimony, barium, beryllium, boron, cadmium, chromium, cobalt, iron, lead, mercury, nickel, selenium, silver, thallium, vanadium and zinc; the non-residential Statewide Health Standard for site soils concerning the contaminant arsenic; the Site Specific Standard for site soils contaminated with chloride and manganese. The future use of the property is expected to remain a natural gas production well for the foreseeable future. The notification of the NIR was published on February 6, 2014 in the *Indiana Gazette*.

**Three Crossings Redevelopment Project (27th and Railroad Street),** City of Pittsburgh, **Allegheny County.** Langan Engineering and Environmental Services, Inc., 601 Technology Drive, Suite 200, Canonsburg, PA 15317 on behalf of Three Crossings, LP, One Oxford Center, Suite 4500, Pittsburgh, PA 15219 has submitted a Notice of Intent to Remediate concerning site soils and groundwater contaminated with volatile and semi-volatile organic compounds (VOCs & SVOCs) and metals. Future use of the property will be residential. The notification of the NIR was published on February 11, 2014 in the *Pittsburgh Post-Gazette*.

#### INFECTIOUS AND CHEMOTHERAPEUTIC WASTE TRANSPORTER LICENSES

**Applications received or withdrawn under the Solid Waste Management Act (35 P. S. §§ 6018.101—6018.1003) and Act 93 of June 28, 1988 (P. L. 525, No. 93) and regulations to transport infectious and chemotherapeutic waste.**

*Central Office: Bureau of Waste Management, Division of Hazardous Waste Management, PO Box 69170, Harrisburg, PA 17106-9170*

##### *Renewal Applications Received*

**R. Mor Enterprises, Inc.,** 11 Harts Lane, Suite E, East Brunswick, NJ 08816. License No. PA-HC 0246. Received on October 9, 2013.

**Clean Harbors Environmental Services, Inc.,** 42 Longwater Drive, Norwell, MA 02061. License No. PA-HC0053. Received on October 15, 2013.

**UPMC Altoona,** 620 Howard Avenue, Altoona, PA 16601. License No. PA-HC0124. Received on September 17, 2013.

**JPS Equipment Company,** P.O. Box 788, 5038A West Chester Pike, Edgemont, PA 19028. License No. PA-HC0142. Received on January 29, 2014.

**Triumvirate Environmental, Inc.,** 200 Inner Belt Road, Somerville, MA 02143. License No. PA-HC0245. Received on February 6, 2014.

#### HAZARDOUS WASTE TREATMENT, STORAGE AND DISPOSAL FACILITIES

**Applications Received Under the Solid Waste Management Act and Regulations to Operate a Hazardous Waste Treatment, Storage or Disposal Facility.**

*Southeast Region: Regional Solid Waste Manager, 2 East Main Street, Norristown, PA 19401*

**PAD002312791. Honeywell Resins & Chemicals, LLC,** 2501 Margaret Street, Philadelphia, PA 19137. This Class 2 Permit modification application is to include four new hazardous waste codes (D010, D011, D035, and D039) in the RCRA Part B Permit to the facility's existing Solid Waste Permit No. (PAD002312791). The Honeywell Resins & Chemicals LLC Facility is a captive hazardous waste facility located at 2501 Margaret Street in the City of Philadelphia, Philadelphia County. The Application was received by the Southeast Regional Office on January 23, 2014.

#### DETERMINATION OF APPLICABILITY FOR MUNICIPAL WASTE GENERAL PERMITS

**Application(s) for Determination of Applicability Received Under the Solid Waste Management Act; the Municipal Waste Planning, Recycling and Waste Reduction Act (53 P. S. §§ 4000.101—4000.1904); and Residual Waste Regulations for a General Permit to Operate Residual Waste Processing Facilities and/or the Beneficial Use of Residual Waste Other Than Coal Ash**

*South Central Regional Office: Waste Management Program, 909 Elmerton Avenue, Harrisburg, PA 17110-8200.*

**General Permit No. WMGM044-SC001. Hollenbaugh's Trash and Recycling, LLC,** 65 Industrial Park Road, Lewistown, PA 17044-9342, Granville Township, **Mifflin County.** This Determination of Applicability under Municipal Waste General Permit No. WMGM044 is for the processing of unpainted and untreated wood waste; gypsum board; brick, block and concrete waste; various organic wastes; non-asbestos containing asphalt shingles; pallets; skids; saw dust; source segregated paper; cardboard and newspaper; plastic waste; scrap metal; unused structural sound building materials; and architectural elements. The processed waste materials are beneficial use as (a) mulch or wood chips for further processing off-site, (b) aggregate material in roadway construction, (c) soil conditioner or soil amendment, (d) alternative fuel, (e) animal bedding, or (f) distributed to wholesale outlets. This application was determined to be administratively complete on February 28, 2014.

Persons interested in reviewing the general permit may contact John Oren, Facilities Manager, Waste Management Program, 909 Elmerton Avenue, Harrisburg, PA 17110, (717) 705-4706. TDD users may contact the Department through the Pennsylvania Relay service, (800) 654-5984.

#### OPERATE WASTE PROCESSING OR DISPOSAL AREA OR SITE

**Application Received Under the Solid Waste Management Act, the Municipal Waste Planning, Recycling and Waste Reduction Act and Regulations to Operate Solid Waste Processing or Disposal Area or Site.**

*Southeast Region: Regional Solid Waste Manager, 2 East Main Street, Norristown, PA 19401*

**Permit Application No. 400682.** East Norriton Plymouth Whitpain Joint Sewer Authority, 200 Ross Street, Plymouth Meeting PA 19462-2740. This application is for 10-year permit renewal of the solid waste permit No. 400682 to continue to operate the East Norriton Plymouth Whitpain Joint Sewer Authority's municipal waste sewage sludge incinerator located in Plymouth Township,



**Montgomery County.** The application was received by the Southeast Regional Office on February, 28, 2014.

**Permit Application No. 101224. Waste Management of PA, Inc.,** 408 South Oak Avenue, Primos PA 19018-2736. This application is for 10-year permit renewal to continue operation at the Waste Management Delaware Valley-South Transfer Station, a municipal waste transfer facility, located at 408 South Oak Avenue, Primos, PA 19018, in Upper Darby Township, **Delaware County.** The application was received by the Southeast Regional Office on December 20, 2013.

## AIR QUALITY

### PLAN APPROVAL AND OPERATING PERMIT APPLICATIONS

#### NEW SOURCES AND MODIFICATIONS

The Department has developed an "integrated" plan approval, State Operating Permit and Title V Operating Permit program. This integrated approach is designed to make the permitting process more efficient for the Department, the regulated community and the public. This approach allows the owner or operator of a facility to complete and submit permitting documents relevant to its application one time, affords an opportunity for public input and provides for sequential issuance of the necessary permits.

The Department received applications for Plan Approval or Operating Permits from the following facilities.

Copies of these applications, subsequently prepared draft permits, review summaries and other support materials are available for review in the regional office listed before the applications. Persons interested in reviewing the application files should contact the appropriate regional office to schedule appointments.

Persons wishing to receive a copy of a proposed Plan Approval or Operating Permit shall indicate interests to the Department regional office within 30 days of the date of this notice and shall file protests or comments on a proposed Plan Approval or Operating Permit within 30 days of the Department providing a copy of the proposed documents to persons or within 30 days of its publication in the *Pennsylvania Bulletin*, whichever comes first. Interested persons may also request that hearings be held concerning a proposed Plan Approval or Operating Permit. A comment or protest filed with the Department regional office shall include a concise statement of the objections to the issuance of the Plan Approval or Operating Permit and relevant facts which serve as the basis for the objections. If the Department schedules a hearing, a notice will be published in the *Pennsylvania Bulletin* at least 30 days prior the date of the hearing.

Persons with a disability who wish to comment and require an auxiliary aid, service or other accommodation to participate should contact the regional office listed before the application. TDD users may contact the Department through the Pennsylvania AT&T Relay Service at (800) 654-5984.

Final Plan Approvals and Operating Permits will contain terms and conditions to ensure that the source is constructed and operating in compliance with applicable requirements in 25 Pa. Code Chapters 121—143, the Federal Clean Air Act (42 U.S.C.A. §§ 7401—7671q) and regulations adopted under the Federal Clean Air Act.

## PLAN APPROVALS

**Plan Approval Applications Received under the Air Pollution Control Act (35 P. S. §§ 4001—4015) and 25 Pa. Code Chapter 127, Subchapter B that may have special public interest. These applications are in review and no decision on disposition has been reached.**

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Edward Orris, New Source Review Chief—Telephone: 814-332-6636*

**24-167B: E Carbon America** (806 Theresia Street, Saint Marys, PA 15857) for modification of their facility operating conditions associated with operation of the control device established in plan approval 24-167A in Saint Marys City, **Elk County.** This is a Title V facility.

**25-1043A: Barrel O' Fun Snack Foods Co.,** East (821 Route 97 South, Waterford, PA 16441) for the proposed construction of 6 Batch Kettle Fryers (2,700 #/hr of chips), a Corn Puff Line, a Corn Popper, and a hot water boiler in Waterford Township, **Erie County.** This is a State Only facility.

**Intent to Issue Plan Approvals and Intent to Issue or Amend Operating Permits under the Air Pollution Control Act and 25 Pa. Code Chapter 127, Subchapter B. These actions may include the administrative amendments of an associated operating permit.**

*Southeast Region: Air Quality Program, 2 East Main Street, Norristown, PA 19401*

*Contact: Sachin Shankar, New Source Review Chief—Telephone: 484-250-5920*

**15-0015E: Sartomer USA, LLC** (610 South Bolmar Street, West Chester, PA 19382) for revision of permit conditions associated with Source IDs 111, 112, and 114 based on the provisions found in 40 CFR Part 63 Subpart GGG, although this facility is not subject to this subpart. The proposed changes do not involve installation of any new equipment or emission sources or modification of existing sources, and do not result in any emission increase from the affected source or the facility. This Plan Approval will contain all applicable requirements including monitoring, recordkeeping and reporting designed to keep the facility operating within all applicable air quality requirements.

**15-0143: Phoenixville Crematory, Inc.** (610 Main Street, Phoenixville, PA 19460) for installation of a human crematory at the existing Campbell-Ennis-Klotzbach Funeral Home in Phoenixville Borough, **Chester County.** The crematory is a dual chamber unit manufactured by Matthews Cremation Division. The Crematory contains the best available technology, to include; maximum operating temperatures, retention times, and using natural gas as a fuel. The Plan Approval also contains work practice standards, monitoring and recordkeeping requirements, and operating restrictions designed to keep the sources and facility operating within all applicable air quality requirements.

*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**67-03170A: Countryside Cremation Service LLC** (205 North Main Street, Spring Grove, PA 17362) for construction of a human crematory at their existing funeral home in Spring Grove Borough, **York County**.

In accordance with 25 Pa. Code §§ 127.44(a) and 127.45(a), the Department of Environmental Protection (DEP) has received an application and intends to issue a Plan Approval to the abovementioned company for the abovementioned project. This plan approval may be incorporated into the company's facility-wide permit via an administrative amendment at a later date.

Plan Approval 67-03170A authorizes the construction of a human crematory at the existing facility. Potential emissions from the unit's operation are estimated at 0.40 ton per year of sulfur oxides, 0.42 ton per year of nitrogen oxides and 0.98 ton per year of particulate matter. The Plan Approval and Operating permit will contain emission limits, along with monitoring, recordkeeping and reporting requirements to ensure the plant complies with the applicable air quality requirements. Potential particulate matter emissions from the proposed fabric filter are estimated at less than one ton per year.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed plan approval, or may provide the Department with additional information to consider in its review, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests.

William R. Weaver, Regional Air Quality Manager, may be contacted at 717-705-4702, or at DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments or protests.

**36-05002E: Armstrong World Industries, Inc.** (1067 Dillerville Road, Lancaster, PA 17604) for the installation of a new luxury vinyl tile line at their flooring plant in the City of Lancaster, **Lancaster County**.

In accordance with 25 Pa. Code §§ 127.44(a) and 127.45(a), the Department of Environmental Protection (DEP) has received an application, and intends to issue a Plan Approval to the abovementioned company for the abovementioned project. This plan approval may be incorporated into the company's facility-wide permit via an administrative amendment at a later date.

Plan Approval No. 36-05002E is for the installation of a luxury vinyl tile (LVT) line. The new line's maximum production capacity is 170 million square feet of tile per year. The LVT line will consist of raw material storage and handling, blanket forming, lamination, sizing, coating and curing, and edge detailing. The materials include process aids, limestone, resin scrap vinyl, plasticizers and protective coatings. Potential emissions from the LVT line are estimated to be: 0.71 tpy CO, 0.84 tpy NO<sub>x</sub>, 6.48 tpy PM/PM<sub>10</sub>/PM, 0.01 tpy SO<sub>x</sub>, 16.92 tpy VOC, & 1,0004.25

tpy CO<sub>2</sub>. The plan approval will contain monitoring, recordkeeping & work practice standards designed to keep the facility operating within all applicable air quality requirements.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed plan approval, or may provide the Department with additional information to consider in its review, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests, or for requests for a public hearing. A public hearing may be held, if the Department of Environmental Protection, in its discretion, decides that such a hearing is warranted based on the comments received.

Thomas Hanlon, Facilities Permitting Chief, may be contacted at 717-705-4862, or at PA DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments, protests, or requests for a public hearing.

Plan approvals issued to sources identified in 25 Pa. Code § 127.44(b)(1)–(4) or plan approvals issued to sources with limitations on the potential to emit may become part of the SIP, and will be submitted to EPA for review and approval.

*Northcentral Region: Air Quality Program, 208 West Third Street, Williamsport, PA 17701*

*Contact: Muhammad Q. Zaman, Environmental Program Manager—Telephone: 570-327-3648*

**41-00079B: Eureka Resources, LLC** (454 Pine Street, Williamsport, PA 17701) for modification of a gas well wastewater treatment operation to increase the allowable amount of volatile organic compounds and volatile hazardous air pollutants, as well as for the construction a methanol recovery operation at their Second Street facility located in Williamsport, **Lycoming County**. This is a state only facility for which an operating permit has been issued.

The Department's review of the information contained in the application submitted by Eureka Resources, LLC, indicates that the source will comply with all applicable air quality requirements pertaining to air contamination sources and the emission of air contaminants, including the fugitive air contaminant emission requirement of 25 Pa. Code § 123.1 and the malodor limitation of 25 Pa. Code § 123.31. Additionally, the Department has determined that the wastewater operation as proposed satisfies the best available technology (BAT) requirements, pursuant to 25 Pa. Code §§ 127.1 and 127.12. Pursuant to the requirements of BAT, the air contaminant emission from the wastewater treatment operation shall not exceed the following limitations: 9.27 tpy for volatile organic compounds, 3.53 tpy for volatile hazardous air pollutants and 2.64 tpy for methanol. The plan approval, if issued, will subsequently be incorporated into

the state only operating permit via an administrative amendment in accordance with 25 Pa. Code § 127.450 at a later date.

Based on the findings above, the Department proposes to issue a plan approval with monitoring, recordkeeping and work practice requirements to verify compliance with the annual emission limitations. In addition to the emission limitations above, the following is a summary of the types of conditions the Department intends to place in Plan Approval 41-00079B to ensure compliance with applicable Federal and State regulatory requirements including the best available technology requirements of 25 Pa. Code §§ 127.1 and 127.12.

Conditions to limit the amount of wastewater treated in any 12 consecutive month period.

Recordkeeping and reporting requirements to ensure compliance with emissions and throughput limitations.

Work practice requirement to require the installation of covers on several process tanks.

Work practice requirement to specify how high methanol-containing wastewater is to be treated.

The potential air contaminate emissions from all sources at the Second Street facility will be 20.13 tpy for nitrogen oxides (NO<sub>x</sub>), 26.04 tpy for carbon monoxide, 0.09 tpy for sulfur oxides (SO<sub>x</sub>), 1.83 tpy for particulate matter, 10.23 tpy for volatile organic compounds, 3.86 tpy for hazardous air pollutants and 2.64 tpy for methanol.

A person may oppose the proposed plan approval, or may provide the Department with additional information to consider in its review, or may request a public hearing, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, Identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period from the date of publication of this notice in the *Pennsylvania Bulletin* will exist for the submission of comments or protests. David M. Shimmel, P.E., Chief, New Source Review Section, may be contacted at 570-327-3568, or at PA DEP Air Quality Program, 208 West Third Street, Suite 101, Williamsport, Pa 17701, for additional information or for the submission of comments or protests.

### OPERATING PERMITS

#### Intent to Issue Title V Operating Permits under the Air Pollution Control Act and 25 Pa. Code Chapter 127, Subchapter G.

*Southeast Region: Air Quality Program, 2 East Main Street, Norristown, PA 19401*

*Contact: Janine Tulloch-Reid, Facilities Permitting Chief—Telephone: 484-250-5920*

**46-00037: Global Advanced Metals USA, Inc.** (650 County Line Road, Boyertown, PA) for renewal of the Title V Operating Permit in Douglass Township, **Montgomery County**. The initial permit was issued on 12-31-2001. As a result of potential emissions of NO<sub>x</sub>, VOCs and HAP, the facility is a major stationary source as defined in Title I, Part D of the Clean Air Act Amendments, and is therefore subject to the Title V permitting requirements adopted in 25 Pa. Code Chapter 127, Subchapter G. The proposed Title V Operating Permit Renewal

contains all up-to-date applicable requirements including monitoring, recordkeeping and reporting.

*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**06-05036: Cryovac, Inc.** (P. O. Box 295, Reading, PA 19603) for operation of their expandable polystyrene foam products manufacturing facility in Muhlenberg Township, **Berks County**. This action is a renewal of the Title V Operating Permit issued in 2009.

In accordance with 25 Pa. Code §§ 127.424 and 127.425 the Department of Environmental Protection (DEP) has received an application and intends to issue an Air Quality Operating Permit for the abovementioned facility.

The facility's actual emissions for 2012 were reported 579.0 tpy VOC, 0.1 tpy of combined HAPs & 0.1 tpy of a single HAP. The operating permit will include emission limits and work practice standards along with monitoring, recordkeeping and reporting requirements to ensure the facility complies with the applicable air quality regulations. Among other items, the conditions include provisions derived from 40 CFR 63, Subpart ZZZZ—National Emissions Standards for Hazardous Air Pollutants for Stationary Reciprocating Internal Combustion Engines.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at the PA DEP Southcentral Regional Office, at 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed operating permit, or may provide the Department with additional information to consider in its review, or may request a public hearing, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests.

Thomas Hanlon, Facilities Permitting Chief, may be contacted at 717-705-4862, or at PA DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments or protests.

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Matthew Williams, Facilities Permitting Chief—Telephone: 814-332-6131*

**61-00011: Merisol Antioxidants, LLC** (292 State Route 8, Oil City, PA 16301-5626) for renewal of a Title V Permit to operate an industrial organic chemical manufacturing facility in Cornplanter Township, **Venango County**. The facility's major emission sources include Source ID # 035: Gas / Oil Boiler # 5, Source ID # 101: Eclipse Furnace, Source ID # 102: Krystall unit North & South dryer, South ID # 107: 314 & 340 Distillation column vents, Source ID # 108: Creek side diesel fire pump, Source ID # 109: North side diesel fire pump, Source ID # 110: BHT Packaging, Source ID # 125A:

Krystall Unit process vessels, Source ID # 175: M-Cresol distillation column & associate equipment, Source ID # 177: Cold cleaning parts cleaners (2), Source ID # 2225: Vessel 2225, Source ID #3003: Pelletizer unit, Source ID # FUG: Facility VOC fugitives, Source ID # PVAC: Pnevuvac product/fines conveying system, Source ID # T1220: Heads storage tank, Source ID # T2236: Polymer storage tank, Source ID # T2238: Polymer storage tank, Source ID # T5665, Source ID # TK121: Isobutylene storage tank, Source ID # TK422: Alkylate storage tank, Source ID # TK423: Alkylate storage tank and, Source ID # Alkylate storage tank. The facility has a Title V status because the emissions of VOC from the facility are greater than the Title V threshold limit of 50 Tons per year. The emergency fire water pump engines are subject to 40 CFR Part 63, Subpart ZZZZ. All applicable conditions of Subpart ZZZZ are included in the permit. The oil fueled Boiler is subject to 40 CFR Part 63, Subpart JJJJJJ. All applicable conditions of Subpart 6J are included in Source ID # 035: Oil fueled Boiler. The facility submitted the Potential to emit plant emissions in Tons per Year (3209 MTPY Meta cresol production) as part of Plan Approval 61-011C. The facility potential emissions are: NO<sub>x</sub>: 10.4 Tons per year (TPY), VOC: 52.4 TPY, PM-10/ PM 2.5: 7.5 TPY / 7.5 TPY, SO<sub>x</sub>: 0.06 TPY, CO: 10.4 TPY, Cresol: 1.30 TPY, Toluene: 0.46 TPY

**Intent to Issue Operating Permits under the Air Pollution Control Act and 25 Pa. Code Chapter 127, Subchapter F.**

*Southcentral Region: Air Quality Program, 2 East Main Street, Norristown, PA 19428*

*Contact: Janine Tulloch-Reid, Facilities Permitting Chief—Telephone: 484-250-5920*

**46-00179: Tuscan Lehigh Dairies LP** (880 Allentown Road, Lansdale, PA 19946-5206) for a renewal of a State Only, Natural Minor Operating Permit in Upper Gwynedd Township, **Montgomery County**. The facility operates two (2) dual-fired, 12.6 MMBtu/hr boilers. There have been no changes made to any of the existing sources. The permit will include monitoring, record keeping and reporting requirements to address all applicable air quality requirements.

*Northeast Region: Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18711-0790*

*Contact: Ray Kempa, New Source Review Chief—Telephone: 570-826-2507*

**48-00012: American Nickeloid Co.** (131 Cherry Street, Walnutport, PA 18088-1608) for operation of an electro-plating facility in Walnut Borough, **Northampton County**. This is the renewal of a State-only operating Permit. The State-Only operating permit includes emissions, work practice standards and testing, monitoring, recordkeeping and reporting requirements designed to keep the facility operating within all applicable air quality requirements.

**40-00082: Reading Materials, Inc.** (PO Box 196, 2052 Lucon Road, Skippack, PA 19474-0196) to issue a renewal (Synthetic Minor) operating permit for operation of a batch asphalt plant and associated air cleaning device in Foster Township, **Luzerne County**. The facility is limiting production throughput rate of asphalt to 400,000 tons per year in order to maintain Synthetic Minor status. The proposed operating permit contains all applicable Federal and State regulations including emissions, monitoring, record keeping, reporting and work practice requirements.

**40-00069: Independent Refining Co, LLC** (99 Stevens Lane, Exeter, PA 18643-1232) to issue a renewal operating permit for a silver recovery facility in Exeter Borough, **Luzerne County**. The proposed operating permit contains all applicable Federal and State regulations including emissions, monitoring, record keeping, reporting and work practice requirements.

*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**06-05096: Reading Health System** (P. O. Box 16052, Reading, PA 19612-6052) for Reading Hospital in West Reading Borough, **Berks County**.

In accordance with 25 Pa. Code §§ 127.424 and 127.425 the Department of Environmental Protection (DEP) has received an application and intends to issue an Air Quality Operating Permit for the abovementioned facility.

In 2013 the subject facility had actual emissions of 31 tons of NO<sub>x</sub>, 14 tons of SO<sub>2</sub>, 15 tons of CO, 2 tons of PM, 3 tons of VOC and 24,441 tons of GHG. The Operating Permit will include emission limits and work practice standards along with monitoring, recordkeeping and reporting requirements to ensure the facility complies with the applicable air quality regulations. Among other items, the conditions include provisions derived from 25 Pa. Code 129.63 (Degreasing Operations), 40 CFR 60 Subpart Dc (Standards of Performance for Small Industrial-Commercial-Institutional Steam Generating Units) and 40 CFR 60 Subpart KKKK (Standards of Performance for Stationary Combustion Turbines).

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at the PA DEP Southcentral Regional Office, at 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed operating permit, or may provide the Department with additional information to consider in its review, or may request a public hearing, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests.

Thomas Hanlon, Facilities Permitting Chief, may be contacted at 717-705-4862, or at PA DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments or protests.

**36-03078: Hamilton Precision Metals, Inc.** (1780 Rohrerstown Road, Lancaster, PA 17601) for operation of a metal rolling and finishing manufacturing facility in East Hempfield Township, **Lancaster County**. This is a renewal of the State-only operating permit issued in November 2009.

In accordance with 25 Pa. Code §§ 127.424 and 127.425 the Department of Environmental Protection (DEP) has received an application and intends to issue an Air Quality Operating Permit for the abovementioned facility.

Potential emissions from the facility are estimated to be around 0.48 tpy CO, 2.92 tpy NO<sub>x</sub>, 0.28 tpy PM<sub>10</sub>, 0.01 tpy SO<sub>x</sub>, & 7.35 tpy VOC. The Operating Permit will include emission limits and work practice standards along with monitoring, recordkeeping and reporting requirements to ensure the facility complies with the applicable air quality regulations. Among other items, the conditions include provisions derived from 40 CFR 60, Subpart JJJJ—Standards of Performance for Stationary Spark Ignition Internal Combustion Engines.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at the PA DEP Southcentral Regional Office, at 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed operating permit, or may provide the Department with additional information to consider in its review, or may request a public hearing, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests.

Thomas Hanlon, Facilities Permitting Chief, Air Quality Program, may be contacted at 717-705-4862, or at PA DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments or protests.

**36-03108: North American Bristol Pipe Corp.—Leola** (88 Newport Rd., Leola, PA 17540) for their plastic pipe manufacturing facility in Upper Leacock Township, **Lancaster County**.

In accordance with 25 Pa. Code §§ 127.424 and 127.425 the Department of Environmental Protection (DEP) has received an application and intends to issue an Air Quality Operating Permit renewal for the abovementioned facility.

The actual VOC and PM emissions of the facility are less than one ton per year. The Operating Permit will include emission limits and work practice standards along with monitoring, recordkeeping and reporting requirements to ensure the facility complies with the applicable air quality regulations. A 9.4 HP emergency generator at facility is subject to 40 CFR Part 60, Subpart JJJJ—Standards of Performance for Stationary Spark Ignition Internal Combustion Engines.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at the PA DEP Southcentral Regional Office, at 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed operating permit, or may provide the Department with additional information to consider in its review, or may request a public hearing, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests. A public hearing may be held, if the Department of Environmental Protection, in its discretion, decides that such a hearing is warranted based on the comments received.

Gary Helsel, Acting New Source Review Chief, may be contacted at 814-949-7935, or at PA DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments or protests.

**07-05033: Grannas Bros Stone Asphalt Co., Inc.** (P. O. Box 488, Hollidaysburg, PA 16648) for operation of a limestone crushing plant and asphalt plant in Catharine Township, **Blair County**.

In accordance with 25 Pa. Code §§ 127.424 and 127.425 the Department of Environmental Protection (DEP) has received an application and intends to issue an Air Quality Operating Permit renewal for the abovementioned facility.

The 2013 actual emissions of the facility were 19.3 tons of PM per year, 53.4 tons of CO per year, 13.7 tons of NO<sub>x</sub> per year, 1.6 tons of SO<sub>x</sub> per year, and 19.7 ton of VOC per year. The Operating Permit will include emission limits and work practice standards along with monitoring, recordkeeping and reporting requirements to ensure the facility complies with the applicable air quality regulations. The facility is subject to 40 CFR Part 60, Subpart I-Standard of Performance for Hot Mix Asphalt Facilities, and 40 CFR Part 60, Subpart OOO—Standards of Performance for Nonmetallic Mineral Processing Plants. The 125 HP diesel fired John Deere generator is subject to 40 CFR Part 63, Subpart ZZZZ—National Emissions Standards for Hazardous Air Pollutants for Stationary Reciprocating Internal Combustion Engines.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at the PA DEP Southcentral Regional Office, at 909 Elmerton Avenue, Harrisburg, PA 17110.

A person may oppose the proposed operating permit, or may provide the Department with additional information to consider in its review, or may request a public hearing, by filing a written protest with the Department at the address listed above. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit by the permit number listed above and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A 30-day comment period, from the date of publication of this notice in the *Pennsylvania Bulletin*, will exist for the submission of comments or protests. A public hearing may be held, if the Department of Environmental Protection, in its discretion, decides that such a hearing is warranted based on the comments received.

Gary Helsel, Acting New Source Review Chief, may be contacted at 814-949-7935, or at PA DEP Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110, for additional information or for the submission of comments or protests.

*Southwest Region: Air Quality Program, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

*Contact: Barbara Hatch, Facilities Permitting Chief—Telephone: 412-442-4174*

**65-00378: Buckeye Terminals LLC** (134 BP Tank Lane, Greensburg, PA 15601) for a Synthetic Minor Operating Permit renewal for the operation of a bulk gasoline transfer terminal, known as the Greensburg Terminal, located in Hempfield Township, **Westmoreland County**.

The facility contains air contamination sources consisting of five gasoline storage tanks, with storage capacities of 7,300, 16,200, 16,500, 16,500, and 60,595 barrels (bbl, 1 barrel petroleum = 42 US gallons), one ethanol tank with a capacity of 7,300 bbl, four distillate storage tanks with capacities of 4,500, 4,500, 7,300, 8,300, and 51,000 bbl, and gasoline and distillate tank truck loading racks. Gasoline loaded at the facility is limited to 173,200,000 gallons per year and distillate loading is limited to 80,000,000 gallons per year. A vapor recovery unit controls VOC emissions from the loading racks and an internal floating roof in each gasoline or ethanol storage tank also controls emissions of VOC. Facility emissions are 48.4 tons per year of VOC, 2.1 tons per year of benzene, and 3.7 tons per year of all HAPS combined. The facility is limited to a maximum opacity from any processing equipment of 20 percent. The facility is subject to applicable requirements of 25 Pa. Code Chapters 121—145, 40 CFR 60, Subparts A (General Provisions) and Kb (Standards of Performance for Volatile Organic Liquid Storage Vessels Including Petroleum Liquid Storage Vessels) for Which Construction, Reconstruction, or Modification Commenced After July 23, 1984), and 40 CFR 63, Subparts A (General Provisions) and BBBB (National Emission Standards for Hazardous Air Pollutants for Source Category: Gasoline Distribution Bulk Terminals, Bulk Plants, and Pipeline Facilities). The permit includes emission limitations, and operational, monitoring, testing, reporting and recordkeeping requirements for the facility.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at the Department's Southwest Regional Office, 400 Waterfront Drive, Pittsburgh, PA 15222. Appointments for scheduling a review must be made by calling 412-442-4000.

Any person may submit comments, requests for the Department to hold a public hearing, or protests to the operating permit or a proposed condition thereof, by filing such submissions in writing to the Department at the Southwest Regional Office. A 30-day comment period from the date of this publication will exist for the submission of comments.

All comments, requests for a public hearing, and protests to a proposed action, shall be filed with the Department within 30 days of the date that notice of the proposed action was published under 25 Pa. Code § 127.424 (relating to public notice). A protest must include the name, address and telephone number of the person filing the protest, identification of the proposed permit issuance being opposed (Operating Permit 65-00378) and a concise statement of the objections to the permit issuance and the relevant facts upon which the objections are based.

A public hearing may be held in accordance with 25 Pa. Code § 127.429, if the Department, in its discretion, decides that such a hearing is warranted based on the information received. If a public hearing is held, all persons who have properly filed a protest under 25 Pa. Code § 127.426 may appear and give testimony. The applicant, the protestant and other participants will be notified of the decision to hold a hearing (and the time,

place and purpose of such hearing) by publication in the newspaper or by the *Pennsylvania Bulletin*, or by telephone, where the Department determines such notification by telephone is sufficient.

Written comments, protests and requests for a public hearing should be directed to Martin L. Hochhauser, P.E., Air Quality Engineering Specialist, Department of Environmental Protection, Southwest Regional Office, 400 Waterfront Drive, Pittsburgh, PA 15222. For additional information concerning the permit or the issuance procedure, contact Martin Hochhauser at (412) 442-4057.

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Edward Orris, New Source Review Chief—Telephone: 814-332-6131*

**20-00264: Salt Painting, Inc.** (17918 Highway 198, Saegertown, PA 16433-3640) intends to re-issue the referenced permit for this abrasive blasting and surface coating operation, located in Hayfield Township, **Crawford County**.

Potential emissions from this facility are as follows. VOCs = 30.2 tons per year (TPY), Particulate Matter = 0.5 TPY, NO<sub>x</sub> = 5.2 TPY, and SO<sub>x</sub> = 0.4 TPY.

Because this facility is not a major source of HAP emissions, they are not subject to the provisions of Subpart MMMM—National Emission Standards for Hazardous Air Pollutants: Surface Coating of Miscellaneous Metal Parts and Products.

This facility could potentially be subject to the requirements of Subpart HHHHHH—National Emission Standards for Hazardous Air Pollutants: Paint Stripping and Miscellaneous Surface Coating Operations at Area Sources. Because this facility does not use methylene chloride (MeCl) for paint stripping or use surface coating that contain any of the target HAPs [chromium (Cr), lead (Pb), manganese (Mn), nickel (Ni), or cadmium (Cd)], they are not subject to the requirements of Subpart HHH-HHH.

**42-00215: Kane Area School District—Kane Area High School** (400 West Hemlock Avenue, Kane, PA 16735-1644) to re-issue a Natural Minor Operating Permit for this educational facility in Wetmore Township, **McKean County**. The facility's primary emissions are from a Wood Fired Boiler and (4) Natural Gas Fired Boilers used to provide comfort heat and hot water to the school. There is also an Emergency Power Generator to provide limited power in the event of a power outage.

The Wood Fired Boiler at this facility is subject to the requirements of 40 CFR 63, Subpart JJJJJJ, National Emission Standards for Hazardous Air Pollutants for Industrial, Commercial and Institutional Boilers at Area Sources. These standards will be met by performing periodic tune-ups of the boiler and maintaining and operating the source according to the manufacturer's specification.

The potential emissions from this facility, if all boilers were operated year round, are as follows. SO<sub>x</sub> = 1.0 ton per year (TPY), Particulate Matter = 7.7 TPY, NO<sub>x</sub> = 17.0 TPY, VOC = 1.0 TPY, CO = 23.0 TPY, Total HAPs = <1.0 TPY.

**43-00251: Component Inter-Technologies Hadley, Inc.** (2426 Perry Highway, Hadley, PA 16130) to renew a State Only Operating Permit for their facility in Perry Township, **Mercer County**. The facility is a Natural Minor. The primary sources at the facility include several

natural gas fueled space heaters used for building heat, a natural gas fueled emergency generator, 3 cold cleaning parts washers, and a vapor degreaser which uses N-Propyl Bromide as a solvent. The potential emissions from the facility for all criteria pollutants are less than the Title V thresholds. The emergency generator is subject to 40 CFR Part 63 Subpart ZZZZ, the NESHAP for RICE. The renewal permit contains emission restrictions, recordkeeping, work practice, and additional requirements to ensure compliance with the Clean Air Act and the Air Pollution Control Act.

#### PLAN APPROVALS

**Receipt of Plan Approval Applications and Intent to Issue Plan Approvals, and Intent to Issue Amended Operating Permits under the Air Pollution Control Act and 25 Pa. Code Chapter 127, Subchapter B And Subchapter F. These actions may include the administrative amendments of an associated operating permit.**

*Northeast Region: Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18711-0790*

*Contact: Ray Kempa, New Source Review Chief—Telephone: 570-826-2507*

**40-00036A: SAPA Extruder, Inc.** (330 Elmwood Avenue, Crestwood Industrial Park, Mountaintop, PA 18707) for their facility in Wright Township, **Luzerne County**.

In accordance with 25 Pa. Code §§ 127.44(a) and 127.45(a), that the Department of Environmental Protection (DEP) has received and intends to issue a Plan Approval to SAPA Extruder, Inc. (330 Elmwood Ave, Crestwood Industrial Park, Mountaintop, PA 18707 for their facility located in Wright Twp, Luzerne County. This Plan Approval No. 40-00036A will be incorporated into a Synthetic Minor Permit through an administrative amendment at a later date.

Plan Approval No. 40-00036A is for an Anodizing Dip Tank with a Tri-Mer FS-8 cross flow wet scrubber. The company shall be subject to and comply with 25 Pa. Code § 123.31 for malodorous emissions. These limits will meet BAT requirements for this source. The Plan Approval and Operating permit will contain additional recordkeeping and operating restrictions designed to keep the facility operating within all applicable air quality requirements.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18701-1915.

Any person(s) wishing to provide DEP with additional information, which they believe should be considered prior to the issuance of this permit, may submit the information to the address shown in the preceding paragraph. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit No.: 40-00036A and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A public hearing may be held, if the Department of Environmental Protection, in its discretion, decides that such a hearing is warranted based on the comments received. All persons submitting comments or requesting a hearing will be notified of the decision to hold a hearing by publication in the newspaper or the *Pennsylvania Bulletin* or by telephone, where DEP determines such

notification is sufficient. Written comments or requests for a public hearing should be directed to Ray Kempa, Chief, New Source Review Section, Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18701-1915, Phone # 570-826-2511 within 30 days after publication date.

**54-00080A: Hexcell Pottsville Corp.** (PO Box 179, Pottsville, PA 17901) for their facility in East Norwegian Township, **Schuylkill County**.

In accordance with 25 Pa. Code §§ 127.44(a) and 127.45(a), that the Department of Environmental Protection (DEP) has received and intends to issue a Plan Approval to Hexcell Pottsville Corp. (PO Box 179, Pottsville, PA 17901) for their facility located in East Norwegian Twp, Schuylkill County. This Plan Approval No. 54-00080A will be incorporated into a Synthetic Minor Permit through an administrative amendment at a later date.

Plan Approval No. 54-00080A is for a honeycomb core process used to manufacture aerospace components with a Torit fabric collector for control. The company shall be subject to and comply with 25 Pa. Code § 123.31 for malodorous emissions. These limits will meet BAT requirements for this source. The Plan Approval and Operating permit will contain additional recordkeeping and operating restrictions designed to keep the facility operating within all applicable air quality requirements.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18701-1915.

Any person(s) wishing to provide DEP with additional information, which they believe should be considered prior to the issuance of this permit, may submit the information to the address shown in the preceding paragraph. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit No.: 54-00080A and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A public hearing may be held, if the Department of Environmental Protection, in its discretion, decides that such a hearing is warranted based on the comments received. All persons submitting comments or requesting a hearing will be notified of the decision to hold a hearing by publication in the newspaper or the *Pennsylvania Bulletin* or by telephone, where DEP determines such notification is sufficient. Written comments or requests for a public hearing should be directed to Ray Kempa, Chief, New Source Review Section, Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18701-1915, Phone 570-826-2511 within 30 days after publication date.

**35-00067A: Maid-Rite Specialty Foods LLC** (107 Keystone Industrial Park, PO Box 172, Dunmore, PA 18512-0172) for their facility in Scott Township, **Lackawanna County**. This Plan Approval No. 35-00067A will be incorporated into a Natural Minor Permit through an administrative amendment at a later date.

In accordance with 25 Pa. Code §§ 127.44(a) and 127.45(a), the Department of Environmental Protection (DEP) has received and intends to issue a Plan Approval to Maid-Rite Specialty Foods LLC (107 Keystone Industrial Park, PO Box 172, Dunmore, PA 18512-0172) for their facility in Scott Township, Lackawanna County.

This Plan Approval No. 35-00067A will be incorporated into a Natural Minor Permit through an administrative

amendment at a later date. Plan Approval No. 35-00067A is for the construction of a new cooking line at the facility. Emissions will be controlled by the use of a demister unit followed by a carbon filter bank. The company shall be subject to and comply with 25 Pa. Code § 123.41 for Visible emissions. The facility is subject to 25 Pa. Code § 127.12 (a) (5) Best Available Technology (BAT) requirements. The company shall be subject to and comply with 25 Pa. Code § 123.31 for malodorous emissions. These limits will meet BAT requirements for this source. The Plan approval and Operating Permit will include testing, monitoring, record keeping and reporting requirements designed to keep the sources operating within all applicable air quality requirements.

Copies of the application, DEP's analysis and other documents used in the evaluation of the application are available for public review during normal business hours at Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18701-1915.

Any person(s) wishing to provide DEP with additional information, which they believe should be considered prior to the issuance of this permit, may submit the information to the address shown in the preceding paragraph. Each written comment must contain the name, address and telephone number of the person submitting the comments, identification of the proposed permit No.: 35-00067A and a concise statement regarding the relevancy of the information or objections to the issuance of the permit.

A public hearing may be held, if the Department of Environmental Protection, in its discretion, decides that such a hearing is warranted based on the comments received. All persons submitting comments or requesting a hearing will be notified of the decision to hold a hearing by publication in the newspaper or the *Pennsylvania Bulletin* or by telephone, where DEP determines such notification is sufficient. Written comments or requests for a public hearing should be directed to Ray Kempa, Chief, New Source Review Section, Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18701-1915, Phone 570-826-2511 within 30 days after publication date.

**40-00061A: International Paper Co.** (533 Forest Road, Hazleton, PA 18202) for replacement and operation of one (1) die cutter and permit inventory updates to the current facility container and box manufacturing process at their facility in Hazle Township, **Luzerne County**. The Plan Approval and Operating Permit shall include emission restrictions, monitoring, record keeping, and reporting requirements designed to ensure this facility complies with all applicable air quality regulations.

## COAL AND NONCOAL MINING ACTIVITY APPLICATIONS

Applications under the Surface Mining Conservation and Reclamation Act (52 P. S. §§ 1396.1—1396.19a); the Noncoal Surface Mining Conservation and Reclamation Act (52 P. S. §§ 3301—3326); The Clean Streams Law (35 P. S. §§ 691.1—691.1001); the Coal Refuse Disposal Control Act (52 P. S. §§ 30.51—30.66); and The Bituminous Mine Subsidence and Land Conservation Act (52 P. S. §§ 1406.1—1406.20a). Mining activity permits issued in response to such applications will also address the applicable permitting requirements of the following statutes: the Air Pollution Control Act (35 P. S. §§ 4001—4015); the Dam Safety and Encroachments Act (32 P. S. §§ 693.1—693.27); and the Solid Waste Management Act (35 P. S. §§ 6018.101—6018.1003).

The following permit applications to conduct mining activities have been received by the Department. A copy of the application is available for inspection at the district mining office indicated before each application. Notices of requests for 401 Water Quality Certifications are included in individual application notices, as noted.

Written comments or objections, or requests for an informal conference, or a public hearing, as applicable, on a mining permit application and request for Section 401 water quality certification application may be submitted by any person or any officer or head of any Federal, state or local government agency or authority to the Department at the address of the district mining office indicated before each application within 30 days of this publication, or within 30 days after the last publication of the applicant's newspaper advertisement as provided by 25 Pa. Code §§ 77.121—77.123 and 86.31—86.34.

Written comments or objections regarding a mining permit application should contain the name, address and telephone number of persons submitting comments or objections, application number and a statement of sufficient detail to inform the Department on the basis of comment or objection and relevant facts upon which it is based.

A request for an informal conference or a public hearing, as applicable, on a mining permit application, as provided by 25 Pa. Code § 77.123 or § 86.34, must contain the name, address and telephone number of the requestor; the application number; a brief summary of the issues to be raised by the requestor at the conference; and a statement whether the requestor desires to have the conference conducted in the locality of the proposed mining activities.

When an NPDES number is listed, the mining activity permit application was accompanied by an application for an individual NPDES permit. A separate notice will be provided after the draft NPDES permit is prepared.

### *Coal Applications Received*

*California District Office: 25 Technology Drive, Coal Center, PA 15423, 724-769-1100*

**32031301 and NPDES No. PA0235580. Rosebud Mining Company**, (301 Market Street, Kittanning, PA 16201-9642). To revise the permit for the Lowry Deep Mine in White and Center Townships, **Indiana County** to add underground permit and subsidence control plan acres. Underground Acres Proposed 4,116.7, Subsidence Control Plan Acres Proposed 2,908.7. No additional discharges. The application was considered administratively complete on February 26, 2014. Application received January 28, 2014.

**32991301 and NPDES No. PA0215228. AMFIRE Mining Company, LLC**, (One Energy Place, Latrobe, PA 15650). To revise the permit for the Nolo Deep Mine in Buffington and Pine Townships, **Indiana County** to add underground permit and subsidence control plan acres. Underground Acres Proposed 2,116.0, Subsidence Control Plan Acres Proposed 2,215.0. No additional discharges. The application was considered administratively complete on February 28, 2014. Application received December 23, 2013.

*Cambria District Mining Office: 286 Industrial Park Road, Ebensburg, PA 15931, 814-472-1900*

**Permit No. 32803010 and NPDES No. PA0124834. CONSOL Mining Co., LLC**, 1000 Consol Energy Drive, Canonsburg, PA 15317, permit renewal for reclamation only of a bituminous surface mine in Blacklick Township,



**Indiana County**, affecting 89.9 acres. Receiving stream: Unnamed tributary to Aultman's Run classified for the following use: trout stocked fishery. The first downstream potable water supply intake from the point of discharge is Saltsburg Borough Indiana County Municipal Waterworks Conemaugh River SWI. Application received: February 5, 2014.

**Permit No. 32030105 and NPDES No. PA0249131. P&N Coal Company, Inc.**, P.O. Box 332, Punxsutawney, PA 15767, permit renewal for reclamation only of a bituminous surface and auger mine in East Mahoning Township, **Indiana County**, affecting 54.0 acres. Receiving stream: Little Mahoning Creek Watershed classified for the following use: high quality cold water fishery. There are no potable water supply intakes within 10 miles downstream. Application received: February 11, 2014.

**Permit No. 32030110 and NPDES No. PA0269352. Fossil Fuel, Inc.**, 690 Weaver Road, Marion Center, PA 15759, permit renewal for the continued operation and restoration of a bituminous surface and auger mine in East Mahoning and Grant Townships, **Indiana County** affecting 43.0 acres. Receiving stream: unnamed tributary to Little Mahoning Creek classified for the following use: High Quality Cold Water Fishery. There are no potable water supply intakes within 10 miles downstream. Application received: February 12, 2014.

**Permit No. 4074SM28 and NPDES No. PA0599123. PBS Coals, Inc.**, P.O. Box 260, Friedens, PA 15541, revision of an existing bituminous surface and auger mine to change the land use from Woodland to unmanaged Natural Habitat in Summit Township, **Somerset County**

affecting 377.2. Receiving streams: Casselman River and unnamed tributaries to/and Bigby Creek, classified for the following use: cold water fisheries. There are no potable water supply intakes within 10 miles downstream. Application received: February 12, 2014.

*Moshannon District Mining Office: 186 Enterprise Drive, Philipsburg, PA 16866, 814-342-8200*

**17020112 and NPDES No. PA0243337. Junior Coal Contracting, Inc.** (2330 Six Mile Road, Philipsburg, PA 16866). Permit renewal of an existing bituminous surface and auger mine in Decatur Township, **Clearfield County** affecting 228 acres. Receiving stream(s): Big Run, Shimel Run, and Unnamed Tributary to Moshannon Creek classified for the following use(s): Cold Water Fishes. Application received: February 21, 2014.

*Pottsville District Mining Office: 5 West Laurel Boulevard, Pottsville, PA 17901, 570-621-3118*

**Permit No. 40990201R3. Jeddo-Highland Coal Company**, (46 Public Square, Suite 600, Wilkes-Barre, PA 18701), renewal of an existing anthracite coal refuse reprocessing operation in Hanover and Wilkes-Barre Townships and Laurel Run Borough, **Luzerne County** affecting 194.4 acres, receiving streams: Spring Run and Soloman Creek, classified for the following uses: cold water and migratory fishes. Application received: February 18, 2014.

*Noncoal Applications Received*

*Effluent Limits*—The following effluent limits will apply to NPDES permits issued in conjunction with a noncoal mining permit:

Table 2

Parameter	30-day Average	Daily Maximum	Instantaneous Maximum
Suspended solids	10 to 35 mg/l	20 to 70 mg/l	25 to 90 mg/l
Alkalinity exceeding acidity* pH*		greater than 6.0; less than 9.0	

\* The parameter is applicable at all times.

A settleable solids instantaneous maximum limit of 0.5 ml/l applied to surface runoff resulting from a precipitation event of less than or equal to a 10-year 24-hour event. If coal will be extracted incidental to the extraction of noncoal minerals, at a minimum, the technology-based effluent limitations identified under coal applications will apply to discharges of wastewater to streams.

*Cambria District Mining Office: 286 Industrial Park Road, Ebensburg, PA 15931, 814-472-1900*

**Permit No. 56980301 and NPDES No. PA0234991, Keystone Lime Company**, P.O. Box 278, Springs, PA 15562, renewal of NPDES permit in Addison and Elk Lick Townships, **Somerset County**. Receiving streams: unnamed tributary to/and Christener Run and unnamed tributary to Zehner Run classified for the following use: High Quality Cold Water Fishery. There are no potable water supply intakes within 10 miles downstream. Application received: February 14, 2014.

**Permit No. 6875SM3 and NPDES No. PA0612383, New Enterprise Stone & Lime Co., Inc.**, dba Eastern Industries, Inc., 4401 Camp Meeting Road, Suite 200, Center Valley, PA 18034, renewal of NPDES permit in Armagh Township, **Mifflin County**. Receiving stream: unnamed tributary to Honey Creek classified for the following use: High Quality cold water fishery. There are no potable water supply intakes within 10 miles downstream. Application received: February 20, 2014.

*Pottsville District Mining Office: 5 West Laurel Boulevard, Pottsville, PA 17901, 570-621-3118*

**Permit No. 8275SM1C5 and NPDES Permit No. PA0594601. Pennsy Supply, Inc.**, (1001 Paxton Street, Harrisburg, PA 17105), renewal of NPDES Permit for discharge of treated mine drainage from a quarry operation in West Hempfield Township, **Lancaster County** affecting 55.9 acres, receiving stream: unnamed tributary to Chickies Creek, classified for the following use: warm water fishes. Application received: February 18, 2014.

**Permit No. 35002801. Walter Stocki Equipment Rentals**, (167 Sussex Street, Old Forge, PA 18518), Stage I & II bond release of a quarry operation in Old Forge Borough, **Lackawanna County** affecting 5.0 acres on property owned by Alliance Sanitary Landfill. Application received: February 21, 2014.

### MINING ACTIVITY NPDES DRAFT PERMITS

This notice provides information about applications for a new, amended or renewed NPDES permits associated with mining activity (coal or noncoal) permits. The applications concern industrial waste (mining) discharges to surface water and discharges of stormwater associated with mining activities. This notice is provided in accordance with 25 Pa. Code Chapters 91 and 92a and 40 CFR Part 122, implementing provisions of The Clean Streams Law (35 P.S. §§ 691.1—691.1001) and the Federal Clean Water Act (33 U.S.C.A. §§ 1251—1376).

The Department of Environmental Protection (Department) has prepared a draft NPDES permit and made a tentative determination to issue the NPDES permit in conjunction with the associated mining activity permit.

#### *Effluent Limits for Coal Mining Activities*

For coal mining activities, NPDES permits, when issued, will contain effluent limits that are the more stringent of technology-based (BAT) effluent limitations or Water Quality Based Effluent Limits (WQBEL).

The BAT limits for coal mining activities, as provided in 40 CFR Part 434 and 25 Pa. Code Chapters 87—90 are as follows:

<i>Parameter</i>	<i>30-Day Average</i>	<i>Daily Maximum</i>	<i>Instantaneous Maximum</i>
Iron (Total)	3.0 mg/l	6.0 mg/l	7.0 mg/l
Manganese (Total)	2.0 mg/l	4.0 mg/l	5.0 mg/l
Suspended solids	35 mg/l	70 mg/l	90 mg/l
pH*		greater than 6.0; less than 9.0	
Alkalinity greater than acidity*			

\* The parameter is applicable at all times.

In addition, the Department imposes a technology-based aluminum limit of 2.0 mg/l (30 day average) to protect stream uses.

A settleable solids instantaneous maximum limit of 0.5 ml/l applies to: surface runoff (resulting from a precipitation event of less than or equal to a 10-year 24-hour event) from active mining areas; active areas disturbed by coal refuse disposal activities; mined areas backfilled and revegetated; and all other discharges and drainage (resulting from a precipitation event of greater than 1-year 24-hour to less than or equal to a 10-year 24-hour event) from coal refuse disposal piles. Similarly, modified BAT limits apply to iron, manganese and suspended solids in surface runoff, discharges and drainage resulting from these precipitation events and those of greater magnitude in accordance with 25 Pa. Code §§ 87.102, 88.92, 88.187, 88.292, 89.52 and 90.102.

Exceptions to BAT effluent limits may be applicable in accordance with 25 Pa. Code §§ 87.102, 88.92, 88.187, 88.292, 89.52 and 90.102.

#### *Effluent Limits for Noncoal Mining Activities*

The BAT limits for noncoal mining activities as provided in 40 CFR Part 436 and 25 Pa. Code Chapter 77 are as follows:

<i>Parameter</i>	<i>30-day Average</i>	<i>Daily Maximum</i>	<i>Instantaneous Maximum</i>
Suspended solids	35 mg/l	70 mg/l	90 mg/l
Alkalinity exceeding acidity*		greater than 6.0; less than 9.0	
pH*			

\* The parameter is applicable at all times.

Discharges from noncoal mines located in some geologic settings (for example, in the coal fields) may require additional water quality based effluent limits. If additional effluent limits are needed for an NPDES permit associated with a noncoal mining permit, then the permit description specifies the parameters.

In addition to BAT or WQBEL limits, coal and noncoal NPDES permits establish effluent limitations in the form of implemented Best Management Practices (BMPs) identified in the associated Erosion and Sedimentation Plan, the Reclamation Plan and the NPDES permit application. These BMPs restrict the rates and quantities of associated pollutants from being discharged into surface waters in this Commonwealth.

More restrictive effluent limitations, restrictions on discharge volume or restrictions on the extent of mining that may occur are incorporated into an NPDES permit when necessary for compliance with water quality standards and antidegradation requirements (in accordance with 25 Pa. Code Chapters 91—96).

The procedures for determining the final effluent limits, using a mass-balance equation or model, are found in Technical Guidance Document 362-0600-001, NPDES Program Implementation—Memorandum of Understanding (MOU) Concerning Water Quality Management, NPDES Program Implementation, and Related Matters. Other specific factors to be considered include public comments and Total Maximum Daily Load(s). Additional discharge limitations may apply in the event that unexpected discharges occur.

Discharge rates for surface mining activities are precipitation driven. Discharge rates for proposed discharges associated with underground mining are noted in the permit description.

Persons wishing to comment on an NPDES draft permit should submit a written statement to the Department at the address of the district mining office indicated before each draft permit within 30 days of this public notice. Comments received within the comment period will be considered in the final determinations regarding the NPDES permit applications. Comments must include the name, address and telephone number of the writer and a concise statement to inform the Department of the exact basis of a comment and the relevant facts upon which it is based.

The Department will also accept requests or petitions for a public hearing on NPDES permit applications, as provided in 25 Pa. Code § 92a.82(d). The request or petition for a public hearing shall be filed within 30 days of this public notice and contain the name, address, telephone number and the interest of the party filing the request, and state the reasons why a hearing is warranted. A public hearing may be held if the Department considers the public interest significant. If a hearing is scheduled, a notice of the hearing on the NPDES permit application will be published in the *Pennsylvania Bulletin* and a newspaper of general circulation within the relevant geographical area. When a public hearing is held, the Department will consider comments from the public hearing in the final determination on the NPDES permit application.

*Coal NPDES Draft Permits*

*Cambria District Mining Office: 286 Industrial Park Road, Ebensburg, PA 15931, 814-472-1900*

**NPDES No. PA025547 (Mining Permit No. 32813031), Indiana Investments, Inc.**, 301 Market Street, Kittanning, PA 16201, renewal of an NPDES permit for bituminous surface mine in Center Township, **Indiana County**, affecting 59.1 acres. Receiving stream: unnamed tributary to Tearing Run, classified for the following use: cold water fishery. This receiving stream is included in the Kiski-Conemaugh TMDL. Application received: December 18, 2013.

Unless otherwise noted for a specific outfall, the proposed effluent limits for all outfalls in this permit are the BAT limits described above for coal mining activities.

The outfalls listed below discharge to unnamed tributary to Tearing Run:

<i>Outfall Nos.</i>	<i>New Outfall (Y/N)</i>
001	N
002	N

The proposed effluent limits for the above listed outfall(s) are as follows:

<i>Outfalls: 001, 002</i>	<i>30-Day</i>	<i>Daily</i>	<i>Instant.</i>
<i>Parameter</i>	<i>Average</i>	<i>Maximum</i>	<i>Maximum</i>
Iron (mg/l)	3.0	6.0	7.0
Manganese (mg/l)	2.0	4.0	5.0
Aluminum (mg/l)	XXX	XXX	5.0
Total Suspended Solids (mg/l)	35.0	70.0	90.0
pH (S.U.): Must be between 6.0 and 9.0 standard units at all times			
Alkalinity must exceed acidity at all times			

**NPDES No. PA0597724 (Mining Permit No. 11860104), Cooney Brothers Coal Co.**, P.O. Box 246, Cresson, PA 16630, renewal of an NPDES permit for reclamation only mine in Conemaugh Township, **Somerset County**, affecting 456.0 acres. Receiving streams: Bear Run and unnamed tributaries to and Little Conemaugh River, classified for the following use: cold water fishery. This receiving stream is included in the Kiski-Conemaugh River TMDL. Application received: August 29, 2013.

Unless otherwise noted for a specific outfall, the proposed effluent limits for all outfalls in this permit are the BAT limits described above for coal mining activities.

The treated wastewater outfalls listed below discharge to unnamed tributaries to and Little Conemaugh River:

<i>Outfall Nos.</i>	<i>New Outfall (Y/N)</i>
001	N
002	N
003	N
004	N

The proposed effluent limits for the above listed outfalls are as follows:

<i>Outfalls: 001, 002, 003 &amp; 004</i>	<i>30-Day</i>	<i>Daily</i>	<i>Instant.</i>
<i>Parameter</i>	<i>Average</i>	<i>Maximum</i>	<i>Maximum</i>
Iron (mg/l)	3.0	6.0	7.0
Manganese (mg/l)	2.0	4.0	5.0
Aluminum (mg/l)	2.0	4.0	5.0
Total Suspended Solids (mg/l)	35.0	70.0	90.0
Osmotic Pressure (milliosmoles/kg)	50.0	50.0	50.0
pH (S.U.): Must be between 6.0 and 9.0 standard units at all times			
Alkalinity must exceed acidity at all times			

**NPDES No. PA0599581 (Mining Permit No. 07920101), E.P. Bender Coal Company, Inc.**, P.O. Box 594 Carrolltown, PA 15722, renewal of an NPDES permit for discharges resulting from surface coal mining in Allegheny Township, **Blair County**, affecting 474 acres. Receiving streams: unnamed tributaries to/and Sugar Run, classified for the following use: Cold Water Fisheries. This receiving stream is included in the Beaverdam Branch Watershed TMDL. Application received: February 3, 2014.

The outfalls listed below discharge to unnamed tributaries to/and Sugar Run:

<i>Outfall Nos.</i>	<i>New Outfall (Y/N)</i>
001	N
002	N
003	N
004	N
005	N
006	N
007	N
008	N
009	N
010	N
011	N
012	N
013	N
014	N

The proposed effluent limits for the above listed outfall(s) are as follows:

<i>Outfalls: 001—006 (Treatment Ponds)</i>	<i>30-Day</i>	<i>Daily</i>	<i>Instant.</i>
<i>Parameter</i>	<i>Average</i>	<i>Maximum</i>	<i>Maximum</i>
Iron (mg/l)	1.9	3.8	4.7
Manganese (mg/l)	1.9	3.8	4.7
Aluminum (mg/l)	0.75	1.5	1.8
Total Suspended Solids (mg/l)	35.0	70.0	90.0
pH (S.U.): Must be between 6.0 and 9.0 standard units at all times			
Alkalinity must exceed acidity at all times			
<i>Outfalls: 007—014 (Sediment Ponds, Dry Weather)</i>	<i>30-Day</i>	<i>Daily</i>	<i>Instant.</i>
<i>Parameter</i>	<i>Average</i>	<i>Maximum</i>	<i>Maximum</i>
Iron (mg/l)	3.0	6.0	7.0
Manganese (mg/l)	2.0	4.0	5.0
Aluminum (mg/l)	2.0	4.0	5.0
Total Suspended Solids (mg/l)	35.0	70.0	90.0
pH (S.U.): Must be between 6.0 and 9.0 standard units at all times			
Alkalinity must exceed acidity at all times			
<i>Outfalls: 007—014 (Sediment Ponds, &gt;10-yr/24-hr Precip. Event)</i>	<i>30-Day</i>	<i>Daily</i>	<i>Instant.</i>
<i>Parameter</i>	<i>Average</i>	<i>Maximum</i>	<i>Maximum</i>
Iron (mg/l)	N/A	N/A	7.0
Total Settleable Solids (ml/l)	N/A	N/A	0.5
pH (S.U.): Must be between 6.0 and 9.0 standard units at all times			
Alkalinity must exceed acidity at all times			

*Noncoal NPDES Draft Permits*

*Pottsville District Mining Office: 5 West Laurel Boulevard, Pottsville, PA 17901, 570-621-3118*

**NPDES Permit No. PA0224227 on Surface Mining Permit No. 38020301. Greater Lebanon Refuse Authority**, (1610 Russell Road, Lebanon, PA 17046), renewal of an NPDES Permit for a subsoil/borrow area quarry operation in North Annville and North Lebanon Townships, **Lebanon County**, affecting 58.0 acres. Receiving streams: unnamed tributary to Swatara Creek and Union Canal (No TMDL), classified for the following use: warm water fishes. Application received: January 14, 2013.

Unless otherwise noted for a specific outfall, the proposed effluent limits for all outfalls in this permit are BAT limits described above for noncoal mining activities.

The outfall(s) listed below discharge to unnamed tributary to Swatara Creek and Union Canal.

<i>Outfall No.</i>	<i>New Outfall Y/N</i>	<i>Type</i>
006	No	E&S
007	No	E&S

**NPDES Permit No. PA0594601 on Surface Mining Permit Nos. 8275SM1 and 36910302. Pennsy Supply, Inc.,** (1001 Paxton Street, PO Box 3331, Harrisburg, PA 17105), renewal of an NPDES Permit for a limestone quarry operation in West Hempfield Township, **Lancaster County**, affecting 115.0 acres. Receiving stream: unnamed tributary to Chickies Creek (TMDL for nutrients/siltation due to agriculture), classified for the following use: warm water fishes. Application received: February 18, 2014.

Unless otherwise noted for a specific outfall, the proposed effluent limits for all outfalls in this permit are BAT limits described above for noncoal mining activities.

The outfalls listed below discharge to unnamed tributaries to Chickies Creek.

<i>Outfall No.</i>	<i>New Outfall Y/N</i>	<i>Type</i>
001	No	E&S/O.D.
002	No	O.D.

## FEDERAL WATER POLLUTION CONTROL ACT, SECTION 401

The following permit applications, requests for Environmental Assessment approval and requests for 401 Water Quality Certification have been received by the Department. Section 401 of the Federal Water Pollution Control Act (FWPCA) (33 U.S.C.A. § 1341) requires the Commonwealth to certify that the involved projects will not violate the sections 301—303, 306 and 307 of the FWPCA (33 U.S.C.A. §§ 1311—1313, 1316 and 1317) as well as relevant State requirements. Persons objecting to approval of a request for certification under section 401 of the FWPCA, the issuance of a Dam Permit or Water Obstruction and Encroachment Permit or the approval of an Environmental Assessment shall submit comments, suggestions or objections within 30 days of the date of this notice as well as any questions to the office noted before an application. Comments should contain the name, address and telephone number of the person commenting, identification of the certification request to which the comments or objections are addressed and a concise statement of comments, objections or suggestions including the relevant facts upon which they are based.

The Department may conduct a fact-finding hearing or an informal conference in response to comments if deemed necessary. Each individual will be notified, in writing, of the time and place of a scheduled hearing or conference concerning the certification request to which the comment, objection or suggestion relates. Maps, drawings and other data pertinent to the certification request are available for inspection between 8 a.m. and 4 p.m. on working days at the office noted before the application.

Persons with a disability who wish to attend the hearing and require an auxiliary aid, service or other accommodation to participate in the proceedings should contact the specified program. TDD users may contact the Department through the Pennsylvania AT&T Relay Service at (800) 654-5984.

**Applications Received under the Dam Safety and Encroachments Act (32 P. S. §§ 693.1—693.27) and section 302 of the Flood Plain Management Act (32 P. S. § 679.302) and Requests for Certification under section 401(a) of the FWPCA.**

### WATER OBSTRUCTIONS AND ENCROACHMENTS

*Southeast Region: Waterways and Wetlands Program Manager, 2 East Main Street, Norristown, PA 19401, Telephone 484-250-5900*

**E15-847. Uwchlan Township**, 715 N. Ship Road, Exton, PA 19341-1945, Uwchlan and West Whiteland Townships, **Chester County**, ACOE Philadelphia District.

To place, operate, and maintain approximately 1.26 acre of fill in and along the assumed 100-year floodway of Lionville Run and Pine Creek, associated with the SR 0100, section 02L road project, widening from an existing four lane highway to a six lane highway.

The project limits are from the intersection of Swedesford Road and extending north approximately 2.3 miles to the intersection of Welsh Pool Road (Downingtown, PA, USGS map, Latitude 40°2'59", Longitude -75°38'9").

*Northeast Region: Waterways and Wetlands Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915, Telephone 570-826-2511.*

**E48-428. City of Bethlehem**, 10 East Church Street, Bethlehem, PA 18018, in City of Bethlehem, **Northampton County**, U.S. Army Corps of Engineers, Philadelphia District.

To construct and maintain a stream restoration project in a 1,000-foot reach of Monocacy Creek

(HQ-CWF, MF) with work consisting of:

1. removing existing floodway and floodplain structures;
2. modification of existing floodway check dams
3. placement of in-stream random boulders;
4. plantings along the streambanks in floodway and floodplain;
5. placement of seven toe wood bank stabilization structures;
6. placement of five log sill structures
7. graded bankfull floodplain areas;
8. excavation and backfill in various areas of the channel and embankments;
9. placement of rock apron.

The project is located in Illicks Mill Park and begins upstream of the intersection of Monocacy Creek Road and Illicks Mill Road (Catasauqua, PA Quadrangle: Latitude 40° 38' 16"; Longitude 75° 22' 25).

**E58-302. Department of Transportation, Engineering District 4-0**, 55 Keystone Industrial Park, Dunmore, PA 18512, Liberty Township, Susquehanna County, Army Corps of Engineers, Baltimore District.

To relocate approximately 995 feet of Snake Creek with work consisting of the placement of a 10-foot rock veneer with R-8 rip rap along the left bank, two cross vanes, and four J-hooks. The project will also be placing coir logs, live stakes and native plantings for the stabilization of the stream banks and floodplain. The project is located at S.R. 0029, Segment 0510, Offset 1158, (Franklin Forks,

PA Quadrangle, Latitude: 41° 59' 28" N; Longitude: -76° 47' 52"W) in Liberty Township, Susquehanna County.

*Northcentral Region: Waterways & Wetlands Program Manager, 208 West Third Street, Williamsport, PA 17701, 570-327-3636*

**E19-303. Pennsylvania Department of Transportation, Engineering District 3-0**, 715 Jordan Ave, Montoursville, PA 17754. SR 0239, Section 018 Bridge Replacement and Channel Improvement in Sugarloaf Township, **Columbia County**, ACOE Baltimore District (Benton, PA Quadrangle; Latitude: 41°14'15"; Longitude -76°23'52").

PA DOT Engineering District 3-0 proposes to replace a single span concrete bridge with a single span concrete spread box beam bridge. The existing bridge has a span of 32.27 Ft., a skew of 42 degrees, an underclearance of 4.79 Ft., a low chord of 855.65 Ft. and a hydraulic opening of 154 Ft<sup>2</sup>. The proposed bridge has a span of 35.28 Ft., a skew of 42 degrees, an underclearance of 4.95 Ft., a low chord of 855.95 Ft. and a hydraulic opening of 174 Ft<sup>2</sup>. In addition, PA DOT proposed to improve the stream alignment. Approximately 67 Ft. of stream will be realigned adjacent to the proposed structure. This is a minor realignment that will improve the stream approach and floodplain connectivity. Approximately 160 Ft. of stream will have toe-rock and live stakes placed along the bank for stabilization. A 36 inch pipe will also be installed under the roadway to help connect the floodplain on both sides of SR 0239. The project will temporarily impact 0.11 acre and permanently impact 0.03 acre of wetlands. The wetland impacts will be mitigated with onsite plantings. The West Creek is classified as a Trout Stream Fishery by Title 25, Chapter 93 Water Quality Standards. This project will not require mitigation.

**E53-445. Pennsylvania Department of Transportation, Engineering District 2-0**, 1924 Daisy Street Extension, Clearfield, PA 16830. SR 0044 Section A06 Bridge Replacement and Intersection Improvement in Hebron Township, **Potter County**, ACOE Ohio District (Oswayo, PA Quadrangle; Latitude: 41°54'11"; Longitude -78°04'00").

PA DOT Engineering District 2-0 proposes to replace a two span concrete T-beam bridge with a single span concrete bulb T-beam bridge. The existing bridge has a span of 53.27 Ft., a skew of 90 degrees, an underclearance of 7.0 Ft., a low chord of 1,607.58 Ft. and a hydraulic opening of 380 Ft<sup>2</sup>. The proposed bridge has a span of 84.77 Ft., a skew of 60 degrees, an underclearance of 6.8 Ft., a low chord of 1,607.52 Ft. and a hydraulic opening of 515 Ft<sup>2</sup>. The proposed structure will be located 30 Ft. upstream of the existing structure. In addition, PA DOT proposed to improve the alignment with SR 0244. The project will temporarily impact 0.01 acre and permanently impact 0.05 acre of wetlands. The wetland impacts will be mitigated with onsite plantings. The South Branch of Oswayo Creek is classified as an Exceptional Value Stream by Title 25, Chapter 93 Water Quality Standards.

**F60-001. Lewisburg Borough**, 55 South Fifth Street, Suite 1, Lewisburg, PA 17837. Floodplain encroachment demolitions (5) in the Borough of Lewisburg, **Union County**. Lewisburg Borough is seeking authorization to demolish existing floodplain encroachments (flood damaged structures) and to re-grade the floodplain at the following locations. (US ACOE Baltimore District)

44 South Sixth Street, Lewisburg, PA 17837-Lewisburg Quadrangle, Lat.: 40° 57' 42.3"N; Long.: -76° 47' 13.3"W.

54 South Sixth Street, Lewisburg, PA 17837-Lewisburg Quadrangle, Lat.: 40° 57' 41.5"N; Long.: -76° 53' 13.1"W.

108/110 South Sixth Street, Lewisburg, PA 17837-Lewisburg Quadrangle, Lat.: 40° 57' 39.8"N; Long.: -76° 53' 11.4"W.

138/140 South Sixth Street, Lewisburg, PA 17837-Lewisburg Quadrangle, Lat.: 40° 57' 57.2"N; Long.: -76° 53' 09.7"W.

204/206 South Sixth Street, Lewisburg, PA 17837-Lewisburg Quadrangle, Lat.: 40° 57' 37.5"N; Long.: -76° 53' 08.9"W.

*District Oil & Gas Operations: Eastern Oil & Gas District, 208 West Third Street, Suite 101, Williamsport, PA 17701*

**E0829-096: Talisman Energy USA, Inc.**, 337 Zenker Drive, Horseheads, NY 14845, Warren Township, **Bradford County**, ACOE Baltimore District.

To construct, operate and maintain:

1. a 20 and 16 inch diameter natural gas line, a 6 inch waterline and a temporary timber mat bridge impacting 73 linear feet of an unnamed tributary to Wappasening Creek (CWF, MF) and impacting 5,758 square feet of an adjacent Palustrine Emergent Wetland (Little Meadows, PA Quadrangle, Latitude: 41°56'09", Longitude: -76°09'35");

2. a 20 and 16 inch diameter natural gas line and a 6 inch waterline impacting 3,542 square feet of a Palustrine Emergent Wetland (Little Meadows, PA Quadrangle, Latitude: 41°56'16", Longitude: -76°09'08");

3. a 20 and 16 inch diameter natural gas line, a 6 inch waterline and a temporary timber mat bridge impacting 74 linear feet of an unnamed tributary to Wappasening Creek (CWF, MF) and impacting 4,828 square feet of an adjacent Palustrine Emergent and Palustrine Scrub-Shrub Wetland (Little Meadows, PA Quadrangle, Latitude: 41°56'16", Longitude: -76°09'03");

4. a 20 and 16 inch diameter natural gas line, a 6 inch waterline and a temporary timber mat bridge impacting 12,555 square feet of a Palustrine Emergent and Palustrine Scrub-Shrub Wetland (Little Meadows, PA Quadrangle, Latitude: 41°56'15", Longitude: -76°09'00");

5. a 20 and 16 inch diameter natural gas line, a 6 inch waterline and a temporary timber mat bridge impacting 900 square feet of a Palustrine Emergent Wetland (Little Meadows, PA Quadrangle, Latitude: 41°56'13", Longitude: -76°08'55");

The project will result in 147 linear feet or 1,434 square feet of temporary stream impacts and impacts 21,289 square feet (0.49 acre) of temporary PEM and 6,294 square feet (0.14 acre) of PSS wetland impacts all for the purpose of installing a natural gas pipeline with associated access roadways for Marcellus shale development in Warren Township, Bradford County.

**E5829-070. Talisman Energy USA, Inc.**; 337 Daniel Zenker Drive, Horseheads, NY 14845; Apolaccon Township, **Susquehanna County**, ACOE Baltimore District.

To construct, operate, and maintain:

1. One 12 inch diameter steel natural gas pipeline, one 6 inch diameter waterline, and a timber mat bridge crossing impacting 213 linear feet of an unnamed tributary to Apalachin Creek (CWF, MF) (Little Meadows, PA Quadrangle: 41° 58' 14" N; -76° 08' 16" W),

2. One 12 inch diameter steel natural gas pipeline and one 6 inch diameter waterline crossing impacting 1,980 square feet (0.05 acre) of a palustrine forested wetland (PFO) (Little Meadows, PA Quadrangle: 41° 58' 13" N; -76° 08' 16" W),

3. One 12 inch diameter steel natural gas pipeline and one 6 inch diameter waterline crossing impacting 2,017 square feet (0.05 acre) of a palustrine forested wetland (PFO) (Little Meadows, PA Quadrangle: 41° 58' 09" N; -76° 08' 20" W),

4. One 12 inch diameter steel natural gas pipeline, one 6 inch diameter waterline, and a timber mat bridge crossing impacting 64 lineal feet of an unnamed tributary to Apalachin Creek (CWF, MF) (Little Meadows, PA Quadrangle: 41° 58' 09" N; -76° 08' 20" W),

5. One 12 inch diameter steel natural gas pipeline, one 6 inch diameter waterline, and a timber mat bridge crossing impacting 40 lineal feet of an unnamed tributary to Apalachin Creek (CWF, MF) (Little Meadows, PA Quadrangle: 41° 58' 08" N; -76° 08' 20" W),

6. One 12 inch diameter steel natural gas pipeline and one 6 inch diameter waterline crossing impacting 1,044 square feet (0.02 acre) of a palustrine forested wetland (PFO) (Little Meadows, PA Quadrangle: 41° 58' 08" N; -76° 08' 21" W).

The project consists of constructing approximately 0.97 mile of 12" steel natural gas gathering line and a 6" waterline connecting a well sites located in Apolacon Township, Susquehanna County and Warren Township, Bradford County. The Apolacon Township portion of the project will result in 317 lineal feet of temporary stream impacts, 5,041 square feet (0.12 acre) of wetland conversion impacts, all for the purpose of conveyance of Marcellus Shale natural gas to market.

**E0829-093. Talisman Energy USA, Inc.;** 337 Daniel Zenker Drive, Horseheads, NY 14845; Warren Township, Bradford County, ACOE Baltimore District.

To construct, operate, and maintain:

1. One 12 inch diameter steel natural gas pipeline and one 6 inch diameter waterline crossing impacting 3,611 square feet (0.08 acre) of a palustrine emergent wetland (PEM) (Little Meadows, PA Quadrangle: 41° 57' 58" N; -76° 08' 42" W).

The project consists of constructing approximately 0.97 mile of 12" steel natural gas gathering line and a 6" waterline connecting a well sites located in Apolacon Township, Susquehanna County and Warren Township, Bradford County. The Warren Township portion of the project will result in 3,611 square feet (0.08 acre) of temporary wetland impacts, all for the purpose of conveyance of Marcellus Shale natural gas to market.

#### DAM SAFETY

*Central Office: Bureau of Waterways Engineering and Wetlands, Rachel Carson State Office Building, Floor 3, 400 Market Street, P.O. Box 8460, Harrisburg, PA 17105-8460*

**D63-145. Range Resources—Appalachia, LLC,** 3000 Town Center Blvd, Canonsburg, PA 15317. Range Resources is proposing to construct, operate, and maintain Carns SR 50 Impoundment Dam in the South Fork Cross Creek Watershed (HQ-WWF) for the purpose of storing recycled water associated with natural gas production. The dam will be constructed off-stream and will have no wetland or stream impacts. (Avella, PA Quadrangle; Latitude: 40.287; Longitude: -80.385) Cross Creek Township, Washington County.

## ACTIONS

### THE PENNSYLVANIA CLEAN STREAMS LAW AND THE FEDERAL CLEAN WATER ACT

#### FINAL ACTIONS TAKEN FOR NPDES PERMITS AND WQM PERMITS

The Department has taken the following actions on previously received applications for new, amended and renewed NPDES and WQM permits, applications for permit waivers and NOIs for coverage under General Permits. This notice of final action is provided in accordance with 25 Pa. Code Chapters 91 and 92a and 40 CFR Part 122, implementing provisions of The Clean Streams Law (35 P.S. §§ 691.1—691.101) and the Federal Clean Water Act (33 U.S.C.A. §§ 1251—1376).

<i>Location</i>	<i>Permit Authority</i>	<i>Application Type or Category</i>
Section I	NPDES	Renewals
Section II	NPDES	New or Amendment
Section III	WQM	Industrial, Sewage or Animal Wastes; Discharges to Groundwater
Section IV	NPDES	MS4 Individual Permit
Section V	NPDES	MS4 Permit Waiver
Section VI	NPDES	Individual Permit Stormwater Construction
Section VII	NPDES	NOI for Coverage under NPDES General Permits

Sections I—VI contain actions regarding industrial, animal or sewage wastes discharges, discharges to groundwater, and discharges associated with MS4, stormwater associated with construction activities and CAFOs. Section VII contains notices for parties who have submitted NOIs for Coverage under General NPDES Permits. The approval for coverage under these General NPDES Permits is subject to applicable effluent limitations, monitoring, reporting requirements and other conditions in each General Permit. The approval of coverage for land application of sewage sludge or residential septage under applicable general permit is subject to pollutant limitations, pathogen and vector attraction reduction requirements, operational standards, general requirements, management practices and other conditions in the respective permit. The permits and related documents, effluent limitations, permitting requirements and other information are on file and may be inspected and arrangements made for copying at the contact office noted before the action.

Persons aggrieved by an action may appeal that action to the Environmental Hearing Board (Board) under section 4 of the Environmental Hearing Board Act (35 P.S. § 7514) and 2 Pa.C.S. §§ 501—508 and 701—704 (relating to

Administrative Agency Law). The appeal should be sent to the Environmental Hearing Board, Second Floor, Rachel Carson State Office Building, 400 Market Street, PO Box 8457, Harrisburg, PA 17105-8457, (717) 787-3483. TDD users may contact the Board through the Pennsylvania Relay Service, (800) 654-5984. Appeals must be filed with the Board within 30 days of publication of this notice in the *Pennsylvania Bulletin* unless the appropriate statute provides a different time period. Copies of the appeal form and the Board's rules of practice and procedure may be obtained from the Board. The appeal form and the Board's rules of practice and procedure are also available in Braille or on audiotape from the Secretary to the Board at (717) 787-3483. This paragraph does not, in and of itself, create a right of appeal beyond that permitted by applicable statutes and decisional law.

For individuals who wish to challenge an action, the appeal must reach the Board within 30 days. A lawyer is not needed to file an appeal with the Board.

Important legal rights are at stake, however, so individuals should contact a lawyer at once. Persons who cannot afford a lawyer may qualify for free pro bono representation. Call the Secretary to the Board at (717) 787-3483 for more information.

### I. NPDES Renewal Permit Actions

*Northeast Regional Office: Clean Water Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915. Phone: 570.826.2511.*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed No.)</i>	<i>EPA Waived Y/N?</i>
PA0052426 (Sewage)	Schnecksville North STP Schneck Road & Spruce St. Schnecksville, PA 18078	Lehigh County North Whitehall Township	Unnamed Tributary to Coplay Creek (2-C)	Y
PA0052132 (Sewage)	Parkland School District Orefield Middle School STP 2675 Pa Route 309 Orefield, PA 18069	Lehigh County South Whitehall Township	Jordan Creek (TSF)	Y

*Southcentral Region: Clean Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone: 717-705-4707.*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed #)</i>	<i>EPA Waived Y/N?</i>
PA0081884 (Sew)	Cuttin Company LLC 25 Sandoe Road Gettysburg, PA 17325	Adams County Straban Township	UNT to Beaverdam Creek / 7-F	Y
PA0081337 (Sew)	ATG Properties LLC PO Box 677 Morgantown, PA 19543	York County Newberry Township	UNT of Conewago Creek / 7-F	Y
PA0261122 (SFTF Sew)	Train Collectors Association PO Box 248 Strasburg, PA 17579	Lancaster County Paradise Township	UNT to Pequea Creek / 7-K	Y
PA0011371 Amendment No 1 GWCU—Transfer	Stanley Black & Decker 1000 Stanley Drive New Britain, CT 06053	Berks County Reading City	Schuylkill River / 3-C	Y

*Northcentral Region: Clean Water Program Manager, 208 West Third Street, Williamsport, PA 17701*

<i>NPDES No. (Type)</i>	<i>Facility Name &amp; Address</i>	<i>County &amp; Municipality</i>	<i>Stream Name (Watershed #)</i>	<i>EPA Waived Y/N?</i>
PA0111635 (IW)	Spring Township Municipal Authority Water System Brick Plant Road Beavertown, PA 17813	Snyder County Beaver Township	Kern Run (6-A)	Y
PA0032816 (Sewage)	PA DOT—I80 Rest Area 33 STP Rest Area # 33 Lock Haven, PA 17745	Clinton County Greene Township	Fishing Creek (9-C)	Y
PA0228401 (CAFO)	Schrack Farms Partnership CAFO 860 West Valley Road Loganton, PA 17747	Clinton County Greene Township	Unnamed Tributary to Fishing Creek (9-C)	N



Southwest Regional Office: Regional Clean Water Program Manager, 400 Waterfront Drive, Pittsburgh, PA 15222-4745

NPDES No. (Type)	Facility Name & Address	County & Municipality	Stream Name (Watershed No.)	EPA Waived Y/N?
PA0025810 Amendment No. 1 (Sewage)	Shade Central City Joint Authority SR 0160 Central City, PA 15926	Somerset County Shade Township	Dark Shade Creek (18-E)	N
PA0252603 (Sewage)	Millers Run STP 100 Creedmore Road Cecil, PA 15321	Washington County Cecil Township	Unnamed Tributary to Millers Run (20-F)	Y
PA0216950 (Industrial Waste)	Creswell Hts Joint Authority 3961 Jordan Street South Heights, PA 15081-0301	Beaver County South Heights Borough	Ohio River (20-G)	Y
PA0252662 (Industrial Waste)	Central Indiana County Water Authority 30 E Wiley Street Homer City, PA 15748	Indiana County Center Township	Yellow Creek (18-D)	Y

Northwest Region: Clean Water Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481

NPDES No. (Type)	Facility Name & Address	County & Municipality	Stream Name (Watershed #)	EPA Waived Y/N ?
PA0222356 (IW)	Penn Union Electric Connectors 229 Waterford Street Edinboro, PA 16412	Erie County Edinboro Borough	Darrows Creek (16-A)	Y
PA0221091 (IW)	ELCAM Tool & Die 479 Buena Vista Highway Wilcox, PA 15870	Elk County Jones Township	Unnamed Tributary to the West Branch Clarion River (17-A)	Y

**II. New or Expanded Facility Permits, Renewal of Major Permits and EPA Nonwaived Permit Actions**

Southeast Region: Clean Water Program Manager, 2 East Main Street, Norristown, PA 19401. Telephone 484-250-5970

**NPDES Permit No. PA0050377 A-2**, Industrial, **Johnson Matthey, Inc.**, 900 River Road, Conshohocken, PA 19428.

This proposed facility is located in Upper Merion Township, **Montgomery County**.

Description of Proposed Action/Activity: Approval for the amendment of an NPDES permit to discharge from a facility known as Riverside Facility to Matsunk Creek in Watershed 3-F.

Northcentral Region: Clean Water Program Manager, 208 West Third Street, Williamsport, PA 17701

**NPDES Permit No. PA0233544**, CAFO, SIC Code 0213, **Joel D. Knoebel**, 110 Center School Road, Elysburg, PA 17824.

This proposed facility is located in Cleveland Township, **Columbia County**.

Description of Proposed Action/Activity: Issuance of an NPDES Permit for an existing swine facility.

**PA0208752**, Industrial Wastewater, SIC Code 0273, **Brigham Daniel J**, 515 Millheim Narrows, Rebersburg, PA 16872. Facility Name: Elk Creek Fisheries. This proposed facility is located in Miles Township, **Centre County**.

Description of Proposed Activity: The application is for a new NPDES permit for an existing discharge of fish hatchery wastewater.

The receiving stream(s), Unnamed Tributary to Elk Creek, is located in State Water Plan watershed—and 6-A and is classified for Exceptional Value Waters and Migratory Fish, aquatic life, water supply and recreation. The discharge is not expected to affect public water supplies.

The proposed effluent limits for Outfall 001 are based on a design flow of 2 MGD.

Parameters	Mass (lb/day)		Concentration (mg/l)		Instant. Maximum
	Average Monthly	XXX	Minimum	Daily Maximum	
Flow (MGD)	Report	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	9.0
Dissolved Oxygen	XXX	XXX	6.0	XXX	XXX
BOD <sub>5</sub>	XXX	XXX	XXX	10	XXX
Total Suspended Solids	XXX	XXX	XXX	20	XXX
Total Nitrogen	XXX	XXX	XXX	20	XXX
Ammonia-Nitrogen	XXX	XXX	XXX	Report	XXX
Total Phosphorus	XXX	XXX	XXX	Report	XXX

The proposed effluent limits for Outfall 002 are based on a design flow of 2 MGD.

Parameters	Mass (lb/day)			Concentration (mg/l)		Instant. Maximum
	Average Monthly		Minimum	Daily Maximum		
Flow (MGD)	Report	XXX	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	XXX	9.0
Dissolved Oxygen	XXX	XXX	6.0	XXX	XXX	XXX
BOD <sub>5</sub>	XXX	XXX	XXX	10	XXX	XXX
Total Suspended Solids	XXX	XXX	XXX	20	XXX	XXX
Total Nitrogen	XXX	XXX	XXX	20	XXX	XXX
Ammonia-Nitrogen	XXX	XXX	XXX	Report	XXX	XXX
Total Phosphorus	XXX	XXX	XXX	Report	XXX	XXX

The proposed effluent limits for Outfall 003 are based on a design flow of 2 MGD.

Parameters	Mass (lb/day)			Concentration (mg/l)		Instant. Maximum
	Average Monthly		Minimum	Daily Maximum		
Flow (MGD)	Report	XXX	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	XXX	9.0
Dissolved Oxygen	XXX	XXX	6.0	XXX	XXX	XXX
BOD <sub>5</sub>	XXX	XXX	XXX	10	XXX	XXX
Total Suspended Solids	XXX	XXX	XXX	20	XXX	XXX
Total Nitrogen	XXX	XXX	XXX	20	XXX	XXX
Ammonia-Nitrogen	XXX	XXX	XXX	Report	XXX	XXX
Total Phosphorus	XXX	XXX	XXX	Report	XXX	XXX

The proposed effluent limits for Outfall 004 are based on a design flow of 2 MGD.

Parameters	Mass (lb/day)			Concentration (mg/l)		Instant. Maximum
	Average Monthly		Minimum	Daily Maximum		
Flow (MGD)	Report	XXX	XXX	XXX	XXX	XXX
pH (S.U.)	XXX	XXX	6.0	XXX	XXX	9.0
Dissolved Oxygen	XXX	XXX	6.0	XXX	XXX	XXX
BOD <sub>5</sub>	XXX	XXX	XXX	10	XXX	XXX
Total Suspended Solids	XXX	XXX	XXX	20	XXX	XXX
Total Nitrogen	XXX	XXX	XXX	20	XXX	XXX
Ammonia-Nitrogen	XXX	XXX	XXX	Report	XXX	XXX
Total Phosphorus	XXX	XXX	XXX	Report	XXX	XXX

In addition, the permit contains the following major special conditions:

- BMP Plan Development

You may make an appointment to review the DEP files on this case by calling the File Review Coordinator at 570-327-3693.

The EPA Waiver is in effect.

### III. WQM Industrial Waste and Sewerage Actions under The Clean Streams Law

*Southeast Region: Clean Water Program Manager, 2 East Main Street, Norristown, PA 19401, 484.250.5900*

**WQM Permit No. WQG02461402**, Sewage, **Horsham Water & Sewer Authority**, 617 Horsham Road, Horsham, PA 19044.

This proposed facility is located in Horsham Township, **Montgomery County**.

Description of Action/Activity: Installation of a 2" low pressure sewer system.

**WQM Permit No. 1592402**, Sewage, **Aqua PA Wastewater Inc.**, 762 West Lancaster Avenue, Bryn Mawr, PA 19010.

This proposed facility is located in Willistown Township, **Chester County**.

Description of Action/Activity: Permit transferred ownership from Little Washington Wastewater Co. to Aqua PA Wastewater Inc.

*Northeast Region: Clean Water Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915. Phone: 570-826-2511.*

**WQM Permit No. 4813404**, Sewage, SIC Code 4952, **Northampton Borough**, 1401 Laubach Avenue, Northampton, PA 18067-0070.

This proposed facility is located in Northampton Borough, **Northampton County**.

Description of Proposed Action/Activity: The project is for a wastewater treatment plant rerate to identify the design maximum monthly hydraulic loading and the design maximum monthly organic loading.

*Southcentral Region: Clean Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone: 717-705-4707.*

**WQM Permit No. 6714401**, Sewerage, **John Holman**, Springettsbury Township, 1501 Mount Zion Road, York, PA 17402.

This proposed facility is located in Springettsbury Township, **York County**.

Description of Proposed Action/Activity: Permit approval for the construction of sewage facilities consisting of: Realign and replace the existing 42" Mill Creek Interceptor between the manhole No. 111 and manhole No. 101 with 48" diameter ductile iron pipe.

**WQM Permit No. 0688405, Amendment #4**, Sewerage, **Lucas Blakeslee, Robesonian Wernersville Municipal Authority**, PO Box 202, Wernersville, PA 19565.

This proposed facility is located in Robesonian Borough, **Berks County**.

Description of Proposed Action/Activity: Permit approval for the modifications of sewage facilities consisting of: The replacement of two existing traveling bridge, dual media filters with two new cloth media sic filters at existing sewage treatment plant.

*Northwest Region: Clean Water Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

**WQM Permit No. 3713401**, Sewage, **Western Butler County Authority**, 607 Market Street, P. O. Box 427, Zelienople, PA 16063-1830.

This proposed facility is located in Jackson Township, **Butler County**.

Description of Proposed Action/Activity: Upgrade of Seneca Valley Pump Station.

**WQM Permit No. 3708401**, Sewage, Amendment No. 1, **Mahoning Township Lawrence County**, US Route 224, Box 99, Hillsville, PA 16132.

This existing facility is located in Mahoning Township, **Lawrence County**.

Description of Proposed Action/Activity: Amendment to existing WQM permit for the addition of an influent pump station at the existing wastewater treatment plant.

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#### IV. NPDES Stormwater Discharges from MS4 Permit Actions

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#### V. NPDES Waiver Stormwater Discharges from MS4 Actions

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#### VI. NPDES Discharges of Stormwater Associated with Construction Activities Individual Permit Actions

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*Southeast Region: Water Management Program Manager, 2 East Main Street, Norristown, PA 19401*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI01 1508071-R	PennDOT 6-0 7000 Geerdes Boulevard King of Prussia, PA 19406	Chester	Charlestown Township	Valley Creek EV Pickering Creek HQ—TSF

*Northeast Region: Watershed Management Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915.*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI021313004	Jim Thorpe DG, LLC 361 Summit Boulevard, Suite 110 Birmingham, AL 35243	Carbon	Penn Forest Township	UNT to Bear Creek (EV)
PAI023907022R	Upper Macungie Group c/o Stephen F. Lampmann 104 Old Mill Road Sellersville, PA 18960	Lehigh	Upper Macungie Township	Cedar Creek (HQ-CWF, MF)
PAI024013004	Bear Creek Foundation, Inc. 1900 Bear Creek Boulevard Bear Creek Township, PA 18702	Luzerne	Bear Creek Township	Ten Mile Run (HQ-CWF, MF)
PAI026413005	PPL Electric Utilities Corporation Two North 9th Street Allentown, PA 18101-1179	Wayne	Paupack, Palmyra, and Cherry Ridge Townships	Middle Creek (HQ-CWF, MF) Red Shale Brook (HQ-CWF, MF) Spinner Brook (HQ-CWF, MF) Wangum Creek (HQ-CWF, MF)

*Northcentral Region: Waterways & Wetlands Program Manager, 208 West Third Street, Williamsport, PA 17701*

*Centre County Conservation District: 414 Holmes Avenue, Suite 4, Bellefonte, PA 16823, (814) 355-6817*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI041413007	Centre County Airport Auth 2493 Fox Hill Rd Ste A State College PA 16803	Centre	Benner Township	Buffalo Run HQ-CWF

*Snyder County Conservation District: 403 West Market Street, Middleburg, PA 17842, (570) 837-0007, X 5*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI045511001	Ted Cresswell Developing Partners LP 811 Church St Mifflinburg PA 17844	Snyder	Monroe Township	Susquehanna River WWF

*Northwest Region: Watershed Management Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

*Butler County Conservation District, 122 McCune Drive, Butler PA 16001-6501*

<i>NPDES Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>County</i>	<i>Municipality</i>	<i>Receiving Water/Use</i>
PAI061008003R	Knoch Farms Development LLC 2121 Old Gatesburg Road State College PA 16803	Butler	Clinton Township	Unt Sarver Run HQ-TSF

## **VII. Approvals to Use NPDES and/or Other General Permits**

The EPA Region III Administrator has waived the right to review or object to this permit action under the waiver provision 40 CFR 123.23(d).

### **List of NPDES and/or Other General Permit Types**

PAG-1	General Permit for Discharges From Stripper Oil Well Facilities
PAG-2	General Permit for Discharges of Stormwater Associated With Construction Activities
PAG-3	General Permit for Discharges of Stormwater From Industrial Activities
PAG-4	General Permit for Discharges From Small Flow Treatment Facilities
PAG-5	General Permit for Discharges From Gasoline Contaminated Ground Water Remediation Systems
PAG-6	General Permit for Wet Weather Overflow Discharges From Combined Sewer Systems (CSO)
PAG-7	General Permit for Beneficial Use of Exceptional Quality Sewage Sludge by Land Application
PAG-8	General Permit for Beneficial Use of Non-Exceptional Quality Sewage Sludge by Land Application to Agricultural Land, Forest, a Public Contact Site or a Land Reclamation Site
PAG-8 (SSN)	Site Suitability Notice for Land Application Under Approved PAG-8 General Permit Coverage
PAG-9	General Permit for Beneficial Use of Residential Septage by Land Application to Agricultural Land, Forest, or a Land Reclamation Site
PAG-9 (SSN)	Site Suitability Notice for Land Application Under Approved PAG-9 General Permit Coverage
PAG-10	General Permit for Discharge Resulting from Hydrostatic Testing of Tanks and Pipelines
PAG-11	(To Be Announced)
PAG-12	Concentrated Animal Feeding Operations (CAFOs)
PAG-13	Stormwater Discharges from Municipal Separate Storm Sewer Systems (MS4)
PAG-14	(To Be Announced)
PAG-15	General Permit for Discharges From the Application of Pesticides

#### *General Permit Type—PAG-02*

#### *Facility Location:*

<i>Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Lower Makefield Township Bucks County	PAG0200 0912003R	Matrix Bucks County, LLC CN4000 Forsgate Drive Cranbury, NJ 08512	Mill Creek WWF Brock Creek WWF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900

<i>Facility Location: Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water / Use</i>	<i>Contact Office &amp; Phone No.</i>
Aston Township Delaware County	PAG0200 2308023R	J. Grace Co. P. O. Box 91 Chadds Ford, PA 19317	Unnamed Tributary to Chester Creek TSF—MF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900
Swarthmore Borough Delaware County	PAG0200 2314002	Swarthmore College 500 College Avenue Swarthmore, PA 19081	Crum Creek WWF—MF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900
New Hanover Township Montgomery County	PAG0200 4607162R	Paul Moyer & Sons, Inc. 2412 Swamp Pike Gilbertsville, PA 19525	Unnamed Tributary to Minister Creek TSF—MF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900
Worcester Township Montgomery County	PAG0200 4613043	Homsher Hill, LLC 1805 Berks Road Worcester, PA 19490	Stony Creek CWF—MF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900
Skippack Township Montgomery County	PAG0200 4613090	North Penn Water Authority 300 Forty Foot Road Lansdale, PA 19446	Unnamed Tributary to Perkiomen Creek TSF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900
Upper Dublin Township Montgomery County	PAG0200 4613097	Built Solid, Inc. 1120 Bethlehem Pike Spring House, PA 19477	Sandy Run TSF	Southeast Regional Office 2 East Main Street Norristown, PA 19401 484-250-5900

*Northeast Region: Watershed Management Program Manager, 2 Public Square, Wilkes-Barre, PA 18701-1915*

<i>Facility Location: Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water / Use</i>	<i>Contact Office &amp; Phone No.</i>
City of Scranton Lackawanna County	PAG02003513019	Debbie Noone 55 Keystone Industrial Park Dunmore, PA 18512	Roaring Brook (CWF, MF)	Lackawanna County Conservation District 570-392-3086
Elmhurst Township, Roaring Brook Township Lackawanna County	PAG02003513021	Pennsylvania American Water Co. c/o David Kaufman 800 Hershey Park Drive Hershey, PA 17033-2400	Roaring Brook (CWF, MF)	Lackawanna County Conservation District 570-392-3086
City of Allentown Lehigh County	PAG02003912015(2)	J.B. Reilly Two City Center, OP, LP and J.B. Reilly, City Center Investment Corp. 702 Hamilton St. 3rd Floor Allentown, PA 18101	Jordan Creek (TSF, MF)	Lehigh County Conservation District 610-391-9583
East Stroudsburg Borough Monroe County	PAG02004513002	Department of General Services 18th & Herr Streets Harrisburg, PA 17125	Brodhead Creek (TSF, MF)	Monroe County Conservation District 570-629-3060

<i>Facility Location: Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
City of Bethlehem Northampton County	PAG02154807001(2)	Sands Bethworks Retail, LLC 77 Sands Boulevard Bethlehem, PA 18015	Lehigh River (WWF, MF)	Northampton County Conservation District 610-746-1971
Cass Township Schuylkill County	PAG02005408013R	Schuylkill Economic Development Corporation (SEDCO) Union Street Station One Progress Circle Suite 200 Pottsville, PA 17901	West Branch of the Schuylkill River (CWF, MF)	Schuylkill County Conservation District 570-622-3742
Pine Grove Township Schuylkill County	PAG02005413015	Timothy Lobach 7 Harford Lane Radnor, PA 19087	Swatara Creek (CWF, MF)	Schuylkill County Conservation District 570-622-3742
Pine Grove Borough, Pine Grove Township Schuylkill County	PAG02005413014	Matthew M. Brandt 625 Suedberg Road Pine Grove, PA 17963	UNT to Swatara Creek (CWF, MF)	Schuylkill County Conservation District 570-622-3742
Clinton Township Wyoming County	PAG02006613004	Factoryville Fire Company 120 College Avenue Factoryville, PA 18419	UNT to Tunkhannock Creek (CWF, MF)	Wyoming County Conservation District 570-836-2589

*Northcentral Region: Watershed Management Program Manager, 208 West Third Street, Williamsport, PA 17701*

<i>Facility Location: Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Sandy Township Clearfield County	PAG02001711010R	B&P Railroad Inc 200 Meridian Ctr Ste 300 Rochester NY 14618 & EOG Resources Inc 2039 S 6th St Indiana PA 15701	Sandy Lick Creek CWF	Clearfield County Conservation District 650 Leonard Street Clearfield, PA 16830 (814) 765-2629
Madison Township Columbia County	PAG02001914003	Cellco Partnership d/b/a Verizon Wireless 4642 Jonestown Rd Ste 200 Harrisburg PA 17109	UNT Little Fishing Creek CWF	Columbia County Conservation District 702 Sawmill Road Suite 204 Bloomsburg, PA 17815 (570) 784-1310, X 102
Loyalsock Township Lycoming County	PAG02004114003	Charles Hauser Williamsport Muni Water Auth 253 W 4th St Williamsport PA 17701	Millers Run WWF UNT to Millers Run WWF	Lycoming County Conservation District 542 County Farm Rd Suite 202, Montoursville, PA 17754, (570) 433-3003
Mahoning Township Montour County	PAG02004713008	Geisinger Health System 100 N Academy Ave Danville PA 17822	Sechler Run CWF	Montour County Conservation District 112 Woodbine Ln Ste 2 Danville PA 17821 Phone: (570) 271-1140

*Northwest Regional Office—Waterways and Wetlands, 230 Chestnut Street, Meadville PA 16335*

<i>Facility Location: Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Adams Township Butler County	PAG02001010003R	Echo5 LLC c/o Mr. James a. West Jr. 100 Arthur Drive Wexford PA 15239	Unt Breakneck Creek WWF	Butler County Conservation District 724-284-5270
City of Erie / Millcreek Township Erie County	PAG02002511026(1)R	PADOT 255 Elm Street, PO Box 398 Oil City PA 16301	Unt West Br. Cascade Creek WWF/MF; Unt Walnut Creek CWF; MF	Erie County Conservation District 814-825-6403
Foster Township McKean County	PAG02004212002R	Bradford Sanitary Authority 28 Kennedy Street Bradford PA 16701	Tunungwant Creek WWF	McKean County Conservation District 814-887-4001
<i>General Permit Type—PAG-3</i>				
<i>Facility Location &amp; Municipality</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Bedford County Bedford Township	PAR803686	Con-way Freight Inc. 2211 Old Earhart Road, Suite 100 Ann Arbor, MI 48105 <hr/> Con-way Freight—XJN (Bedford) 8 Progress Drive Bedford, PA 15522-7950	UNT to Dunning Creek / WWF	DEP—SCRO—Clean Water Program 909 Elmerton Avenue Harrisburg, PA 17110 717-705-4707
Piatt Township Lycoming County	PAR604814	Robert W. Aikey 1678 Devil's Elbow Road Jersey Shore, PA 17740	Seely Run—10-A	DEP Northcentral Regional Office Clean Water Program 208 W Third Street Suite 101, Williamsport, PA 17701-6448 570.327.0530
South Greensburg Borough Westmoreland County	PAR206102	Moore & Morford Inc. PO Box 759 Broad Street Greensburg, PA 15601	Jacks Run—19-D WWF	DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
Hempfield Township Westmoreland County	PAR116117	Kennametal Inc. 1576 Arona Road Irwin, PA 15642	Unnamed Tributary to Little Sewickley Creek—19-D TSF	DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
Berlin Borough Somerset County	PAG036107	HD Supply Power Solutions Ltd 3100 Cumberland Boulevard Atlanta, GA 30339	UNT Stonycreek River/ CWF	DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000

<i>Facility Location &amp; Municipality</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Allegheny Township Butler County	PAG038304	Allegheny Structural Components, Inc. 3778 Oneida Valley Road Emlenton, PA 16373	Unnamed Tributary to South Fork Little Scrubgrass Creek 16-G	DEP NWRO Clean Water Program 230 Chestnut Street Meadville, PA 16335-3481 814/332-6942
<i>General Permit Type—PAG-10</i>				
<i>Facility Location: Municipality &amp; County</i>	<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Bridgewater Township Susquehanna County	PAG102304	Williams Field Service Co. LLC (Johnson Pipeline Project) Park Place Corporate Ctr 2 2000 Commerce Drive Pittsburgh, PA 15275	UNT# 29432 and UNT #29436 to Meshoppen Creek CWF, MF	DEP Northeast Regional Office Clean Water Program 2 Public Square, Wilkes-Barre, PA 18701-1915 570.826.2511
Gilmore Township Greene County	PAG106177	Columbia Gas Transmission, LLC 1700 MacCorkle Avenue Charleston, WV 25314-1518	Brushy Fork White Creek—19-G WWF	DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
Hempfield Township Westmoreland County	PAG106176	Columbia Gas Transmission, LLC 1700 MacCorkle Ave. S.E. Charleston, WV 25314	Unnamed Tributary of Little Sewickley Creek—19-D TSF	DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
Pulaski Township Lawrence County	PAG108316	Pennant Midstream, LLC 5151 San Felipe, Suite 2500, Houston, TX 77056	Shenango River	DEP NWRO Clean Water Program 230 Chestnut Street Meadville, PA 16335-3481 814/332-6942
Forward Township Butler County	PAG108320	Mountain Gathering LLC 810 Houston Street Fort Worth, TX 76102-6203	UNT to Connoquenessing Creek	DEP NWRO Clean Water Program 230 Chestnut Street Meadville, PA 16335-3481 814/332-6942
Forward Township Butler County	PAG108319	Mountain Gathering LLC 810 Houston Street Fort Worth, TX 76102-6203	UNT to Connoquenessing Creek	DEP NWRO Clean Water Program 230 Chestnut Street Meadville, PA 16335-3481 814/332-6942



*General Permit Type—PAG-12**Facility Location:  
Municipality &  
County*

<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
Franklin County Guilford Township	PAG123733 Amendment No. 1	Lesher's Poultry Farm Inc. 1153 Swamp Fox Road Chambersburg, PA 17202-8865	UNT Conococheague Creek / WWF
			DEP—SCRO—Clean Water Program 909 Elmerton Avenue Harrisburg, PA 17110 717-705-4707

*General Permit Type—PAG-13**Facility Location:  
Municipality &  
County*

<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
South Coatesville Borough Chester County	PAG130163	South Coatesville Borough Chester County 136 Modena Road Coatesville, PA 19320	Unnamed Tributary to West Branch Brandywine Creek and West Branch Brandywine Creek—3-H
			DEP Southeast Regional Office Clean Water Program 2 E Main Street, Norristown, PA 19401 484.250.5970

*General Permit Type—MS4 PAG13**Facility Location:  
Municipality &  
County*

<i>Permit No.</i>	<i>Applicant Name &amp; Address</i>	<i>Receiving Water/Use</i>	<i>Contact Office &amp; Phone No.</i>
East Washington Borough Washington County	PAG136364	East Washington Borough 15 Thayer Street Washington, PA 15301	Catfish Creek—20-F
			DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
Irwin Borough Westmoreland County	PAG136164	Irwin Borough 424 Main Street Irwin, PA 15642	Brush Creek and Unnamed Tributary to Tinkers Run 19-A
			DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
East Huntingdon Township Westmoreland County	PAG136134	East Huntingdon Township SR 981 PO Box 9 Alverton, PA 15612	Buffalo Run, Jacobs Creek, Unnamed Tributary to Shupe Run and Unnamed Tributary to Stauffer Run 19-D
			DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
City of Washington Storm Sewer System Washington County	PAG136351	City of Washington 55 W Maiden Street Washington, PA 15301	Catfish Creek 20F
			DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000
North Franklin Township Washington County	PAG136214	North Franklin Township 620 Franklin Farms Road Washington, PA 15301	Chartiers Creek 20-F
			DEP Southwest Regional Office Clean Water Program 400 Waterfront Drive, Pittsburgh, PA 15222-4745 412.442.4000

**STATE CONSERVATION COMMISSION  
NUTRIENT MANAGEMENT PLANS RELATED TO APPLICATIONS FOR NPDES  
PERMITS FOR CAFOs**

The State Conservation Commission has taken the following actions on previously received applications for nutrient management plans under 3 Pa.C.S. Chapter 5, for agricultural operations that have or anticipate submitting applications for new, amended or renewed NPDES permits or NOIs for coverage under a general permit for CAFOs under 25 Pa. Code Chapter 92a. This notice is provided in accordance with 25 Pa. Code Chapter 92a and 40 CFR Part 122, implementing The Clean Streams Law and the Federal Clean Water Act.

Persons aggrieved by an action may appeal under 3 Pa.C.S. § 517, section 4 of the Environmental Hearing Board Act and 2 Pa.C.S. §§ 501—508 and 701—704 to the Environmental Hearing Board, Second Floor, Rachel Carson State Office Building, 400 Market Street, P. O. Box 8457, Harrisburg, PA 17105-8457, (717) 787-3483. TDD users should contact the Environmental Hearing Board (Board) through the Pennsylvania AT&T Relay Service at (800) 654-5984. Appeals must be filed with the Board within 30 days of publication of this notice in the *Pennsylvania Bulletin*. Copies of the appeal form and the Board’s rules of practice and procedure may be obtained from the Board. The appeal form and the Board’s rules of practice and procedure are also available in Braille or on audiotape from the Secretary of the Board at (717) 787-3483. This paragraph does not, in and of itself, create a right of appeal beyond that permitted by applicable statutes and decision law.

For individuals who wish to challenge actions, appeals must reach the Board within 30 days. A lawyer is not needed to file an appeal with the Board.

Important legal rights are at stake, however, so individuals should show this notice to a lawyer at once. Persons who cannot afford a lawyer may qualify for pro bono representation. Call the Secretary of the Board at (717) 787-3483 for more information.

**NUTRIENT MANAGEMENT PLAN  
PUBLIC NOTICE SPREADSHEET—ACTIONS**

<i>Agricultural Operation Name and Address</i>	<i>County</i>	<i>Total Acres</i>	<i>AEU's</i>	<i>Animal Type</i>	<i>Special Protection Waters (HQ or EV or NA)</i>	<i>Approved or Disapproved</i>
Paul Newton Ehst 93 Deck Road Womelsdorf, PA 19567	Berks	112.9	36.9 271.5	steer layers	NA	Approved
Barry Good 1695 Rake Road Mohrsville, PA 19541	Berks	199	1.58	layers	NA	Approved

**PUBLIC WATER SUPPLY PERMITS**

The Department has taken the following actions on applications received under the Pennsylvania Safe Drinking Water Act (35 P. S. §§ 721.1—721.17) for the construction, substantial modification or operation of a public water system.

Persons aggrieved by an action may appeal that action to the Environmental Hearing Board (Board) under section 4 of the Environmental Hearing Board Act and 2 Pa.C.S. §§ 501—508 and 701—704. The appeal should be sent to the Environmental Hearing Board, Second Floor, Rachel Carson State Office Building, 400 Market Street, PO Box 8457, Harrisburg, PA 17105-8457, (717) 787-3483. TDD users may contact the Board through the Pennsylvania Relay Service, (800) 654-5984. Appeals must be filed with the Board within 30 days of publication of this notice in the *Pennsylvania Bulletin* unless the appropriate statute provides a different time period. Copies of the appeal form and the Board’s rules of practice and procedure may be obtained from the Board. The appeal form and the Board’s rules of practice and procedure are also available in Braille or on audiotape from the Secretary to the Board at (717) 787-3483. This paragraph does not, in and of itself, create a right of appeal beyond that permitted by applicable statutes and decisional law.

For individuals who wish to challenge an action, the appeal must reach the Board within 30 days. A lawyer is not needed to file an appeal with the Board. Important

legal rights are at stake, however, so individuals should show this document to a lawyer at once. Persons who cannot afford a lawyer may qualify for free pro bono representation. Call the Secretary to the Board at (717) 787-3483 for more information.

**SAFE DRINKING WATER**

**Actions taken under the Pennsylvania Safe Drinking Water Act**

*Southeast Region: Water Supply Management Program  
Manager, 2 East Main Street, Norristown, PA 19401*

**Permit No. 2313511, Minor Amendment.** Public Water Supply.

Applicant	<b>Aqua Pennsylvania, Inc.</b> 762 West Lancaster Avenue Bryn Mawr, PA 19010
Borough	Media
County	<b>Delaware</b>
Type of Facility	PWS
Consulting Engineer	Gannett Fleming, Inc. P. O. Box 80791 Valley Forge, PA 19494
Permit to Operate Issued	February 24, 2014

**Permit No. 0913517, Minor Amendment.** Public Water Supply.

Applicant **Aqua Pennsylvania, Inc.**  
762 West Lancaster Avenue  
Bryn Mawr, PA 19010

Borough Chalfont

County **Bucks**

Type of Facility PWS

Consulting Engineer Gannett Fleming, Inc.  
P. O. Box 80791  
Valley Forge, PA 19494

Permit to Operate Issued February 24, 2014

**Operations Permit # 0914501** issued to: **Aqua Pennsylvania, Inc.**, [(PWSID)] Bristol Borough, **Bucks County** on February 24, 2014 for the additions to the Residuals Handling Facility at Bristol Water of facilities approved under construction permit #0908509.

*Southcentral Region: Safe Drinking Water Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110*

**Operation Permit No. 6714501 MA** issued to: **Shrewsbury Borough** (PWS ID No. 7670088), Shrewsbury Borough, **York County** on 2/26/2014 for facilities approved under Construction Permit No. 6714501 MA.

**Emergency Construction/Operation Permit No. 0514501 E** issued to: **Coaldale Six Mile Run Water Corporation** (PWS ID No. 4050025), Broad Top Township, **Bedford County** on 2/27/2014 for a 45-day duration. Action is for the the installation of an emergency bypass of the slow sand filter plant located at the Coaldale Six Mile Run Water Corporation water treatment facility. Submitted under Application No. 0514501 E received on 2/24/2014.

*Southwest Region: Water Supply Management Program Manager, 400 Waterfront Drive, Pittsburgh, Pa 15222-4745*

**Permit No. 2613514**, Public Water Supply.

Applicant **Municipal Authority of Westmoreland County**  
124 Park & Pool Road  
New Stanton, PA 15672

[Borough or Township] North Huntingdon Township

County **Westmoreland**

Type of Facility Water system

Consulting Engineer Gibson-Thomas Engineering Co., Inc.  
1004 Ligonier Street  
PO Box 853  
Latrobe, PA 15650

Permit to Construct Issued March 3, 2014

**Permit No. 6513525**, Public Water Supply.

Applicant **Municipal Authority of Westmoreland County**  
124 Park & Pool Road  
New Stanton, PA 15672

[Borough or Township] Bell Township

County **Westmoreland**

Type of Facility Water system

Consulting Engineer Gibson-Thomas Engineering Co., Inc.  
1004 Ligonier Street  
PO Box 853  
Latrobe, PA 15650

Permit to Construct Issued March 3, 2014

**Operations Permit** issued to: **Southwestern Pennsylvania Water Authority**, PO Box 187, 1442 Jefferson Road, Jefferson, PA, 15344 (PWSID #5300017) Center Township, **Greene County** on February 27, 2014 for the operation of facilities approved under Construction Permit # 3013501WMP.

**Operations Permit** issued to: **Southwestern Pennsylvania Water Authority**, PO Box 187, 1442 Jefferson Road, Jefferson, PA, 15344 (PWSID #5300017) Center Township, **Greene County** on February 27, 2014 for the operation of facilities approved under Construction Permit # 3013501WMP1.

**Operations Permit** issued to: **Southwestern Pennsylvania Water Authority**, PO Box 187, 1442 Jefferson Road, Jefferson, PA, 15344 (PWSID #5300017) Franklin & West Bethlehem Townships, **Greene Washington Counties** on February 27, 2014 for the operation of facilities approved under Construction Permit # 3013501WMP2.

**Operations Permit** issued to: **Pennsylvania American Water Company**, 800 West Hersheypark Drive, Hershey, PA 17033, (PWSID #5320025) White Township, **Indiana County** on March 3, 2014 for the operation of facilities approved under Construction Permit # 3213518.

**Operations Permit** issued to: **Pennsylvania American Water Company**, 800 West Hersheypark Drive, Hershey, PA 17033, (PWSID #5020039) City of Pittsburgh and Baldwin Borough, **Allegheny County** on February 27, 2014 for the operation of facilities approved under Construction Permit # 0209512.

**Operations Permit** issued to: **Municipal Authority of the Township of Robinson**, PO Box 15539, Pittsburgh, PA 15244, (PWSID #5020045) Robinson Township, **Allegheny County** on March 3, 2014 for the operation of facilities approved under Construction Permit # 0212524MA.

**Operations Permit** issued to: **Hampton Shaler Water Authority**, PO Box 66, 3101 McCully Road, Allison Park, PA 15101, (PWSID #5020019) Shaler Township, **Allegheny County** on March 3, 2014 for the operation of facilities approved under Construction Permit # 0213519.

**Permit No. 6513524MA**, Minor Amendment. Public Water Supply.

Applicant **Municipal Authority of Westmoreland County**  
124 Park & Pool Road  
New Stanton, PA 15672

[Borough or Township] Bell Township

County **Westmoreland**

Type of Facility Water system

Consulting Engineer Gibson-Thomas Engineering Co., Inc.  
1004 Ligonier Street  
PO Box 853  
Latrobe, PA 15650

Permit to Construct March 3, 2014  
Issued

**Permit No. 1114501MA**, Minor Amendment. Public Water Supply.

Applicant **Municipal Authority of the Borough of Portage**  
606 Cambria Street  
Portage, PA 15946

[Borough or Township] Portage Township

County Cambria

Type of Facility Water system

Consulting Engineer KLH Engineers, Inc.  
5173 Campbells Run Road  
Pittsburgh, PA 15205

Permit to Construct March 4, 2014  
Issued

**Permit No. 2613512MA**, Minor Amendment. Public Water Supply.

Applicant **Pennsylvania American Water Company**  
800 West Hersheypark Drive  
Hershey, PA 17033

[Borough or Township] Carroll Township

County **Washington**

Type of Facility Water system

Consulting Engineer

Permit to Construct February 27, 2014  
Issued

**Permit No. 0213533MA**, Minor Amendment. Public Water Supply.

Applicant **Harrison Township Water Authority**  
1705 Rear Freeport Road  
Natrona Heights, PA 15065

[Borough or Township] Harrison Township

County **Allegheny**

Type of Facility Water system

Consulting Engineer NIRA Consulting Engineers, Inc.  
950 Fifth Avenue  
Coraopolis, PA 15108

Permit to Construct February 27, 2014  
Issued

**Permit No. 0213534MA**, Minor Amendment. Public Water Supply.

Applicant **Pennsylvania American Water Company**  
800 West Hersheypark Drive  
Hershey, PA 17033

[Borough or Township] West Mifflin Borough

County Allegheny

Type of Facility Water system

Consulting Engineer

Permit to Construct March 4, 2014  
Issued

*Northwest Region: Safe Drinking Water Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

**Construction/Operation Permit** issued to **Erie City Water Authority d/b/a Erie Water Works**, PWSID #6250028, City of Erie, **Erie County**, for the construction/operation of the new auxiliary intake structure within Lake Erie located on the existing intake transmission line, 1,400 feet closer to the Chestnut Water Treatment Plant. Construction and Operation authorized simultaneously under permit number 2513503 issued February 28, 2014.

#### WATER ALLOCATIONS

**Actions taken on applications received under the Act of June 24, 1939 (P. L. 842, No. 365) (35 P. S. §§ 631—641) relating to the acquisition of rights to divert waters of the Commonwealth.**

*Northeast Region: Safe Drinking Water Program Manager, 2 Public Square, Wilkes-Barre, PA 18711-0790.*

**WA 39-687A**, Water Allocation, **Upper Saucon Township**, 5500 Camp Meeting Rd., Center Valley, PA 18304, Upper Saucon Township, **Lehigh County**. This permit grants Upper Saucon Township the right to purchase up to 300,000 gpd, peak day, from the City of Bethlehem/Bethlehem Authority. Permit issued February 26, 2014.

*Southwest Region: Water Supply Management Program Manager, 400 Waterfront Drive, Pittsburgh, Pa 15222-4745*

**WA56-1000B**, Water Allocations. **Lincoln Township Municipal Authority**, PO Box 162, Sipesville, PA 15561, **Somerset County**. Subsidiary water allocation permit which grants the right to purchase up to 600,000 gallons of water per day (peak month, 30-day average) from the Somerset County General Authority and for a service area expansion to include areas of Lincoln Township and the Village of Sipesville, Quecreek and Acosta, as well as the Somerset Historical Center.

#### HAZARDOUS SITES CLEAN-UP UNDER THE ACT OF OCTOBER 18, 1988

##### Notice of Proposed Interim Response Ridgway Borough Municipal Landfill Site Ridgway Township, Elk County

The Department of Environmental Protection ("Department"), under the authority of the Hazardous Sites Cleanup Act ("HSCA") (35 P. S. §§ 6020.101—6020.1305) is proposing an interim response at the Ridgway Borough Municipal Landfill Site ("site"). This response is proposed pursuant to Sections 501(a) and 505(b) of the HSCA (35 P. S. §§ 6020.501(a) and 505(b)). The site is located in Ridgway Township, Elk County, approximately two miles north of the town of Ridgway, off of Montmorenci Road (State Route 948), at the east end of Jakes Hollow Road. The site consists of an approximately 15 acre facility that operated as a mixed waste landfill between the early 1960s and June of 1975. During an earlier environmental investigation that the Department conducted in 2004, lead-containing industrial wastes and 55-gallon drums, containing trichloroethylene ("TCE"), were encountered in several trenches throughout the landfill. The drums were re-buried and their location marked for future access. The highest potential risks to human health and the environment are the high levels of lead found in surface soils and the known buried 55 gallon TCE drums. The lead poses a significant threat to human health through direct contact and inhalation risks. The drums of TCE represent a potential significant future release into the environment if not removed, which release could further contaminate

site groundwater and soils, allowing transport off site via the groundwater and surface water.

The Department proposes to implement an interim response to reduce or eliminate the threats to human health and the environment from the above-referenced hazardous substances found at the site by targeting the known drums of TCE and high levels of lead in the surface soils. This proposed interim response is designed to adequately protect public health and the environment and will not hinder the implementation of any future response actions that may be needed to achieve a complete and final cleanup of the site.

The three alternatives evaluated as possible interim responses included:

*Alternative 1: No Action:* The “No Action” alternative provides a baseline for comparison to other alternatives. Because no action would be implemented, any present or future risks to human health or the environment would remain unchanged.

*Alternative 2: Perimeter Fence of the Landfill Area:* This alternative would be an access deterrent involving the placement of steel fencing around the landfill area of the site. This alternative could reduce the likelihood of dermal contact and inhalation exposure by the public.

*Alternative 3: Cover Lead-Contaminated Areas & the Excavation and Off-Site Disposal of Buried Drums:* This alternative would involve the excavation of the 55 gallon drums and lead-contaminated wastes, above certain risk-based levels, for off-site disposal. Interim soil cover will significantly reduce the potential for dermal and inhalation exposure from remaining industrial wastes.

Each alternative was evaluated under the following four criteria: (1) the extent to which each alternative protects the public health and the environment; (2) the extent to which each alternative complies with or otherwise addresses Applicable or Relevant and Appropriate Requirements; (3) the extent to which each alternative is feasible, effective, implementable and permanent; and (4) the relative cost of each alternative. Furthermore, the comparative analysis evaluated the relative performance of each alternative in relation to each specific comparison criterion. The comparative evaluation identified the relative advantages and disadvantages of each alternative.

Based on the results of the comparative analysis, the Department proposes to implement Alternative 3 as the interim response for the site. Of the three alternative responses considered, Alternative 3 was selected because it would, in a cost-effective manner, protect the public and environmental receptors from direct contact with the site-related hazardous substances of greatest concern, and is designed to mitigate the ongoing release and threat of release of those hazardous substances into the environment.

This notice is being provided pursuant to Section 506(b) of HSCA. The administrative record, which contains the information that forms the basis and documents the selection of this response, is available for public review and comment. The administrative record is located at the Department’s Northwest Regional Office, 230 Chestnut Street, Meadville, PA 16335, and is available for review Monday through Friday from 8:00 a.m. to 4:00 p.m. Please telephone beforehand for an appointment (telephone: 814-332-6648).

The administrative record will be open for comment from March 15, 2014, until June 13, 2014. Persons may submit written comments into the record during this time only, by sending them to Mr. Chris Saber, Project Manager, at the Department’s Northwest Regional Office at the address above or by delivering them to the office in person. In addition, persons may present oral comments, for inclusion in the administrative record, at a public hearing. The public hearing will be held on April 29, 2014, at 6:00 PM. in the Ridgway Borough Municipal Building, Conference Room, 108 Main Street, Ridgway, PA.

Persons with a disability who wish to attend the hearing and require auxiliary aid, service or other accommodations to participate in the proceedings, should call Mr. Saber at 814-332-6648 or through the Pennsylvania AT & T Relay Service at 1-800-654-5984 (TDD) to discuss how the Department may accommodate their needs.

## LAND RECYCLING AND ENVIRONMENTAL REMEDIATION

### UNDER ACT 2, 1995 PREAMBLE 2

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**The following plans and reports were submitted under the Land Recycling and Environmental Remediation Standards Act (35 P. S. §§ 6026.101—6026.907).**

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Provisions of Sections 301—308 of the Land Recycling and Environmental Remediation Standards Act (act) (35 P. S. §§ 6026.301—6026.308) require the Department to publish in the *Pennsylvania Bulletin* a notice of submission of plans and reports. A final report is submitted to document cleanup of a release of a regulated substance at a site to one of the act’s remediation standards. A final report provides a description of the site investigation to characterize the nature and extent of contaminants in environmental media, the basis for selecting the environmental media of concern, documentation supporting the selection of residential or nonresidential exposure factors, a description of the remediation performed and summaries of sampling analytical results which demonstrate that remediation has attained the cleanup standard selected. Submission of plans and reports, other than the final report, will also be published in the *Pennsylvania Bulletin*. These include the remedial investigation report, risk assessment report and cleanup plan for a site-specific standard remediation. A remedial investigation report includes conclusions from the site investigation; concentration of regulated substances in environmental media; benefits of reuse of the property; and, in some circumstances, a fate and transport analysis. If required, a risk assessment report describes potential adverse effects caused by the presence of regulated substances. If required, a cleanup plan evaluates the abilities of potential remedies to achieve remedy requirements.

For further information concerning plans or reports, contact the environmental cleanup program manager in the Department regional office under which the notice of receipt of plans or reports appears. If information concerning plans or reports is required in an alternative form, contact the community relations coordinator at the appropriate regional office. TDD users may telephone the Department through the AT&T Relay Service at (800) 654-5984.

The Department has received the following plans and reports:

*Southcentral Region: Environmental Cleanup and Brownfields Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone 717.705.4705.*

**Former UGI Harrisburg Maintenance Facility**, 1500 Paxton Street, Harrisburg PA 17104, City of Harrisburg, **Dauphin County**. EPSYS LLC, 1414 North Cameron Street, Harrisburg, PA 17103, on behalf of Paxton Street Properties, 1500 Paxton Street, Harrisburg, PA 17104, submitted a Final Report concerning remediation of site soils and groundwater contaminated with Chlorinated Solvents. The report is intended to document remediation of the site to meet the Site Specific standard.

**Wildwood Park / Interstate 81 Diesel Spill**, 100 Wildwood Way, Harrisburg, PA 17110, City of Harrisburg and Susquehanna Township, **Dauphin County**. Environmental Products & Services of Vermont, Inc., 5100 Paxton Street, Harrisburg, PA 17111, on behalf of Dauphin County Parks & Recreation, 100 Wildwood Way, Harrisburg, PA 17110 and Tameric Enterprises, LLC, 1468 Pine Road, Carlisle, PA 17015 submitted a combined Remedial Investigation, Risk Assessment, and Final Report concerning remediation of site soils, sediment and surface water contaminated with diesel fuel released from a tanker trailer accident and fire. The report is intended to document remediation of the site to meet the Site-Specific standard.

**South Hanover Township / Release at 422 North Hanover Street**, South Hanover Township, **Dauphin County**. RETTEW Associates, Inc., 3020 Columbia Avenue, Lancaster, PA 17603, on behalf of South Hanover Township, 111 West Third Street, Hershey, PA 17033, submitted a Final Report concerning remediation of site soils contaminated with No. 2 fuel oil. The report is intended to document remediation of the site to meet the Residential Statewide Health standard.

**Willard Seidel Residence**, 4682 New Holland Road, Mohnton, PA 19540, Cumru Township/Mohnton Borough, **Berks County**. Mountain Research, 825 25th Street, Altoona, PA 16601, on behalf of Willard Seidel, 4682 New Holland Road, Mohnton, PA 19540, and Allstate Insurance Company, 309 Lakeside Drive, Horsham, PA 19044, submitted a Final Report concerning site soils and groundwater contaminated with #2 fuel oil. The report is intended to document remediation of the site to meet the Residential Statewide Health standard.

**Christian Counseling Center**, 309 Allen Road, Carlisle, PA 17015, Carlisle Borough, **Cumberland County**. Advantage Engineers, LLC, 910 Century Drive, Mechanicsburg, PA 17055, on behalf of Goodman North American Partnership Holdings, LLC, 1275 Glenlivet Drive, Suite 100, Allentown, PA 18106 and Equiterria Properties, 140 West Huffaker Lane, Suite 509, Reno, NV 89511 submitted a Final Report concerning remediation of groundwater contaminated with chlorinated solvents. The report is intended to document remediation of the site to meet the Background standard.

*Northwest Region: Environmental Cleanup & Brownfields Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

**Ezeflow USA Inc.—Flowline Division** (Former “Low” Area), 1400 New Butler Road, City of New Castle and Shenango Township, Lawrence County. American Geosciences, Inc., 3925 Reed Boulevard, Murrysville, PA

15668-1848, on behalf of Markovitz Enterprises, Inc., 1207 Muriel Street, Pittsburgh, PA 15203, submitted a Final Report concerning the remediation of site soils and groundwater contaminated with Arsenic, Lead, and Mercury. The report is intended to document remediation of the site to meet the Site-Specific Standard.

## LAND RECYCLING AND ENVIRONMENTAL REMEDIATION

### UNDER ACT 2, 1995 PREAMBLE 3

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**The Department has taken action on the following plans and reports under the Land Recycling and Environmental Remediation Standards Act (35 P. S. §§ 6026.101—6026.907).**

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Section 250.8 of 25 Pa. Code and administration of the Land Recycling and Environmental Remediation Standards Act (act) require the Department to publish in the *Pennsylvania Bulletin* a notice of its final actions on plans and reports. A final report is submitted to document cleanup of a release of a regulated substance at a site to one of the remediation standards of the act. A final report provides a description of the site investigation to characterize the nature and extent of contaminants in environmental media, the basis of selecting the environmental media of concern, documentation supporting the selection of residential or nonresidential exposure factors, a description of the remediation performed and summaries of sampling methodology and analytical results which demonstrate that the remediation has attained the cleanup standard selected. Plans and reports required by the act for compliance with selection of remediation to a site-specific standard, in addition to a final report, include a remedial investigation report, risk assessment report and cleanup plan. A remedial investigation report includes conclusions from the site investigation; concentration of regulated substances in environmental media; benefits of reuse of the property; and, in some circumstances, a fate and transport analysis. If required, a risk assessment report describes potential adverse effects caused by the presence of regulated substances. If required, a cleanup plan evaluates the abilities of potential remedies to achieve remedy requirements. A work plan for conducting a baseline remedial investigation is required by the act for compliance with selection of a special industrial area remediation. The baseline remedial investigation, based on the work plan, is compiled into the baseline environmental report to establish a reference point to show existing contamination, describe proposed remediation to be done and include a description of existing or potential public benefits of the use or reuse of the property. The Department may approve or disapprove plans and reports submitted. This notice provides the Department's decision and, if relevant, the basis for disapproval.

For further information concerning the plans and reports, contact the environmental cleanup program manager in the Department regional office under which the notice of the plan or report appears. If information concerning a final report is required in an alternative form, contact the community relations coordinator at the appropriate regional office. TDD users may telephone the Department through the AT&T Relay Service at (800) 654-5984.

The Department has received the following plans and reports:

*Southcentral Region: Environmental Cleanup and Brownfields Program Manager, 909 Elmerton Avenue, Harrisburg, PA 17110. Phone 717.705.4705.*

**Willard Seidel Residence**, 4682 New Holland Road, Mohnton, PA 19540, Cumru Township/Mohnton Borough, **Berks County**. Mountain Research, 825 25th Street, Altoona, PA 16601, on behalf of Willard Seidel, 4682 New Holland Road, Mohnton, PA 19540, and Allstate Insurance Company, 309 Lakeside Drive, Horsham, PA 19044, submitted a Final Report concerning site soils and groundwater contaminated with #2 fuel oil. The report was administratively incomplete and was disapproved by the Department on February 28, 2014.

*Northwest Region: Environmental Cleanup & Brownfields Program Manager, 230 Chestnut Street, Meadville, PA 16335-3481*

**OMG Americas**, 240 Two Mile Run Road, Sugarcreek Borough, **Venango County**. Civil & Environmental Consultants, Inc., 333 Baldwin Road, Pittsburgh, PA 15205, on behalf of OMG Americas, Inc., 240 Two Mile Run Road submitted a Cleanup Plan concerning the remediation of site soil contaminated with lead, arsenic, barium, cadmium, cobalt, copper, nickel, silver, thallium, benzo[a]pyrene and site groundwater contaminated with benzene and naphthalene. The Plan was approved by the Department on February 26, 2014.

*Southwest Region: Environmental Cleanup & Brownfield Development Program Manager, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

**Sunoco Logistics Partner, L.P. Murrysville Pipeline Release**, Municipality of Murrysville, **Westmoreland County**. Hull & Associates, Inc., 701 Freeport Road, South Building, Pittsburgh, PA 15238 on behalf of Sunoco Logistics Partners, L.P., 5733 Butler Street, Pittsburgh, PA 15201 has submitted a Final Report concerning the remediation of site groundwater contaminated with benzene, ethylbenzene, toluene, total xylenes, naphthalene, 1,2,3-trimethylbenzene, and 1,3,5-trimethylbenzene. The Final Report demonstrated attainment of the non-residential Site Specific standard for groundwater and was approved by the Department on March 4, 2014.

#### HAZARDOUS WASTE TRANSPORTER LICENSES

##### Actions on applications for Hazardous Waste Transporter License received under the Solid Waste Management Act (35 P. S. §§ 6018.101–6018.1003) and regulations to transport hazardous waste.

*Central Office: Bureau of Land Recycling and Waste Management, Division of Hazardous Waste Management, PO Box 8471, Harrisburg, PA 17105-8471*

##### *Hazardous Waste Transporter License Renewed*

**Robbie D. Wood, Inc.**, P. O. Box 125, Dolomite, AL 35061. License No. PA-AH 0504. Effective October 15, 2013.

**Tri-Line Carriers GP, Inc.**, 1179 Ridgeway Road, P. O. Box 1669, Woodstock, ON N4S 0A9 Canada. License No. PA-AH0736. Effective October 21, 2013.

**The Environmental Service Group (NY), Inc.**, 177 Wales Avenue, Tonawanda, NY 14150. License No. PA-AH S144. Effective October 23, 2013.

**Goulet Trucking, Inc.**, P. O. Box 259, South Deerfield, MA 01373. License No. PA-AH 0768. Effective October 29, 2013.

**Three Rivers Trucking, Inc.**, 3250 Country Road 427, Waterloo, IN 46793. License No. PA-AH 0769. Effective October 30, 2013.

**J and D Trucking, Inc.**, 3526 NW Blvd, Vineland, NJ 08360. License No. PA-AH 0652. Effective November 5, 2013.

**Environmental Industrial Services Corp. of New Jersey**, 288 Oak Grove Road, Swedesboro, NJ 08085. License No. PA-AH 0457. Effective November 6, 2013.

**McCutcheon Enterprises, Inc.**, 250 Park Road, Apollo, PA 15613-8730. License No. PA-AH 0130. Effective November 21, 2013.

**Chemical Analytics, Inc.**, 29959 Beverly Road, Romulus, MI 48174. License No. PA-AH 0584. Effective November 25, 2013.

**Environmental Services, Inc.**, 90 Brookfield Street, South Windsor, CT 06074-1262. License No. PA-AH 0725. Effective November 26, 2013.

**Veolia ES Industrial Services, Inc.**, P. O. Box 368, Neenah, WI 54957-0368. License No. PA-AH 0583. Effective December 2, 2013.

**WM Curbside, LLC**, 5101 E La Palma Avenue, Suite 206, Anaheim, CA 92807. License No. PA-AH 0793. Effective December 3, 2013.

**IMS Environmental Services, LLC**, P. O. Box 1779, Norfolk, VA 23501. License No. PA-AH 0724. Effective December 5, 2013.

**U.S. Bulk Transport, Inc.**, 205 Pennbriar Drive, Erie, PA 16509. License No. PA-AH 0408. Effective December 12, 2013.

**Transport Sylvester & Forger Inc.**, 320 Route 201, St-Stanislas-De-Kost, QC J0S 1W0. License No. PA-AH 0791. Effective December 16, 2013.

**JMT Environmental Technologies, Inc.**, P. O. Box 22044, Lehigh Valley, PA 18002. License No. PA-AH 0648. Effective December 20, 2013.

**Action Resources, Inc.**, 40 County Road 517, Hanceville, AL 35077. License No. PA-AH 0650. Effective December 20, 2013.

**ORGO Company, Inc.**, 208 Route 109, Farmingdale, NY 11735. License No. PA-AH 0391. Effective December 31, 2013.

**Fortress Trucking Limited**, 7079 Wellington Road 124, Guelph, ON N1H6J3 Canada, License No. PA-AH 0512. Effective December 30, 2013.

**Valley City Disposal, Inc.**, DBA Valley City Environmental Services, 1040 Market Street SW, Grand Rapids, MI 49503. License No. PA-AH 0410. Effective January 10, 2014.

**Siemens Water Technologies, LLC**, 1451 East 9 Mile Road, Hazel Park, MI 48030-1960. License No. PA-AH 0812. Effective January 7, 2014.

**Frank's Vacuum Truck Service, Inc.**, 1717 New Road, Niagara Falls, NY 14304. License No. PA-AH 0331. Effective January 6, 2014.

**Enviroserve, J.V. Limited Partnership**, 4600 Brookpark Road, Cleveland, OH 44134-1012. License No. PA-AH 0456. Effective January 6, 2014.

**Ecology Services, Inc.**, 9135 Guilford Road STE 200, Columbia, MD 21046. License No. PA-Ah 0789. Effective January 7, 2014.

**Connecticut Tank Removal, Inc.**, 118 Burr Ct., Bridgeport, CT 06605. License No. PA-AH 0794. Effective January 13, 2014.

**Freehold Cartage, Inc.**, P. O. Box 5010, Freehold, NJ 07728-5010. License No. PA-AH 0067. Effective January 23, 2014.

**Environmental Specialists, Inc.**, 1101 Andrews Avenue, Youngstown, OH 44505. License No. PA-AH 0587. Effective January 30, 2014.

**S-J Transportation Company, Inc.**, P. O. Box 169, Woodstown, NJ 08098. License No. PA-AH 0015. Effective January 30, 2014.

**Interstate Chemical Company, Inc.**, 2797 Freedland Road, Hermitage, PA 16148. License No. PA-AH 0689. Effective February 4, 2014.

**Coal City Cob Company, Inc.**, P. O. Box 597, Waxahachie, TX 75168. License No. PA-AH 0589. Effective February 6, 2014.

**Carlucci Construction Company, Inc.**, 401 Meadow Street, Cheswick, PA 15024. License No. PA-AH 0297. Effective February 11, 2014.

**AERC.com, Inc.**, 2591 Mitchell Avenue, Allentown, PA 18103-6609. License No. PA-AH 0687. Effective February 12, 2014.

**Providence Environmental Concepts and Services, LLC**, 312 Sharp Road, Columbia, SC 29203. License No. PA-AH 0739. Effective February 11, 2014.

**Elk Transportation, Inc.**, 1420 Clarion Street, Reading, PA 19061. License No. PA-AH 0413. Effective February 12, 2014.

*Hazardous Waste Transporter License Issued*

**Energy Transportation, LLC**, P. O. Box 430, Bridgeport, WV 26330. License No. PA-AH 0807. Effective October 3, 2013.

**Environmental Management Specialist, Inc.**, 4601 Homer Shio Lane, Groveport, OH 43125. License No. PA-AH 0806. Effective October 30, 2013.

**Ranger Environmental Services, LLC**, 10601 Highway 43, Creola, AL 36525-4537. License No. PA-AH 0809. Effective November 12, 2013.

**Dirt Excavating, LLC**, 1067 Lafferty Lane, Bradford, PA 16701-4707. License No. PA-AH 0808. Effective November 15, 2013.

**Manage Direct Systems Environmental, LLC**, 5028 Peach Blossom Drive, Douglassville, PA 19518. License No. PA-AH 0810. Effective December 6, 2013.

**Lamp Recyclers of Louisiana, Inc.**, 11441 Fontana Lane, Independence, LA 70443-4535. License No. PA-AH 0811. Effective January 3, 2014.

**Hazardous Waste Transporter License, actions taken under the Solid Waste Management Act and regulations to transport hazardous waste.**

*Central Office: Bureau of Waste Management, Division of Hazardous Waste Management, PO Box 69170, Harrisburg, PA 17106-9170*

*Hazardous Waste Transporter License Voluntarily Terminated*

**FCC Environmental, LLC**, 523 N. Same Houston Parkway East, Suite 400, Houston, TX 77060. License No. PA-AH 0752. Effective October 8, 2013.

**Superior Carriers, Inc.**, 711 Jorie Blvd, Suite 101 North, Oak Brook, IL 60523. License No. PA-AH 0686. Effective January 2, 2014.

**Barr Transportation Corporation**, 174 York Street, Auburn, NY 13021. License No. PA-AH 0571. Effective January 15, 2014.

*Hazardous Waste Transporter License Expired*

**Terra Contracting, LLC**, 5787 Stadium Drive, Kalamazoo, MI 49009. License No. PA-AH 0792. Effective November 30, 2013.

**INFECTIOUS AND CHEMOTHERAPEUTIC WASTE TRANSPORTER LICENSE**

**Actions on applications for Infectious and Chemotherapeutic Waste Transporter License received under the Solid Waste Management Act and Act 93 of June 28, 1988 (P. L. 525, No. 93) and regulations to transport infectious and chemotherapeutic waste.**

*Central Office: Bureau of Waste Management, Division of Hazardous Waste Management, PO Box 69170, Harrisburg, PA 17106-9170*

*Infectious and Chemotherapeutic Waste Transporter License Renewed*

**R. Mor Enterprises, Inc.**, 11 Harts Lane, Suite E, East Brunswick, NJ 08816. License No. PA-HC 0246. Effective October 9, 2013.

**Clean Harbors Environmental Services, Inc.**, 42 Longwater Drive, Norwell, MA 02061. License No. PA-HC0053. Effective December 3, 2013.

**UPMC Altoona**, 620 Howard Avenue, Altoona, PA 16601. License No. PA-HC0124. Effective December 9, 2013.

**JPS Equipment Company**, P. O. Box 788, 5038A West Chester Pike, Edgmont, PA 19028. License No. PA-HC0142. Effective January 29, 2014.

**Triumvirate Environmental, Inc.** 200 Inner Belt Road, Somerville, MA 02143. License No. PA-HC0245. Effective February 12, 2014.

**Infectious and Chemotherapeutic Waste Transporter License, actions taken under the Solid Waste Management Act and Act 93 of June 28, 1988 (P. L. 525, No. 93) and regulations to transport infectious and chemotherapeutic waste.**

*Central Office: Bureau of Waste Management, Division of Hazardous Waste Management, PO Box 69170, Harrisburg, PA*

*Infectious and Chemotherapeutic Waste Transporter License Voluntarily Terminated*

**Daniels New Jersey, LLC**, 111 W. Jackson Blvd, Suite 720, Chicago, IL 60604. License No. PA-HC 0222. Effective July 1, 2013.

**RESIDUAL WASTE GENERAL PERMITS**

**Permit Issued under the Solid Waste Management Act, the Municipal Waste Planning, Recycling and Waste Reduction Act (53 P. S. §§ 4000.101—4000.1904) and Residual Waste Regulations for a General Permit to Operate Residual Waste Processing Facilities and the Beneficial Use of Residual Waste other than Coal Ash.**



*Central Office: Division of Municipal and Residual Waste, Rachel Carson State Office Building, 14th Floor, 400 Market Street, Harrisburg, PA 17105-8472.*

**General Permit No. WMGR002. Domtar-Johnsonburg Mill**, 100 Center Street, Johnsonburg, PA 15845. For the beneficial use of wastewater treatment sludge generated by paper and pulp mills for use as a soil additive to: establish or reestablish agricultural activity on disturbed land; establish herbaceous wildlife habitat; facilitate revegetation on disturbed land at permitted and abandoned mine sites. The application for renewal of General Permit Number WMGR002 was issued by Central Office on February 5, 2014.

Persons interested in reviewing a general permit should be directed to Scott E. Walters at 717-787-7381, Chief, Permits Section, Division of Municipal and Residual Waste, Bureau of Waste Management, P. O. Box 69170, Harrisburg, PA 17106-9170. TDD users may contact the Department through the Pennsylvania Relay service, (800) 654-5984.

**General Permit No. WMGR002D012. HUD, Inc. T/A Emerald Anthracite II**, 31 North Market Street, Nanticoke, PA 18364. For the beneficial use of wastewater treatment sludge generated by paper and pulp mills for use as a soil additive to: establish or reestablish agricultural activity on disturbed land; establish herbaceous wildlife habitat; facilitate revegetation on disturbed land at permitted and abandoned mine sites. The application for General Permit Number WMGR002D012 was issued by Central Office on February 5, 2014.

Persons interested in reviewing a general permit should be directed to Scott E. Walters at 717-787-7381, Chief, Permits Section, Division of Municipal and Residual Waste, Bureau of Waste Management, P. O. Box 69170, Harrisburg, PA 17106-9170. TDD users may contact the Department through the Pennsylvania Relay service, (800) 654-5984.

#### OPERATE WASTE PROCESSING OR DISPOSAL AREA OR SITE

**Permit(s) issued under the Solid Waste Management Act, the Municipal Waste Planning, Recycling and Waste Reduction Act and Regulations to Operate Solid Waste Processing or Disposal Area or Site.**

*Southwest Regional Office, Regional Solid Waste Manager, 400 Waterfront Drive, Pittsburgh, PA 15222-4745, Telephone 412.442.4000.*

**Permit ID No. 101648. Stericycle Autoclave and Transfer Facility**, 380 Locust Street, McKeesport, PA 15132 for reissuance of the permit to operate an infectious/chemotherapeutic processing facility located in the City of McKeesport, **Allegheny County**. Permit reissued in Regional Office to Stericycle, Inc. on February 26, 2014.

#### AIR QUALITY

**General Plan Approval and Operating Permit Usage Authorized under the Air Pollution Control Act (35 P. S. §§ 4001—4015) and 25 Pa. Code Chapter 127 to construct, modify, reactivate or operate air contamination sources and associated air cleaning devices.**

*Northeast Region: Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18711-0790*

*Contact: Ray Kempa, New Source Review Chief—Telephone: 570-826-2507*

**GP9-58-018: Meshoppen Stone, Inc.** (P. O. Box 127, Meshoppen, PA 18630) on February 25, 2014, to install and operate four (4) Diesel IC engines at the Nowicki North Range Pad in Oakland Township, **Susquehanna County**.

*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**GP4-67-03169A: Strip-It-Clean, Inc.** (605 Loucks Mill Road, York, PA 17403) on February 28, 2014, for installation and operation of a second burn-off oven, and the continued operation of an existing burn-off oven, at the facility in Spring Garden Township, **York County**.

**GP1-28-03021: PA Dept. of Public Welfare—South Mountain Restoration Center** (10058 South Mountain Road, South Mountain, PA 17261-0999) on February 27, 2014, for the three (3) existing natural gas/#2 oil-fired boilers, at the long term care facility in Quincy Township, **Franklin County**. The general permit authorization was renewed.

**GP3-06-03161: Liberty Excavators, Inc.** (4402 Gettysburg Road, Camp Hill, PA 17011) on February 27, 2014, for a portable nonmetallic mineral processing plant under GP3 at the Old Dana Memorial Park, in Reading City, **Berks County**.

**GP11-06-03161: Liberty Excavators, Inc.** (4402 Gettysburg Road, Camp Hill, PA 17011) on February 27, 2014, for three nonroad engines under GP11, to power portable nonmetallic mineral processing equipment at the Old Dana Memorial Park, in Reading City, **Berks County**.

*Northcentral Region: Air Quality Program, 208 West Third Street, Williamsport, PA 17701*

*Contact: Muhammad Q. Zaman, Environmental Program Manager - Telephone: 570-327-3648*

**GP3-08-337G: Glenn O Hawbaker, Inc.** (711 East College Avenue, Bellefonte, PA 16823) on February 24, 2014, to authorize construction and operation of a Sandvik Model QE440 portable screening unit pursuant to the General Plan Approval And/Or General Operating Permit For Portable Nonmetallic Mineral Processing Plants (BAQ-GPA/GP-3) at their Greens Landing facility in Athens Township, **Bradford County**.

**GP11-08-337G: Glenn O Hawbaker, Inc.** (711 East College Avenue, Bellefonte, PA 16823) on February 24, 2014, to authorize construction and operation of one (1) 122 bhp Deutz model TCD2012L04 diesel-fired engine pursuant to the General Plan Approval and General Operating Permit for Nonroad Engines (BAQ-GPA/GP-11) at their Greens Landing facility in Athens Township, **Bradford County**.

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Edward Orris, New Source Review Chief—Telephone: 814-332-6636*

**GP5-16-163A: People's Natural Gas Co., LLC—Redbank Compressor Station** (Truittsburg Road, Fairmount City, PA 16224) on February 27, 2014, to operate one (1) lean burn, 4 stroke, natural gas fired compressor engine, Caterpillar Model No. 3406, one (1)

Hanover (FLOCO/IRSI) natural gas dehydrator, and one (1) 2,000 gallon produced water storage tank (BAQ/GPA/GP-5) in Redbank Township, **Clarion County**.

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**Plan Approvals Issued under the Air Pollution Control Act and regulations in 25 Pa. Code Chapter 127, Subchapter B relating to construction, modification and reactivation of air contamination sources and associated air cleaning devices.**

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*Southeast Region: Air Quality Program, 2 East Main Street, Norristown, PA 19401*

*Contact: Sachin Shankar, New Source Review Chief—Telephone: 484-250-5920*

**46-0142E: Custom Processing Services, LLC** (461 State Street, East Greenville, PA 18041) on February 25, 2014, for a Cyclone & a baghouse replacing the existing baghouse on Coarse System in East Greenville Borough, **Montgomery County**. The company provides customized grinding, milling, blending, and drying services of various mineral products. The pollutant of concern is particulate matter. Cyclone & the Dust collector are used on source for particulate matter control. The Plan Approval and Operating Permit will include monitoring, record keeping and reporting requirements designed to address all applicable air quality requirements.

**46-0200E: John Middleton Co.** (418 West Church Road, King of Prussia, PA 19406) on February 26, 2014, for a new regenerative thermal oxidizer (RTO) (Source ID C01A) to control emissions of volatile organic compounds (VOC) from tobacco dryers at its existing tobacco manufacturing facility in Upper Merion Township, **Montgomery County**. The new RTO has a 5 MMBtu/hr capacity. This facility is a minor source and will remain so with the approval of Plan Approval 46-0200E. The company has proposed the new RTO as a replacement for the existing thermal oxidizer (Source ID C01), which is nearing the end of its useful life. The company has indicated that the manufacturer guaranteed destruction efficiency of VOCs in the new RTO is 98%, which is accepted as Best Available Technology (BAT) by the Department. The new oxidizer will also serve as a back-up control device for Top Dressing Application (Source ID 102A), which is routinely controlled by an existing RTO (Source ID C04). With the application, the company also proposes revised emissions limits and estimates for several sources constructed under Plan Approval 46-0200C, based on emissions information gained in operation of the newly constructed sources and stack testing conducted under the Plan Approval 46-0200C. John Middleton has requested an increase to 17.3 tons/year VOC from the combination of the Top Dressing Application and the Humectant Application sources from the 14.3 tons/year approved under Plan Approval 46-0200C. The company has taken operating restrictions in other process units so that this increase will be partially offset and facility wide VOC emissions will remain below the current limit of 24.9 tons/year. Estimates for particulate matter (PM), nitrogen oxides (NO<sub>x</sub>), sulfur dioxide (SO<sub>2</sub>), and carbon monoxide (CO) emissions from the facility are decreased with replacement of the oxidizer due to the increased efficiency and lower capacity of the proposed RTO. The permittee shall monitor the temperature of the RTO combustion chamber to assure optimum operation of the oxidizer. The permittee shall keep records and meet work practice standards to minimize emissions and keep the facility operating within all applicable emission standards.

*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**21-03075A: Mellott Co.** (100 Mellott Drive, Warfordsburg, PA 17267) on February 27, 2014, to construct four diesel-powered reciprocating internal combustion engines at Pennsy Supply's Newville quarry in Penn Township, **Cumberland County**.

**ER-28-05002K Letterkenny Army Depot** (1 Overcash Avenue, Chambersburg, PA 17201) on February 21, 2014, for an Air Quality Emission Reduction Credit (ERC) approval of 0.12 ton of volatile organic compounds (VOC) from the shutdown of Source 109 (Pallet Booth #2527), at the military facility in Letterkenny Township, **Franklin County**.

**34-05001D5: AC Products, Inc.** (12391 William Penn Highway, Thompsettown, PA 17094-8649) on March 3, 2014, to incorporate the relevant provisions from 40 CFR 63, Subpart DDDDD, into the air quality permit for the wood cabinet manufacturing facility in Delaware Township, **Juniata County**.

*Southwest Region: Air Quality Program, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

*Contact: Mark Gorog and Barb Hatch, Environmental Engineer Managers - Telephone: 412-442-4163/5226*

**30-00195A: Equitrans, LP** (625 Liberty Avenue, Suite 1700 EQT Plaza, Pittsburgh, PA 15222) on February 26, 2014, for installation and temporary operation of one Solar Mars 100-16000S natural gas-fired combustion turbine rated at 16,301-hp (ISO) equipped with dry low-NOX combustion system and an oxidation catalyst. The turbine will drive a centrifugal natural gas compressor at the Jefferson Compressor Station, an existing natural gas transmission station located in Jefferson Township, **Greene County**.

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**Plan Approval Revisions Issued including Extensions, Minor Modifications and Transfers of Ownership under the Air Pollution Control Act and 25 Pa. Code §§ 127.13, 127.13a and 127.32.**

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*Southeast Region: Air Quality Program, 2 East Main Street, Norristown, PA 19401*

*Contact: Sachin Shankar, New Source Review Chief—Telephone: 484-250-5920*

**15-0002G: QG, LLC.** (4581 Lower Valley Road, Atglen, PA 19310) on February 16, 2014, for the operation of new enclosed 10-unit rotogravure publication printing press in West Sadsbury Township, **Chester County**.

**09-0024H: Waste Management of PA, Inc.** (1000 New Ford Mill Road, Morrisville, PA 19067) On February 26, 2014, for the operation of a landfill gas fired 2233 hp IC engine in Tullytown Borough, **Buck County**.

**46-0169D: Constantia Colmar, Inc.** (92 County Line Road, Colmar, PA 18915) On February 27, 2014, for the operation of a new flexographic press in Hatfield Township, **Montgomery County**.

*Northcentral Region: Air Quality Program, 208 West Third Street, Williamsport, PA 17701*

*Contact: Muhammad Q. Zaman, Environmental Program Manager—Telephone: 570-327-3648*

**53-00001E: Tennessee Gas Pipeline Co., LLC** (1001 Louisiana Street, Houston, TX 77002) on February 27, 2014, to extend the authorization to operate, pursuant to the terms and conditions of the plan approval, the emergency engine-generator, Source ID P309A, an additional 180 days for compliance evaluation purposes and to allow time for incorporating the unit into the Title V Operating Permit for their Station 313 facility, in Hebron Township, **Potter County**. The plan approval has been extended to September 22, 2014.

**59-00008B: Tennessee Gas Pipeline Co., LLC** (1001 Louisiana Street, Houston, TX 77002) on February 27, 2014, for authorization to operate pursuant to the terms and conditions of the plan approval a centrifugal compression process, Source ID P101A, and an emergency generator, Source ID P102A, an additional 180 days for compliance evaluation purposes and to allow time for incorporating the units into the State Only operating permit for their Station 315 facility, in Charleston Township, **Tioga County**. The plan approval has been extended to September 4, 2014.

**59-00005G: Dominion Transmission, Inc.** (501 Martindale St. Suite 400, Pittsburgh, PA 15212-5817) on February 28, 2014, to extend the authorization for the construction of a 2370 horsepower, natural-gas fired reciprocating internal combustion compressor engine controlled by a prechambered combustion system, an LE-54C air/fuel ratio controller and an EAS model EN4YE28 oxidation catalyst, for the construction of a 5810 horsepower (49.98 million Btu per hour heat input), natural-gas fired compressor turbine, controlled by a dry low NO<sub>x</sub> (SoLoNO<sub>x</sub>) combustion system and a Universal Silencer oxidation catalyst and for the construction of eight 65 kilowatt model C65 NG Low NO<sub>x</sub> Capstone Micro-Turbines, at the Sabinsville Station in Clymer Township, **Tioga County** to August 29, 2014. The plan approval has been extended.

*Southwest Region: Air Quality Program, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

*Contact: M. Gorog & B. Hatch, Environmental Engineer Managers—Telephone: 412-442-4163/5226*

**30-00150A: Wellington Development—WVDT, LLC** (1620 Locust Avenue, Fairmont, WV 26554) on February 5, 2014, for a Plan Approval inactivation effective February 6, 2014, for two waste coal fired, circulating fluidized bed boilers with a net generating capacity of 525 megawatts at the Greene Energy Resource Recovery Project in Cumberland Township, **Greene County**.

**32-00059E: GenOn Northeast Management Company** (121 Champion Way, Suite 200, Canonsburg, PA 15317) on March 3, 2014, as a result of equipment startup, to establish the 180-day period of temporary operation of the limestone and hydrated lime storage silos controlled by bin vent filters authorized under PA-32-00059E at the Conemaugh Power Plant located in West Wheatfield Township, **Indiana County**. Installation of SCR systems capable of controlling Unit 1 and 2 remains authorized under this plan approval.

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Edward Orris, New Source Review Chief—Telephone: 814-332-6636*

**10-379A: XTO Energy—dba Mountain Gathering LLC—Penn Cryo Facility** (810 Houston Street, Fort Worth, TX 76102-6203) on February 28, 2014, to issue a plan approval extension for installation of a 125 MMcf/d natural gas processing plant at 230 Hicks Road, Renfrew, PA 16053 in Penn Township, **Butler County**. Sources at the site will include a process heater, process storage tanks, a gas processing plant and facility roadways.

**24-083U: Mersen USA—St. Marys** (215 Stackpole Street, St. Marys, PA 15846) on March 3, 2014, effective March 31, 2014, will issue a plan approval extension for the installation of a continuous baking kiln and associated regenerative thermal oxidizer and wet scrubber at their facility in the City of St. Marys, **Elk County**. This is a Title V facility.

**62-150D: Superior Tire & Rubber Corp.** (1818 Pennsylvania Avenue W, PO Box 308, Warren, PA 16365), on February 28, 2014, effective March 31, 2014, will issue a plan approval extension for construction of a new adhesive spray booth in Warren City, **Warren County**. This is a State Only facility.

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**Title V Operating Permits Issued under the Air Pollution Control Act and 25 Pa. Code Chapter 127, Subchapter G.**

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*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**36-05024: Bigbee Steel & Tank Co.** (1 Highland Road, Stoystown, PA 15563) on February 21, 2014, for their steel storage tank manufacturing facility in Rapho Township, **Lancaster County**. The Title V permit was renewed.

*Northcentral Region: Air Quality Program, 208 West Third Street, Williamsport, PA 17701*

*Contact: Muhammad Zaman, Environmental Program Manager—Telephone: 570-327-3648*

**49-00033: Watsonstown Brick Co.** (PO Box 68, Route 405 Watsonstown, PA 17777-0068) on March 3, 2014, to issue a renewal Title V operating permit for their brick manufacturing facility in Delaware Township, **Northumberland County**. The facility's main sources include three brick kilns, material sizing equipment and diesel fired emergency generators. The Title V operating permit contains all applicable regulatory requirements including monitoring, recordkeeping and reporting conditions.

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Matthew Williams, Facilities Permitting Chief—Telephone: 814-332-6131*

**16-00124: Allegheny Valley Connector** (625 Liberty Avenue, Suite 1700, Pittsburgh, PA 15222-3114) on February 27, 2014, issued an administrative amendment to the Title V Operating Permit for the gas transmission facility in Redbank Township, **Clarion County**. The amendment incorporated the conditions from Plan Approval 16-124B, changed the ownership from Peoples Natural Gas (PNG) to Allegheny Valley Connector, removed sources 110 and 112 which were not transferred by PNG, and removed source 107 which was removed from the site prior to the sale.

**16-00132: Clarion Boards Inc.** (PO Box 340, 143 Fiberboard Road, Shippensburg, PA 16254-0340) on Febru-

ary 28, 2014, issued an administrative amendment to the Title V Operating Permit for the Medium Density Fiber Board facility in Paint Township, **Clarion County**. The amendment incorporated the conditions from Plan Approval 16-132J.

**33-00033: Owens-Brockway Glass Container, Inc.—Plant No. 18** (Cherry Street, Brockway, PA 15824) on February 27, 2014, to renew a Title V Permit to operate a glass container manufacturing facility in Brockway Borough, Jefferson County. The facility's emitting sources include Glass melting furnace B, refiner, two forehearts, two lehrs, eight raw material handling & silos, cullet handling and storage, batch gathering and mixing, miscellaneous combustion sources, two container forming machines, road fugitives, hot end surface treatment (HEST), two degreaser units, ACL decorating lehrs A1, A2 and A3, 5 KW, 75 KW, 100 KW emergency generator miscellaneous IC engines and, miscellaneous natural gas usage. The facility is a major facility for Title V due to its potential to emit of Oxides of Nitrogen and Oxides of Sulfur. The three emergency generators are subject to 40 CFR Part 63, Subpart ZZZZ. All applicable conditions of Subpart ZZZZ are included in the permit. The applicable conditions of 40 CFR Part 63, Subpart SSSSSS were previously included in the permit and have not been changed by this renewal. The facility provided the following actual emissions for 2012: CO: 13.5 Tons per year (TPY), Lead: 0.10 TPY, NO<sub>x</sub>: 129.20 TPY, PM-10: 58.40 TPY, PM-2.5: 56.30 TPY, SO<sub>x</sub>: 106.00 TPY, VOC: 13.00 TPY, Methane: 0.40 TPY Ammonia: 0.30 TPY, Carbon Dioxide: 19,499.00 TPY, Selenium: 0.13 TPY, and Tetrachloroethylene (Perchloroethylene): 0.4799 TPY.

**Operating Permits for Non-Title V Facilities Issued under the Air Pollution Control Act and 25 Pa. Code Chapter 127, Subchapter F.**

*Southeast Region: Air Quality Program, 2 East Main Street, Norristown, PA 19428*

*Contact: Janine Tulloch-Reid, Facilities Permitting Chief—Telephone: 484-250-5920*

**46-00026: Global Packaging, Inc.** (209 Brower Ave. Oaks, PA 19456) On February 25, 2014, for renewal of a State-Only Operating Permit for a packaging printing operation in Upper Providence Township, **Montgomery County**. This Operating Permit contains all applicable state and federal regulations applicable to the facility including emission limitations, operating restrictions, work practice, monitoring, and recordkeeping requirements designed to keep the facility operating within all applicable air quality requirements.

**15-00121: Delaware Valley Custom Marble, Inc.** (dba Glenmar Manufacturing) (4 Briar Drive, West Grove, PA 19390) On February 25, 2014, for operations at their cast polymer manufacturing facility in Penn Township, **Chester County**. The renewal permit is for a non-Title V (State Only) facility. The facility elects to cap Volatile Organic Compound (VOC) and Hazardous Air Pollutant (HAP) emissions less than major thresholds; therefore the facility is categorized as a Synthetic Minor. The permit will include monitoring, recordkeeping and reporting requirements designed to keep the facility operating within all applicable air quality requirements.

**09-00118: Associated Rubber, Inc.** (115 South 6th Street, Quakertown, PA 18951-0520) on February 26, 2014, for renewal of a Natural Minor Operating Permit in Quakertown Borough, **Bucks County**. Associated Rubber is a manufacturer of custom-molded rubber and rubber

bonded to metal products including natural and synthetic rubbers, silicones, urethanes and specialty elastomers. Air emission sources at this facility include a vapor degreaser for curing and cleaning rubber, and two small boilers which supply heat to the facility and the manufacturing process. The renewed operating permit includes work practice standards, and monitoring, recordkeeping and reporting requirements designed to keep the facility operating within all applicable local, state, and federal air quality requirements.

*Northeast Region: Air Quality Program, 2 Public Square, Wilkes-Barre, PA 18711-0790*

*Contact: Ray Kempa, New Source Review Chief—Telephone: 570-826-2507*

**48-00047: Highway Materials, Inc.** (1750 Walton Road, Blue Bell, PA 19422-0465) on February 26, 2014, for manufacture of Asphalt Paving Mixtures and Blocks in Upper Nazareth Township, **Northampton County**. The primary sources consist of a Hot Mix Asphalt Plant, Elevators, Screens, Bins, and two (2) Diesel IC Engines. The sources are considered minor emission sources of nitrogen oxide (NO<sub>x</sub>), sulfur oxides (SO<sub>x</sub>), carbon monoxide (CO), particulate matter (PM<sub>10</sub>), and volatile organic compounds (VOC) emissions. This is a renewal State-Only Synthetic Minor operating permit. The State-Only operating permit includes emissions, work practice standards and testing, monitoring, recordkeeping and reporting requirements designed to keep the facility operating within all applicable air quality requirements.

**13-00010: Ametek Westchester Plastics** (42 Mountain Avenue, Nesquehoning, PA 18240-2201) on February 25, 2014, to issue a state only operating permit (renewal) for custom compounding of purchased plastic resins at Nesquehoning, **Carbon County**. This is a renewal State-Only Natural Minor operating permit. The State-Only operating permit includes emissions, work practice standards and testing, monitoring, recordkeeping and reporting requirements designed to keep the facility operating within all applicable air quality requirements.

*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**67-05102: Pinnacle Propane Express LLC** (149 Bowman Road, York, PA 17408-8792) on February 18, 2014, for their propane filling plant in Jackson Township, **York County**. The State-only permit was renewed.

**36-03135: Shared Mail Acquisitions LLC** (72 Industrial Circle, Lancaster, PA 17601-5928) on February 24, 2014, for their printing facility in Upper Leacock Township, **Lancaster County**. The State-only permit was renewed.

**67-05099: Kinsley Construction, Inc.** (1110 E. Princess Street, York, PA 17403-2543) on February 21, 2014, for their steel fabrication facility in York City, **York County**. The State-only permit was renewed.

**36-03046: Packaging Corp. of America** (1530 Fruitville Pike, Lancaster, PA 17601-4006) on February 21, 2014, for their cardboard manufacturing facility in Lancaster City, **Lancaster County**. The State-only permit was renewed.

**31-03002: New Enterprise Stone & Lime Co., Inc.** (PO Box 77, New Enterprise, PA 16664-0077) on February 18, 2014, for the limestone crushing plant at the Union

Furnace Quarry in Spruce Creek Township, **Huntingdon County**. The State-only permit was renewed.

*Northcentral Region: Air Quality Program, 208 West Third Street, Williamsport, PA 17701*

*Contact: Muhammad Q. Zaman, Environmental Program Manager—Telephone: 570-327-3648*

**41-00026: General Cable Industries Inc.** (409 Reighard Avenue Williamsport, Pa 17701-4171) on February 25, 2014, to issue a state only operating permit for their facility in Williamsport City, **Lycoming County**. The state only operating permit contains all applicable regulatory requirements including monitoring, recordkeeping and reporting conditions.

*Southwest Region: Air Quality Program, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

*Contact: Barbara Hatch, Facilities Permitting Chief—Telephone: 412-442-4174*

**56-00177: Somerset County** (300 N. Center Ave., Suite 500, Somerset, PA, 15501) On February 27, 2014 the Department issued a renewal Natural Minor State Only Operating Permit for the operation of two coal-fired 2.4 mmbtu/hr boilers and a diesel-fired 125 kW emergency generator at the Somerset County Courthouse in Somerset Borough, **Somerset County**. The facility is subject to the applicable requirements of Pa Code Title 25 Chapters 121 through 145. The proposed Operating Permit contains applicable emission limits, as well as testing, monitoring, recordkeeping, reporting and work practice requirements.

**11-00242: Westmont Hilltop School District** (827 Diamond Blvd., Johnstown, PA, 15905) On February 27, 2014 the Department issued a renewal Natural Minor State Only Operating Permit for the operation two 7.74 mmbtu/hr tri-fuel boilers and a diesel-fired, 150 kilowatt emergency generator at the Westmont Hilltop High School in Upper Yoder Township, **Cambria County**. The permittee has committed to burning only natural gas in the boilers in the future to avoid applicability of 40 CFR 63 Subpart JJJJJJ. The facility is subject to the applicable requirements of Pa Code Title 25 Chapters 121 through 145. The final Operating Permit contains applicable emission limits, as well as testing, monitoring, recordkeeping, reporting and work practice requirements.

**65-00080: Duraloy Technologies, Inc.** (120 Bridge Street, Scottdale, PA 15683) on February 28, 2014 a Synthetic minor State Only Operating Permit (SOOP) renewal to Duraloy to authorize the continued operation of their specialty steel cast tubular and molded products manufacturing facility in Scottdale, **Westmoreland County**.

*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Edward Orris, New Source Review Chief—Telephone: 814-332-616636*

**43-00270: CCL Container—Advanced Monobloc Aerosol Division** (One Llodio Drive, Hermitage, PA 16148) on February 10, 2014, to re-issue a Synthetic Minor State Only Operating Permit to operate this can manufacturing facility, in the City of Hermitage, **Mercer County**. Emissions from this facility continue to be below the major source thresholds. Annual potential emissions are as follows: NO<sub>x</sub>—8.8 tons, SO<sub>x</sub>—0.04 tons, CO—5.4

tons, VOC—49.5 tons, PM<sub>10</sub>—0.49 tons, Total HAPs—24.5 tons, and Individual HAPs 9.5 tons.

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**Operating Permit Revisions Issued including Administrative Amendments, Minor Modifications or Transfers of Ownership under the Air Pollution Control Act and 25 Pa. Code §§ 127.412, 127.450, 127.462 and 127.464.**

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*Southcentral Region: Air Quality Program, 909 Elmerton Avenue, Harrisburg, PA 17110*

*Contact: Thomas J. Hanlon, Facility Permitting Chief—Telephone: 717-705-4862 or William Weaver, Regional Air Quality Manager, Telephone: 717-705-4702.*

**07-05008: Team Ten LLC** (1600 Pennsylvania Avenue, PO Box 99, Tyrone, PA 16686) on February 13, 2014, for their Tyrone Paper Mill in Tyrone Borough, **Blair County**. The Title V permit underwent a minor modification to incorporate a 1-year extension for the requirements of 40 CFR Part 63, Subpart DDDDD, for the Source 033A Babcock & Wilcox No. 7 Boiler.

*Southwest Region: Air Quality Program, 400 Waterfront Drive, Pittsburgh, PA 15222-4745*

*Contact: Barbara Hatch, Facilities Permitting Chief—Telephone: 412-442-4174*

**65-000354: Sunoco Partners Marketing & Terminals L.P.** (1734 Old Route 66, Delmont, PA, 15626) on February 25, 2014, to modify the Title V Operating Permit for operation of their Delmont Terminal, in Salem Township, **Westmoreland County**.

The facility contains air contamination sources consisting of four gasoline storage tanks, with storage capacities of 10,710 barrels, 47,000 barrels, 41,000 barrels, and 60,000 barrels, one 340,200 gallon transmix tank, two ethanol tanks with capacities of 103,000 gallons and 100,072 gallons, two ultra-low sulfur diesel tanks with capacities of 21,000 gallons and 60,000 gallons, and gasoline and distillate loading racks. Emissions from the loading rack are controlled by a vapor recovery unit and a backup vapor combustion unit. Emissions from tanks containing gasoline or ethanol are controlled by internal floating roofs. One Ultra Low Sulfur Diesel tank is also equipped with an internal floating roof.

No emission or equipment changes have been approved by this action. The emission restriction, testing, monitoring, recordkeeping, reporting and work practice conditions of the TVOP have been derived from the applicable requirements of 40 CFR Parts 52, 60, and 63 and PA Code Title 25, Article III, Chapters 121 through 145.

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**Operating Permits Denied, Terminated, Suspended or Revoked under the Air Pollution Control Act and 25 Pa. Code §§ 127.431 and 127.461.**

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*Northwest Region: Air Quality Program, 230 Chestnut Street, Meadville, PA 16335-3481*

*Contact: Edward Orris, New Source Review Chief—Telephone: 814-332-6636*

**33-00038: Brookville Wood Products** (12942 Route 322, Brookville, PA 15825-6946) on February 27, 2014, for their sawmill in Brookville Borough, **Jefferson County**. This State Operating Permit was revoked due to the permanent shutdown of equipment at the facility associated with this permit.

## ACTIONS ON COAL AND NONCOAL MINING ACTIVITY APPLICATIONS

**Actions on applications under the Surface Mining Conservation and Reclamation Act (52 P. S. §§ 1396.1—1396.19a); the Noncoal Surface Mining Conservation and Reclamation Act (52 P. S. §§ 3301—3326); The Clean Streams Law; the Coal Refuse Disposal Control Act (52 P. S. §§ 30.51—30.66); and The Bituminous Mine Subsidence and Land Conservation Act (52 P. S. §§ 1406.1—1406.20a). The final action on each application also constitutes action on the NPDES permit application and, if noted, the request for a Section 401 Water Quality Certification. Mining activity permits issued in response to applications will also address the application permitting requirements of the following statutes: the Air Quality Pollution Act (35 P. S. §§ 4001—4014); the Dam Safety and Encroachments Act (32 P. S. §§ 693.1—693.27); and the Solid Waste Management Act (35 P. S. §§ 6018.101—6018.1002).**

### Coal Permits Issued

*Cambria District Mining Office: 286 Industrial Park Road, Ebensburg, PA 15931, 814-472-1900*

**Permit No. 11850107 and NPDES No. PA 0597341. AMFIRE Mining Co., LLC**, ONE Energy Place, Latrobe, PA 15650, permit renewal for the continued operation and restoration of a bituminous surface mine in Portage Township, **Cambria County**, affecting 85.7 acres. Receiving streams: unnamed tributaries to/and Spring Run and unnamed tributaries to/and Trout Run, classified for the following use: cold water fishery. The first downstream potable water supply intake from the point of discharge is Cambria Somerset Authority Little Conemaugh River SWI. Application Received August 20, 2013. Permit Issued: February 12, 2014.

*Greensburg District Mining Office: Armbrust Professional Center, 8205 Route 819, Greensburg, PA 15601, 724-925-5500*

**03030102 and NPDES Permit No. PA0250350. Bedrock Mines, LP** (111 Freeport Road, Pittsburgh, PA 15215). Permit renewal issued for continued operation and reclamation to an existing bituminous surface mine, located in Sugarcreek and East Franklin Townships, **Armstrong County**, affecting 256.5 acres. Receiving streams: Long Run and unnamed tributary to Long Run. Application received: August 29, 2013. Permit issued: February 28, 2014.

*Knox District Mining Office: P. O. Box 669, 310 Best Avenue, Knox, PA 16232-0669, 814-797-1191*

**33070104 and NPDES Permit No. PA0258351. Cookport Coal Company, Inc.** (425 Market Street, Kittanning, PA 16201) Revision to an existing bituminous surface mine and associated NPDES permit to add 5.9 acres in Young & McCalmont Townships, **Jefferson County**, affecting a total of 25.6 acres. Receiving streams: Unnamed tributary to Elk Run. Application received: November 18, 2013. Permit Issued: February 25, 2014.

*Moshannon District Mining Office: 186 Enterprise Drive, Philipsburg, PA 16866, 814-342-8200*

**17970106 and NPDES PA0220612. Junior Coal Contracting, Inc.** (2330 Six Mile Road, Philipsburg, PA 16866). Transfer of an existing bituminous surface mine

from Forcey Coal, Inc. located in Decatur Township, **Clearfield County** affecting 119.9 acres. Receiving streams: Big Run to Moshannon Creek classified as the following use(s): Cold Water Fishes. There are no potable water supply intakes within 10 miles downstream. Application received: August 20, 2013. Permit issued: February 21, 2014.

**17020101 and NPDES PA0243205. Junior Coal Contracting, Inc.** (2330 Six Mile Road, Philipsburg, PA 16866). Transfer of an existing bituminous surface mine from Forcey Coal, Inc. located in Decatur Township, **Clearfield County** affecting 61.0 acres. Receiving stream(s): Unnamed Tributaries to Big Run to Moshannon Creek classified for the following use(s): Cold Water Fishes. There are no potable water supply intakes within 10 miles downstream. Application received: August 22, 2013. Permit issued: February 21, 2014.

*Pottsville District Mining Office: 5 West Laurel Boulevard, Pottsville, PA 17901, 570-621-3118*

**Permit No. 40980101R2 and NPDES Permit No. PA0224944. Hazleton Materials, LLC**, (PO Box 1467, Skippack, PA 19474), renewal of an existing anthracite surface mine and coal refuse reprocessing operation in Foster Township, **Luzerne County** affecting 1261.0 acres, receiving streams: Little Sand Run, unnamed tributary to Buck Mountain Creek, Hazle Creek and Black Creek, classified for the following use: HQ-cold water fishes. Application received: August 23, 2010. Renewal and NPDES Permit Issued: February 19, 2014.

### Noncoal Permits Issued

*Knox District Mining Office: P. O. Box 669, 310 Best Avenue, Knox, PA 16232-0669, 814-797-1191*

**61990301-GP-104. Schiffer Excavating, Inc. d/b/a Cooperstown Sand & Gravel** (P. O. Box 4, Coopers-town, PA 16317) General NPDES Permit for stormwater discharges associated with mining activities on Surface Mining Permit No. 61990301 in Jackson Township, **Venango County**. Receiving streams: Sugar Creek. Application received: January 6, 2014. Permit Issued: February 25, 2014.

**43950303. H & H Materials, Inc.** (190 Canon Road, Stoneboro, PA 16153) Revision to an existing large industrial minerals mine to add 3.0 acres in Lake Township, **Mercer County**, for a total of 60.0 acres. Receiving streams: Three unnamed tributaries to Little Shenango River. Application received: December 12, 2013. Permit Issued: February 26, 2014.

**2097-43950303-E-2. H & H Materials, Inc.** (190 Canon Road, Stoneboro, PA 16153) Application for a stream encroachment to conduct mining activities within 100 feet of unnamed tributary No. 1 to Little Shenango River in Lake Township, **Mercer County**. Receiving streams: Three unnamed tributaries to Little Shenango River. Application received: December 12, 2013. Permit Issued: February 26, 2014.

*Moshannon District Mining Office: 186 Enterprise Drive, Philipsburg, PA 16866, 814-342-8200*

**08092804. DeCristo Inc.** (9070 Route 414, Canton, PA 17724). Bond release for small noncoal shale operation in Leroy Township, **Bradford County** affecting 5.0 acres. The permit was never activated and permittee requested bond release. Receiving stream: Unnamed Tributary to Towanda Creek. Application received: February 10, 2014. Bond released approved: February 25, 2014.

**08102804. DeCristo Inc.** (9070 Route 414, Canton, PA 17724). Bond release for small noncoal shale and sand-

stone operation in Leroy Township, **Bradford County** affecting 2.0 acres. The permit was never activated and permittee requested bond release. Receiving stream: Unnamed Tributary to Towanda Creek. Application received: February 10, 2014. Bond released approved: February 25, 2014.

**08970810. L & B Stone** (1221 Turkey Path Road, Wyalusing, PA 18853). Final bond release received for a small non coal mining operation in Tuscarora and Wyalusing Townships, **Bradford County**. Restoration of 3.0 acres completed. Receiving stream(s): Unnamed Tributary to Wyalusing Creek. Application received: February 24, 2014. Final bond release approved: February 27, 2014.

**53130803. Ronald F. Onufry, Jr.** (34 Parklane Drive, Port Allegany, PA 16743). Commencement, operation and restoration of a small noncoal flagstone operation in Portage Township, **Potter County** affecting 5.0 acres. Receiving stream(s): West Branch Freeman Run. Application received: October 24, 2013. Permit issued: February 21, 2014.

#### ACTIONS ON BLASTING ACTIVITY APPLICATIONS

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**Actions on applications under the Explosives Acts of 1937 and 1957 and 25 Pa. Code § 211.124. Blasting activity performed as part of a coal or noncoal mining activity will be regulated by the mining permit for that coal or noncoal mining activity.**

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##### *Blasting Permits Issued*

*Greensburg District Mining Office: Armbrust Professional Center, 8205 Route 819, Greensburg, PA 15601, 724-925-5500*

**63134004. Discovery Acquisitions Services, Inc.** (4141 Katy Hockley Road, Katy, TX 77493). Blasting activity permit to conduct seismic activity for the Eighty Four PA 3D located in N. Strabane, S. Strabane, Peters, Nottingham, Union, Fallowfield, Somerset, West Pike Run, N. Bethlehem and Amwell Townships, **Washington County** with an exploration date of December 31, 2014. Blasting permit issued: February 24, 2014.

**65144002. Ion Integrated Seismic Solutions** (2105 City West Blvd., Suite 900, Houston, TX 77042). Blasting activity permit to conduct seismic activity for the Greensburg 3D located in N. Huntingdon, E. Huntingdon, S. Huntingdon, Sewickley, Hempfield, and Rostraver Townships, Madison, Youngwood, New Stanton, Hunker, Suttersville, West Newton and Smithton Boroughs, **Westmoreland County**; South Versailles and Elizabeth Townships, **Allegheny County**; Perry Township, **Fayette County** with an exploration date of February 28, 2015. Blasting permit issued: February 24, 2014.

*Pottsville District Mining Office: 5 West Laurel Boulevard, Pottsville, PA 17901, 570-621-3118*

**Permit No. 36144107. Keystone Blasting Service**, (15 Hopeland Road, Lititz, PA 17543), construction blasting for Donegal Square in Rapho Township, **Lancaster County** with an expiration date of February 28, 2015. Permit issued: February 26, 2014.

**Permit No. 36144109. Maine Drilling & Blasting, Inc.**, (P. O. Box 1140, Gardiner, ME 04345), construction blasting for Brighton Development in Manheim Township, **Lancaster County** with an expiration date of February 25, 2015. Permit issued: February 26, 2014.

**Permit No. 38144101. Keystone Blasting Service**, (15 Hopeland Road, Lititz, PA 17543), construction blasting for John Harding manure pit in South Annville Township, **Lebanon County** with an expiration date of June 30, 2014. Permit issued: February 26, 2014.

**Permit No. 48144102. Maurer & Scott Sales, Inc.**, (122 Thomas Street, Coopersburg, PA 18036), construction blasting for Steeplechase Estates in Forks Township, **Northampton County** with an expiration date of March 31, 2015. Permit issued: February 26, 2014.

**Permit No. 58144109. Midstream Explosives, LLC**, (289 Southside Drive, Newville, PA 17241), construction blasting for Hickory Hartley Gathering Pipeline in Lenox Township, **Susquehanna County** with an expiration date of February 14, 2015. Permit issued: February 26, 2014.

#### FEDERAL WATER POLLUTION CONTROL ACT SECTION 401

The Department has taken the following actions on previously received permit applications, requests for Environmental Assessment approval and requests for Water Quality Certification under section 401 of the Federal Water Pollution Control Act (FWPCA) (33 U.S.C.A. § 1341).

Except as otherwise noted, the Department has granted 401 Water Quality Certification certifying that the construction and operation described will comply with sections 301—303, 306 and 307 of the FWPCA (33 U.S.C.A. §§ 1311—1313, 1316 and 1317) and that the construction will not violate applicable Federal and State water quality standards.

Persons aggrieved by an action may appeal that action to the Environmental Hearing Board (Board) under section 4 of the Environmental Hearing Board Act and 2 Pa.C.S. §§ 501—508 and 701—704. The appeal should be sent to the Environmental Hearing Board, Second Floor, Rachel Carson State Office Building, 400 Market Street, PO Box 8457, Harrisburg, PA 17105-8457, (717) 787-3483. TDD users may contact the Board through the Pennsylvania Relay Service, (800) 654-5984. Appeals must be filed with the Board within 30 days of publication of this notice in the *Pennsylvania Bulletin* unless the appropriate statute provides a different time period. Copies of the appeal form and the Board's rules of practice and procedure may be obtained from the Board. The appeal form and the Board's rules of practice and procedure are also available in Braille or on audiotape from the Secretary to the Board at (717) 787-3483. This paragraph does not, in and of itself, create a right of appeal beyond that permitted by applicable statutes and decisional law.

For individuals who wish to challenge an action, the appeal must reach the Board within 30 days. A lawyer is not needed to file an appeal with the Board.

Important legal rights are at stake, however, so individuals should show this notice to a lawyer at once. Persons who cannot afford a lawyer may qualify for free pro bono representation. Call the Secretary to the Board at (717) 787-3483 for more information.

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**Actions on applications for the following activities filed under the Dam Safety and Encroachments Act (32 P. S. §§ 693.1—693.27), section 302 of the Flood Plain Management Act (32 P. S. § 679.302) and The Clean Streams Law and Notice of Final Action for Certification under section 401 of the FWPCA.**

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*Permits, Environmental Assessments and 401 Water Quality Certifications Issued:*

### WATER OBSTRUCTIONS AND ENCROACHMENTS

*Northeast Region: Waterways and Wetlands Program Manager, 2 Public Square, Wilkes-Barre, PA 18711-1915, Telephone 570-826-2511.*

**E39-522. County of Lehigh**, 260 S. Cedarbrook Road, Allentown, PA 18104. South Whitehall Township and Whitehall Township, **Lehigh County**, Army Corps of Engineers Philadelphia District.

To construct and maintain an approximately 3,000-foot long, 8-foot wide pedestrian trail within the floodway and floodplain of the Jordan Creek and to modify and maintain an existing pedestrian bridge with work consisting of improving the approaches and widening the bridge deck from 4-feet to 8-feet. The project begins approximately 600 feet downstream from where Jordan Creek (TSF, MF) intersects Mauch Chunk Road bridge. The trail parallels the Jordan Creek from that point for approximately 3,000 linear feet downstream (Cementon, PA Quadrangle Latitude: 40°37'37"; Longitude: -75°30'21").

*Northwest Region: Watershed Management Program Manager, 230 Chestnut Street, Meadville, 16335.*

**E61-296, Mr. Justin Gvoth**, Verizon Wireless, 18 Abele Road, Bridgeville, PA 15017 in Allegheny Township, **Venango County**. ACOE Pittsburgh District

To permanently fill 0.046 acre of PEM wetland for the construction of a gravel pad for the installation of the proposed cellular tower and equipment building.

### DAM SAFETY

*Central Office: Bureau of Waterways Engineering and Wetlands, Rachel Carson State Office Building, Floor 3, 400 Market Street, P. O. Box 8460, Harrisburg, PA 17105-8460*

**D45-301. Thomas Dam, Marcia Thomas**, 373 Harrington Way, Souderton, PA 18964. To modify, operate, and maintain Thomas Dam across an unnamed tributary to Stony Run (EV-MF), impacting 0 acres of wetlands (PEM) with no proposed impacts to the stream channel, for the purpose of rehabilitating the dam by flattening the slope and constructing a new spillway. (Skytop, PA Quadrangle Latitude: 41°09'40", Longitude: -75°12'04") in Price Township, **Monroe County**.

### EROSION AND SEDIMENT CONTROL

The following Erosion and Sediment Control permits have been issued.

Persons aggrieved by an action may appeal that action to the Environmental Hearing Board (Board) under section 4 of the Environmental Hearing Board Act and 2 Pa.C.S. §§ 501—508 and 701—704. The appeal should be sent to the Environmental Hearing Board, Second Floor, Rachel Carson State Office Building, 400 Market Street, PO Box 8457, Harrisburg, PA 17105-8457, (717) 787-3483. TDD users may contact the Board through the Pennsylvania Relay Service, (800) 654-5984. Appeals must be filed with the Board within 30 days of publication of this notice in the *Pennsylvania Bulletin* unless the appropriate statute provides a different time period. Copies of the appeal form and the Board's rules of practice and procedure may be obtained from the Board. The appeal form and the Board's rules of practice and procedure are also available in Braille or on audiotape from the Secretary to the Board at (717) 787-3483. This paragraph does not, in and of itself, create a right of appeal beyond that permitted by applicable statutes and decisional law.

For individuals who wish to challenge an action, the appeal must reach the Board within 30 days. A lawyer is not needed to file an appeal with the Board.

Important legal rights are at stake, however, so individuals should show this notice to a lawyer at once. Persons who cannot afford a lawyer may qualify for free pro bono representation. Call the Secretary to the Board at (717) 787-3483 for more information.

*Northwest Region: Oil and Gas Program Manager, 230 Chestnut St., Meadville, PA 16335*

ESCGP-1 #ESX14-019-0006—FLINNER WELL PAD  
Applicant RE GAS DEVELOPMENT LLC  
Contact MICHAEL ENDLER  
Address 600 CRANBERRY WOODS DRIVE  
City CRANBERRY TOWNSHIP State PA Zip Code 16066  
County BUTLER Township(s) MUDDY CREEK(s)  
Receiving Stream(s) and Classification(s) UNT TO CRAB RUN; CRAB RUN; SLIPPERY ROCK CREEK WATERSHED

ESCGP-1 #ESX13-047-0009—HEMLOCK PROSPECT WELL PAD A

Applicant SENECA RESOURCES CORPORATION  
Contact MR. MICHAEL CLINGER  
Address 5800 CORPORATE DRIVE, SUITE 300  
City PITTSBURGH State PA Zip Code 15237  
County ELK Township(s) City of St. Marys(s)  
Receiving Stream(s) and Classification(s) (2) UNTs to Powers Run (CWF/None)

ESCGP-1 #ESX14-073-0001—PULASKI KESTER WELL SITE

Applicant HILCORP ENERGY COMPANY  
Contact STEPHANIE MCMURRAY  
Address 1201 LOUISIANA STREET, SUITE 1400  
City HOUSTON State TX Zip Code 77002  
County LAWRENCE Township(s) PULASKI(s)  
Receiving Stream(s) and Classification(s) UNNAMED TRIBUTARY TO TURKEY RUN

ESCGP-1 #ESX14-019-0003—Beilstein C Well Pad

Applicant XTO Energy, Inc.  
Contact Melissa Breitenbach  
Address 502 Keystone Drive  
City Warrendale State PA Zip Code 15086  
County Butler Township(s) Jefferson(s)  
Receiving Stream(s) and Classification(s) UNT to Thorn Creek / Connoquenessing Creek, Thorn Creek, CWF

ESCGP-1 #ESG13-083-0012—Clermont Ground Water Well

Applicant Seneca Resources Corporation  
Contact Mr. Doug Kepler  
Address 5800 Corporate Drive, Suite 300  
City Pittsburgh State PA Zip Code 15237  
County McKean Township(s) Sergeant(s)  
Receiving Stream(s) and Classification(s) South Fork West Branch Potato Creek and Dead Man's Lick

ESCGP-1 #ESX13-085-0028—Raiti Well Pad

Applicant Halcon Field Services  
Contact Rich DiMechele  
Address 1000 Louisiana Street  
City Houston State TX Zip Code 77002  
County Mercer Township(s) South Pymatuning(s)  
Receiving Stream(s) and Classification(s) 4 UNT's to Pymatuning Creek, 1 UNT to Booth Run, Booth Run—WWF

ESCGP-1 #ESX13-085-0025—Hess Pad Site

Applicant Halcon Field Services  
Contact Rich DiMechele



Address 1000 Louisiana Street  
City Houston State TX Zip Code 77002  
County Mercer Township(s) Wilmington(s)  
Receiving Stream(s) and Classification(s) West Branch  
Little Neshannock Creek—TSF

ESCGP-1 #ESX13-085-0030—Colpetzer Pipeline Facility  
Pad

Applicant Halcon Field Services  
Contact Rich DiMechele  
Address 1000 Louisiana Street  
City Houston State TX Zip Code 77002  
County Mercer Township(s) Perry & Fairview(s)  
Receiving Stream(s) and Classification(s) UNT to Otter  
Creek, UNT to Little Shenango River—TSF

ESCGP-1 #ESX14-019-0013—Brennan Well Pad  
Applicant R.E. Gas Development, LLC  
Contact Michael Endler  
Address 600 Cranberry Woods Drive  
City Cranberry Township State PA Zip Code 16066  
County Butler Township(s) Connoquenessing(s)  
Receiving Stream(s) and Classification(s) UNT to Crab  
Run, Crab Run, Slippery Rock Creek Watershed, CWF

ESCGP-1 #ESX14-019-0004—Dorsch Well Pad  
Applicant R.E. Gas Development LLC  
Contact Mike Endler  
Address 600 Cranberry Woods Drive  
City Cranberry Township State PA Zip Code 16066  
County Butler Township(s) Lancaster(s)  
Receiving Stream(s) and Classification(s) UNT's to Little  
Connoquenessing Creek and Scholars Run (WWF),  
CWF

*Eastern Region: Oil & Gas Management Program Man-  
ager, 208 West Third Street, Williamsport, PA 17701*

ESCGP-1 # ESX29-115-14-0006  
Applicant Name Bluestone Pipeline Company of PA, LLC  
Contact Person Herman Van Eck, Jr.  
Address 1429 Oliver Road  
City, State, Zip New Milford, PA 18834-7595  
County Susquehanna County  
Township(s) Thompson Township  
Receiving Stream(s) and Classification(s) Wildcat Run  
and UNTs thereto, UNT to East Branch Canawacta  
Creek (CWF/MF)

ESCGP-1 # ESX13-115-0152  
Applicant Name Williams Field Svc Co, LLC  
Contact Person Lauren Miladinovich  
Address Park Place Corporate Center 2, 2000 Commerce  
Drive  
City, State, Zip Pittsburgh, PA 15275  
County Susquehanna County  
Township(s) Brooklyn and Harford Townships  
Receiving Stream(s) and Classification(s) Martins Creek  
and UNTs thereto, East Branch of Martins Creek  
(CWF/MF)

ESCGP-1 # ESG13-113-0021  
Applicant Name Appalachia Midstream Services, LLC  
Contact Person Randy DeLaune  
Address 100 IST Center  
City, State, Zip Horseheads, NY 14845  
County Sullivan County  
Township(s) Elkland Township  
Receiving Stream(s) and Classification(s) UNT to King's  
Creek, King's Creek, Elk Creek, Loyalsock Creek Basin,  
Lower Branch Susquehanna River Subbasin,  
Susquehanna River Basin (All HQ-EV-CWF)

ESCGP-1 # ESX12-131-0025 (02)  
Applicant Name Appalachia Midstream Services, LLC

Contact Person Randy DeLaune  
Address 100 IST Center  
City, State, Zip Horseheads, NY 14845  
County Wyoming County  
Township(s) Windham, Mehoopany, Forkston Townships  
Receiving Stream(s) and Classification(s) Fox Hollow, 1  
UNT to Fox Hollow, Mehoopany Creek, Trib 29521 to  
Mehoopany Creek, 2 UNTs to Mehoopany Creek, Rog-  
ers Hollow, 9 UNTs to Rogers Hollow (All CWF), Trib  
29245 to Susquehanna River (WWF), Mehoopany-  
Bowman Creeks Watershed (CWF-WWF)

ESCGP-1 # ESX13-117-0031  
Applicant Name Seneca Resources Corporation  
Contact Person Michael Clinger  
Address 5800 Corporate Drive, Suite 300  
City, State, Zip Pittsburgh, PA 15237  
County Tioga County  
Township(s) Bloss and Covington Townships  
Receiving Stream(s) and Classification(s) Tan Creek, 1  
UNT to Tan Creek, Frost Hollow, Boon Run and 1 UNT  
to Boone Run, Tioga-Cowanquesque Rivers, (CWF/MF);  
Secondary: Tioga River

ESCGP-1 # ESX29-023-14-0003  
Applicant Name Endeavour Operating Corporation  
Contact Person Eric Kolstad  
Address 1125 17th Street, Suite 1525  
City, State, Zip Denver, CO 80202  
County Cameron County  
Township(s) Shippen Township  
Receiving Stream(s) and Classification(s) May Hollow  
Run, Miller Hollow Run, Portable Run Watersheds  
(CWF);  
Secondary: Sterling Run

ESCGP-1 # ESG13-113-0024  
Applicant Name Appalachia Midstream Services, LLC  
Contact Person Randy DeLaune  
Address 100 IST Center  
City, State, Zip Horseheads, NY 14845  
County Sullivan County  
Township(s) Elkland Township  
Receiving Stream(s) and Classification(s) UNT to Elk  
Creek, Elk Creek, Loyalsock Creek Basin, Lower West  
Branch Susquehanna River, Subbasin, Susquehanna  
River Basin (HQ, EV-CWF/MF)

ESCGP-1 # ESX13-131-0027 (01)  
Applicant Name Southwestern Energy Production  
Company  
Contact Person Dave Sweeley  
Address 917 State Route 92 North  
City, State, Zip Tunkhannock, PA 18657  
County Wyoming County  
Township(s) Tunkhannock Township  
Receiving Stream(s) and Classification(s) UNT to Kern  
Glen Creek (CWF/MF);  
Secondary: Billings Mill Brook (CWF/MF)(NRT)

ESCGP-1 # ESX29-115-14-0005  
Applicant Name Williams Field Svc Co, LLC  
Contact Person Julie Nicholas  
Address 1212 South Abington Road  
City, State, Zip Clarks Summit, PA 18411  
County Susquehanna County  
Township(s) Clifford Township  
Receiving Stream(s) and Classification(s) Idlewild Creek  
and UNTs thereto (CWF/MF)

ESCGP-1 # ESG29-115-14-0002  
Applicant Name Angelina Gathering Company, LLC  
Contact Person Danny Spaulding

Address 2350 N Sam Houston Pkwy E, Ste 125  
 City, State, Zip Houston, TX 77032  
 County Susquehanna County  
 Township(s) Franklin, Great Bend and New Milford Twps  
 Receiving Stream(s) and Classification(s) Beaver Creek  
 and UNTs thereto (HQ, CWF/MF) Tribes to Dubois  
 Creek, (CWF/MF)

ESCGP-1 # ESX29-115-14-0013  
 Applicant Name Cabot Oil & Gas Corporation  
 Contact Person John Smelko  
 Address Five Penn Center West, Suite 401  
 City, State, Zip Pittsburgh, PA 15276  
 County Susquehanna County  
 Township(s) Harford Township  
 Receiving Stream(s) and Classification(s) Partners Creek,  
 Nine Partners Creek and UNTs thereto (CWF/MF)

*Southwest Region: Oil & Gas Program Mgr. 400 Water-  
 front Dr. Pittsburgh PA*

ESCGP-2 No.: ESX10-059-0021 Major Revision  
 Applicant Name: Alpha Shale Resources LP  
 Contact Person Mr Daniel J Rice III  
 Address: 171 Hillpointe Drive Suite 301  
 City: Canonsburg State: PA Zip Code: 15317  
 County: Greene Township: Center, Wayne  
 Receiving Stream (s) And Classifications: 11 UNT to  
 Hargus Creek / South Fork Tenmile Creek; Pursley  
 Creek/South Fork Tenmile Creek; HQ; Other WWF

ESCGP-2 No.: ESX11-007-0013 Major Revision  
 Applicant Name: Chesapeake Appalachia LLC  
 Contact Person: Mr Eric W Haskins  
 Address: 14 Chesapeake Lane  
 City: Sayre State: PA Zip Code: 18840  
 County: Beaver Township(s): Ohioville  
 Receiving Stream(s) and Classifications: UNT to Wolf  
 Run; Other WWF

ESCGP-2 No.: ESG13-005-0012  
 Applicant Name: PennEnergy Resources LLC  
 Contact Person: Mr Robert Crissinger  
 Address: 1000 Commerce Drive Park Place One Suite 100  
 City: Pittsburgh State: PA Zip Code: 15275  
 County: Armstrong Township(s): West Franklin  
 Receiving Stream(s) and Classifications: UNT to Buffalo  
 Creek / Ohio River; HQ; Siltation-Impaired

ESCGP-2 No.: ESX10-051-0040 Major Revision  
 Applicant Name: Chevron Appalachia LLC  
 Contact Person: Mr Branden Weimer  
 Address: 800 Mountain View Drive

City: Smithfield State: PA Zip Code: 15478  
 County: Fayette Township(s): German  
 Receiving Stream(s) and Classifications: UNTs to Middle  
 Run/Middle Monongahela River Watershed; Other  
 WWF

ESCGP-2 No.: ESX10-125-0056 Major Revision  
 Applicant Name: Chevron Appalachia LLC  
 Contact Person: Mr Branden Weimer  
 Address: 800 Mountain View Drive  
 City: Smithfield State: PA Zip Code: 15478  
 COUNTY Washington Township(s): West Bethlehem  
 Receiving Stream(s) and Classifications: UNTs to Little  
 Daniels Run/Tenmile Creek Watershed; Other TSF

ESCGP-2 No.: ESG13-125-0093  
 Applicant Name: Range Resources Appalachia LLC  
 Contact Person: Ms Laura M Rusmisl  
 Address: 3000 Town Center Boulevard  
 City: Canonsburg State: PA Zip Code: 15317  
 County: Washington Township(s): Independence  
 Receiving Stream(s) and Classifications: UNTs to Narigan  
 Run, UNT to Sugarcamp Run/Wheeling-Buffalo Creeks  
 Watershed: HQ

ESCGP-2 No.: ESX13-125-0083  
 Applicant Name: CNX Gas Company LLC  
 Contact Person: Ms Sarah Baughman  
 Address: 200 Evergreene Drive  
 City: Waynesburg State: PA Zip Code 15370  
 County: Washington Township(s): East Finley  
 Receiving Stream(s) and Classifications: Six (6) UNTs to  
 Enlow Fork; Other WWF; Siltation-Impaired

ESCGP-2 No.: ESX14-125-0014  
 Applicant Name: Noble Energy Inc  
 Contact Person: Mr Christopher J London  
 Address: 333 Technology Drive Suite 116  
 City: Canonsburg State: PA Zip Code: 15317  
 County: Washington Township(s): West Finley  
 Receiving Stream(s) and Classifications: Robinson Fork  
 (WWF); Other Warm Water Fishes (WWF)

ESCGP-2 No.: ESG13-005-0016  
 Applicant Name: Snyder Brothers Inc  
 Contact Person: Mr Carl Rose  
 Address: PO Box 1022  
 City: Kittanning State: PA Zip Code: 16201  
 County: Armstrong Township(s): North Buffalo and South  
 Buffalo  
 Receiving Stream(s) and Classifications: Sipes Run and  
 Pine Creek; HQ; Other High Quality Trout Stocked  
 Fisheries; Siltation-Impaired

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## SPECIAL NOTICES

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### Notice of Planning Grant Awards Under Section 901 of the Municipal Waste Planning Recycling and Waste Reduction Act of 1988, Act 101

The Department of Environmental Protection (DEP) hereby announces the following grants to counties pursuant to the Pennsylvania Municipal Waste Planning, Recycling and Waste Reduction Act of 1988, Act 101, P. L. 556, Section 901 and Section 208 of the Waste Tire Recycling Act/Small Business and Household Pollution Prevention Act (Act 190 of 1996).

Planning grants are awarded to counties for 80% of approved costs for preparing municipal waste management plans as required by Act 101, for carrying out related studies, surveys, investigations, inquiries, research and analysis, including those related to siting, environmental mediation, education programs on pollution prevention and household hazardous waste and providing technical assistance to small businesses for pollution prevention. Grants may be awarded for feasibility studies and project development for municipal waste processing or disposal facilities, except for facilities for the combustion of municipal waste that are not proposed to be operated for the recovery of energy. All grant awards are predicated on the receipt of recycling fees required by Sections 701 and 702 of Act 101, and the availability of monies in the Recycling Fund.

Inquiries regarding the grant offerings should be directed to Mr. Mark Vottero, Department of Environmental Protection, Bureau of Waste Management, Division of Waste Minimization and Planning, PO Box 8472, Harrisburg, PA 17105-8472.

**Act 101, Section 901 Planning Grant**

<i>Region</i>	<i>County</i>	<i>Applicant</i>	<i>Project Description</i>	<i>Grant Award</i>
Southwest	Armstrong	Armstrong County	Plan revision/update	\$63,675

**Notice of Certification to Perform Radon-Related Activities in Pennsylvania**

In the month of February 2014 Department of Environmental Protection of the Commonwealth of Pennsylvania, under the authority contained in the Radon Certification Act, act of July 9, 1987, P. L. 238, No. 43 (63 P. S. Sections 2001—2014) and regulations promulgated thereunder at 25 Pa. Code Chapter 240, has certified the persons listed below to perform radon-related activities in Pennsylvania. The period of certification is two years. (For a complete list of persons currently certified to perform radon-related activities in Pennsylvania and for information as to the specific testing devices that persons certified for testing or laboratory are certified to use, contact the Bureau of Radiation Protection, Radon Division, P. O. Box 8469, Harrisburg, PA 17105-8469, (1-800-23RADON).

<i>Name</i>	<i>Address</i>	<i>Type of Certification</i>
Stephen Beloyan	2 Field Ct. Wrightstown, NJ 08562	Testing
Kevin Dunkle	PO Box 211 Worthington, PA 16262	Mitigation
Idrees Fareed	1260 Woodland Ave. MSAS Springfield, PA 19064	Testing & Mitigation
Nathan Feldwieser	1330 Dillon Rd. Fort Washington, PA 19034	Testing
Jeff Finken	8020 Mine St. Fogelsville, PA 18951	Mitigation
Michael Gabriel	292 Main St. Harleysville, PA 19438	Testing
Mark Garland	5970 W. Webb Rd. Mineral Ridge, OH 44440	Testing
Joseph Kelly	PO Box 156 Virginville, PA 19564	Testing
Joseph D. Kelly	PO Box 15811 Pittsburgh, PA 15244	Testing
Robert Scott Klein	206 Hunting Creek Rd. Canonsburg, PA 15317	Testing
Robert Leiby	809 N. 7th St. Perkasie, PA 18944	Testing
Mark Long	PO Box 495 Thurmont, MD 21788	Testing
Scott Messner	95 Green Lane Dr. Camp Hill, PA 17011	Testing
Realty Inspection Services	768 State Rte. 307, Ste. 101 Springbrook Twp., PA 18444	Testing
Kathleen Remsnyder	3544 N. Progress Ave., Ste. 200 Harrisburg, PA 17110	Testing
RSSI	6312 W. Oakton St. Morton Grove, IL 60053	Laboratory Analysis
Jeffrey Schlaline Absolute Radon Mitigation, LLC	800 Locust Grove Rd. York, PA 17402	Mitigation
Brian Thomas	8026 Maureen Dr. Cranberry Twp., PA 16066	Testing
Top Dawg Inspections	16 W. Hanover St. Gettysburg, PA 17011	Testing
Frederick Wedman Moyer Indoor Outdoor	PO Box 64198 Souderton, PA 18964	Mitigation
Matthew Winslow	51 Sugar Maple Rd. Barto, PA 19504	Mitigation

[Pa.B. Doc. No. 14-528. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Availability of Technical Guidance

Technical guidance documents are available on the Department of Environmental Protection's (Department) web site at <http://www.elibrary.dep.state.pa.us>. The "Technical Guidance Final Documents" heading is the link to a menu of the various Department bureaus where each bureau's final technical guidance documents are posted. The "Technical Guidance Draft Documents" heading is the link to the Department's draft technical guidance documents.

#### *Ordering Paper Copies of Department Technical Guidance*

The Department encourages the use of the Internet to view and download technical guidance documents. When this option is not available, persons can order a paper copy of any of the Department's draft or final technical guidance documents by contacting the Department at (717) 783-8727.

In addition, bound copies of some of the Department's documents are available as Department publications. Check with the appropriate bureau for more information about the availability of a particular document as a publication.

#### *Changes to Technical Guidance Documents*

Following is the current list of recent changes. Persons who have questions or comments about a particular document should call the contact person whose name and phone number is listed with each document.

#### *Final Technical Guidance Document*

**DEP ID:** 562-5900-001. **Title:** Surface Mine Accident Investigations. **Description:** The purpose of this guidance is to outline a standard operating procedure for the Department's role in investigating accidents which cause serious injury or death; and in investigating nonreportable accidents that had the potential to cause bodily injury on surface mine sites. The guidance was revised to update the investigation procedures and to include the reporting and investigation of nonreportable accidents on surface mine sites. Notice of availability of the proposed guidance was published at 42 Pa.B. 7343 (December 1, 2012), with provision for a 30-day public comment period that ended on December 31, 2012. The Department received comments on the draft technical guidance document, which resulted in modifications to the final technical guidance. A comment and response document was developed that includes a summary of the comments received and the modifications that were made to the document. The comment and response document is available, in addition to the final guidance, on the Department's web site, at the site provided previously.

**Contact:** Questions regarding this action should be directed towards to Chris Yeakle, (814) 797-1191, [cyeakle@pa.gov](mailto:cyeakle@pa.gov).

**Effective Date:** March 15, 2014

E. CHRISTOPHER ABRUZZO,  
Secretary

[Pa.B. Doc. No. 14-529. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Interstate Pollution Transport Reduction; Proposed 2014 Ozone Season Nitrogen Oxide Emission Limits for Nonelectric Generating Units

The Department of Environmental Protection (Department) is providing notice and an opportunity for comment concerning the proposed Nonelectric Generating Unit (non-EGU) 2014 Ozone Season Nitrogen Oxide (NO<sub>x</sub>) emission limitations established in accordance with 25 Pa. Code § 145.8(d) (relating to transition to CAIR NO<sub>x</sub> trading programs). The 15-day public comment period will end on March 30, 2014.

At 38 Pa.B. 1705 (April 12, 2008), the Commonwealth's Clean Air Interstate Rule (CAIR), adopted by the Environmental Quality Board, included NO<sub>x</sub> Budget Trading Program amendments to allow the owners and operators of non-EGUs in this Commonwealth to transition to the CAIR NO<sub>x</sub> Trading Program.

Specifically, 25 Pa. Code § 145.8(d) establishes a non-EGU NO<sub>x</sub> Trading Program budget of 3,619 tons of NO<sub>x</sub>, less a specified adjustment amount, to serve as a Statewide Ozone Season NO<sub>x</sub> emissions cap for new and existing non-EGUs. This NO<sub>x</sub> emissions cap also applies to CAIR-exempt EGUs that were subject to the NO<sub>x</sub> Budget Trading Program. If total emissions from all of the units exceed the Statewide NO<sub>x</sub> emissions cap of 3,438 tons, the owners and operators of non-EGUs must comply with the NO<sub>x</sub> emission limitations established under 25 Pa. Code § 145.8(d). The owners and operators of units exceeding their individual NO<sub>x</sub> limits would need to purchase and then surrender one CAIR NO<sub>x</sub> Ozone Season allowance and one CAIR NO<sub>x</sub> allowance for each ton of excess emissions. The proposed NO<sub>x</sub> emissions limitations for individual units ensure that non-EGUs in this Commonwealth continue to meet the emission limits of the NO<sub>x</sub> Budget Trading Program, as required under the United States Environmental Protection Agency's (EPA) CAIR.

The Statewide cap for 2013 was not exceeded. Therefore, non-EGUs do not need to purchase allowances to meet their 2013 Ozone Season NO<sub>x</sub> emission limitations established under 25 Pa. Code § 145.8(d). The preliminary NO<sub>x</sub> emissions for the 2013 Ozone Season (May through September) reported to the EPA by the owners and operators of the affected non-EGUs are 1,456.312 tons. The Department's permanent retirement of 3,438 allowances under 25 Pa. Code § 145.8(b) covers all the NO<sub>x</sub> emissions from the affected non-EGUs in 2013.

The NO<sub>x</sub> emissions cap provides 181 tons of NO<sub>x</sub> emissions for non-EGUs and the other units that need to address their emissions through accounting adjustments, including units that previously participated in the NO<sub>x</sub> Budget Trading Program; emissions from these units were below the 25-ton exemption threshold. Adjustments were also made for the permanent retirement of NO<sub>x</sub> allowances due to generation of emission reduction credits. The Department will also use a portion of the 181 tons of the budgeted NO<sub>x</sub> emissions, if necessary, to address mistakes or miscalculations. This year, the Department is proposing to use 96 tons of the 181 tons of NO<sub>x</sub> for account adjustments, leaving 85 tons available for any additional adjustments at the end of the control period.

The Department made accounting adjustments for the following facilities:

*Retired Units:* Naval Surface Warfare Division Unit 98; Shenango Units Nos. 6 and 9 (the generation of emission offsets for small non-NO<sub>x</sub> Budget Trading Program units resulted in a permanent NO<sub>x</sub> accounting adjustment of 45 tons).

*Exempt Units:* Each of the following units has a 25-ton NO<sub>x</sub> permit limit: Armagh Compressor Station (Unit 31301) and the Naval Surface Warfare Division (Unit 100). The Naval Surface Warfare Division (Unit 99) has a 1-ton NO<sub>x</sub> permit limit. All of these exempt status units account for a total adjustment of 51 tons of NO<sub>x</sub> emissions. Entriaken Compressor Station (Unit 31601) had previously operated under a 25-ton exemption, but was authorized by a plan approval (35-05019A) issued December 30, 2013, to remove the exemption. Since the

Entriaken unit did not have any input for the 2013 ozone season, the company's calculated 2014 limit is zero; however, the facility will not need to surrender any allowances as long as the Statewide cap is met.

Units subject to the requirements in 25 Pa. Code § 145.8 are required to meet the monitoring and reporting requirements of the EPA's CAIR, found in 40 CFR Part 96, Subpart HHHH (relating to monitoring and reporting) and maintain general accounts and account representatives under 40 CFR Part 96, Subparts BBBB and FFFF (relating to CAIR designated representative for CAIR NO<sub>x</sub> ozone season sources; and CAIR NO<sub>x</sub> ozone season allowance tracking system). The "Proposed Non-EGU 2014 Ozone Season NO<sub>x</sub> Emission Limits" table as follows lists the following: the facility name, ORIS code, the unit ID for each non-EGU unit, the operating year, the heat input for the 2013 Ozone Season, the calculated 2014 rate and the 2014 Ozone Season limit.

Facility Name	ORIS Code	Unit ID	NO <sub>x</sub> Rate lb/MMBtu	2013 NO <sub>x</sub> Mass Tons	Heat Input MMBtu	County	2014 Rate (lbs/MMBtu)	2014 OS Limit (Tons NO <sub>x</sub> )
Armagh Compressor Station	880071	31301	0	0	25 Ton Exemption (Limit 25 Ton)	Indiana	0.000	0
Bernville Station	880049	32001	0	0	-	Berks	0.273	0
Domtar Paper Company, LLC	54638	40	0.4651	84.664	373,857.28	Elk	0.273	51
Domtar Paper Company, LLC	54638	41	0.4651	72.597	319,450.45	Elk	0.273	44
Entriaken Compressor Station	880072	31601	0	0	Exemption Expired on 12-30-2013	Huntingdon	0.000	0
FPL Energy MH50	50074	1	0.8438	1.939	9,043.49	Delaware	0.273	1
FPL Energy Marcus Hook, LP	55801	AB01	0	0	—	Delaware	0.273	0
FPL Energy Marcus Hook, LP	55801	AB02	0	0	—	Delaware	0.273	0
FPL Energy Marcus Hook, LP	55801	AB03	0.0291	8.703	611,905.71	Delaware	0.273	84
FPL Energy Marcus Hook, LP	55801	AB04	0.0307	4.103	267,662.08	Delaware	0.273	37
Honeywell Resins & Chemicals LLC	880007	52	0.072	22.761	633,029.88	Philadelphia	0.273	86
Kimberly-Clark Tissue Company	50410	34	1.5015	19.438	25,911.10	Delaware	0.273	4
Kimberly-Clark Tissue Company	50410	35	1.1757	66.383	2,429,027.73	Delaware	0.273	331
Martins Creek	3148	Aux 4	0	0	—	Northampton	0.273	0
Merck & Company-West Point	52149	39	0.0825	16.487	396,267.34	Montgomery	0.273	54
Merck & Company-West Point	52149	40	0.0247	20.253	1,616,431.30	Montgomery	0.273	221
Naval Surface Warfare Division	880009	98			Retired		0.000	0
Naval Surface Warfare Division	880009	99			25 Ton Exemption (Limit 1 Ton)		0.000	0
Naval Surface Warfare Division	880009	100			25 Ton Exemption (Limit 25 Ton)		0.000	0

<i>Facility Name</i>	<i>ORIS Code</i>	<i>Unit ID</i>	<i>NO<sub>x</sub> Rate lb/MMBtu</i>	<i>2013 NO<sub>x</sub> Mass Tons</i>	<i>Heat Input MMBtu</i>	<i>County</i>	<i>2014 Rate (lbs/MMBtu)</i>	<i>2014 OS Limit (Tons NO<sub>x</sub>)</i>
P H Glatfelter Company	50397	34	0.4797	259.607	1,078,839.75	York	0.273	147
P H Glatfelter Company	50397	35	0.4541	164.258	685,307.35	York	0.273	94
P H Glatfelter Company	50397	36	0.1785	147.091	1,657,877.00	York	0.273	226
Philadelphia Refinery	52106	150137	0.0344	16.896	998,065.40	Philadelphia	0.273	136
Philadelphia Refinery	52106	150138	0	0	—	Philadelphia	0.273	0
Philadelphia Refinery	52106	150139	0.0344	19.426	1,124,197.08	Philadelphia	0.273	153
Philadelphia Refinery	52106	150140	0.0344	24.622	1,425,922.00	Philadelphia	0.273	195
Procter & Gamble Paper Products	50463	328001	0.1542	144.993	1,882,167.87	Wyoming	0.273	257
Procter & Gamble Paper Products	50463	328002	0	0	0	Wyoming	0.2731	0
Shenango Incorporated	54532	6			Retired		0.000	0
Shenango Incorporated	54532	9			Retired		0.000	0
Shermans Dale Station	880050	31801	0	0	—	Perry	0.273	0
Trainer Refinery	880025	33	0.1468	44.308	610,049.05	Delaware	0.273	83
Trainer Refinery	880025	34	0.0038	1.288	651,932.61	Delaware	0.273	89
Trainer Refinery	880025	35	0.0038	0.911	465,383.84	Delaware	0.273	64
US Steel (Clairton Coke)	50729	CLBLR1	0.2107	167.023	1,485,370.48	Allegheny	0.273	203
US Steel (Clairton Coke)	50729	CLBLR2	0.1202	56.908	867,498.23	Allegheny	0.273	118
US Steel (Edgar Thomson)	50732	ETBLR1	0.0379	28.531	1,541,388.31	Allegheny	0.273	210
US Steel (Edgar Thomson)	50732	ETBLR2	0.0302	26.838	1,807,784.10	Allegheny	0.273	247
US Steel (Edgar Thomson)	50732	ETBLR3	0.0232	19.59	1,743,679.00	Allegheny	0.273	238
Veolia Energy Philadelphia—Edison Sta	880006	1	0	0	—	Philadelphia	0.273	0
Veolia Energy Philadelphia—Edison Sta	880006	2	0	0	—	Philadelphia	0.273	0
Veolia Energy Philadelphia—Edison Sta	880006	3	0.289	0.02	135.00	Philadelphia	0.273	0
Veolia Energy Philadelphia—Edison Sta	880006	4	0	0	—	Philadelphia	0.273	0
Veolia Energy Philadelphia—Schuylkill	50607	RSB1	0.0157	0.109	14,055.60	Philadelphia	0.273	2

<i>Facility Name</i>	<i>ORIS Code</i>	<i>Unit ID</i>	<i>NO<sub>x</sub> Rate lb/MMBtu</i>	<i>2013 NO<sub>x</sub> Mass Tons</i>	<i>Heat Input MMBtu</i>	<i>County</i>	<i>2014 Rate (lbs/MMBtu)</i>	<i>2014 OS Limit (Tons NO<sub>x</sub>)</i>
Veolia Energy Philadelphia—Schuylkill	50607	RSB2	0.0126	0.025	4,057.85	Philadelphia	0.273	1
United Refining	880099	4	0.076	16.54	455,702.20	Warren	0.273	62
<i>Total:</i>				<i>1456.31</i>	<i>25,181,999.07</i>			<i>3438</i>

*Written Comments*

Written comments on the proposed non-EGU 2014 Ozone Season NO<sub>x</sub> Emission Limits should be sent to the attention of Randy Bordner, Environmental Group Manager, Air Resource Management Division, Bureau of Air Quality, DEP, P. O. Box 8468, Harrisburg, PA 17105-8468 or ranbordner@pa.gov no later than March 30, 2014. Written comments (including e-mails) should include the name, affiliation (if any), mailing address and telephone number of the interested person and contain “proposed non-EGU 2014 Ozone Season NO<sub>x</sub> emission limits” in the subject line.

Questions concerning this notice should be directed to Randy Bordner at (717) 772-3921. TDD users may contact the Pennsylvania AT&T Relay Service at (800) 654-5984 to discuss how the Department can best accommodate their needs.

E. CHRISTOPHER ABRUZZO,  
Secretary

[Pa.B. Doc. No. 14-530. Filed for public inspection March 14, 2014, 9:00 a.m.]

## DEPARTMENT OF GENERAL SERVICES

### Lease Office Space to the Commonwealth Chester County

Proposals are invited to provide the Department of General Services with 4,508 usable square feet of office space for the Pennsylvania Board of Probation and Parole in Chester County. For more information on SFP No. 94570, which is due on Wednesday, April 30, 2014, visit [www.dgs.state.pa.us](http://www.dgs.state.pa.us) or contact David Weyandt at (717) 525-5255 or [daweyandt@pa.gov](mailto:daweyandt@pa.gov).

SHERI PHILLIPS,  
Secretary

[Pa.B. Doc. No. 14-531. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Lease Retail Space to the Commonwealth Franklin County

Proposals are invited to provide the Department of General Services with 3,500 to 4,500 usable square feet of retail space for the Liquor Control Board in Franklin County. For more information on SFP No. 94571, which is due on Friday, April 25, 2014, visit [www.dgs.state.pa.us](http://www.dgs.state.pa.us) or contact the Bureau of Real Estate at (717) 787-4394.

SHERI PHILLIPS,  
Secretary

[Pa.B. Doc. No. 14-532. Filed for public inspection March 14, 2014, 9:00 a.m.]

## DEPARTMENT OF HEALTH

### Application of Albert Einstein Medical Center for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Albert Einstein Medical Center has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 2.1-8.2.1.1(2) (relating to air handling systems with unitary equipment).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, [ra-paexcept@pa.gov](mailto:ra-paexcept@pa.gov).

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-533. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Chester County Hospital for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Chester County Hospital has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 2.1-2.6.6.2(1) (relating to location of self-contained medication dispensing unit).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-534. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Clarion Hospital for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Clarion Hospital has requested an exception to the requirements of 28 Pa. Code § 107.62(a) and (b) (relating to oral orders).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Division at the previously

listed address or phone number, or for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984.

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-535. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Dubois Regional Medical Center (Clearfield) for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Dubois Regional Medical Center, 807 Turnpike Avenue, Clearfield, PA has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 3.1-3.2.2.2, 3.1-3.2.4.2, 3.1-7.2.2.1(1), 3.1-7.2.2.3(b), 3.1-3.8.1 and 3.2-6.3.

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-536. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Dubois Regional Medical Center (Curwensville) for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Dubois Regional Medical Center, 605 State Street, Curwensville, PA has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained



in this publication: 3.1-3.2.4.2, 3.1-7.2.2.1(1), 3.1-7.2.2.3(b), 3.1-3.8.1, 3.1-3.6.6.2, 3.1-4.1.4.3 and 3.1-4.1.3.2.

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
*Secretary*

[Pa.B. Doc. No. 14-537. Filed for public inspection March 14, 2014, 9:00 a.m.]

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### **Application of Geisinger Clinic—Geisinger Grays Woods Outpatient Surgery and Endoscopy for Exception**

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Geisinger Clinic—Geisinger Grays Woods Outpatient Surgery and Endoscopy has requested an exception to the requirements of 28 Pa. Code § 551.21(d)(1)—(4) (relating to criteria for ambulatory surgery).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Division at the previously listed address or phone number, or for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984.

MICHAEL WOLF,  
*Secretary*

[Pa.B. Doc. No. 14-538. Filed for public inspection March 14, 2014, 9:00 a.m.]

### **Application of Geisinger Clinic—Geisinger Grays Woods Outpatient Surgery and Endoscopy for Exception**

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Geisinger Clinic—Geisinger Grays Woods Outpatient Surgery and Endoscopy has requested an exception to the requirements of 28 Pa. Code § 551.31 (relating to licensure).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Division at the previously listed address or phone numbers, or for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984.

MICHAEL WOLF,  
*Secretary*

[Pa.B. Doc. No. 14-539. Filed for public inspection March 14, 2014, 9:00 a.m.]

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### **Application of Geisinger Clinic—Geisinger Grays Woods Outpatient Surgery and Endoscopy for Exception**

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Geisinger Clinic—Geisinger Grays Woods Outpatient Surgery and Endoscopy has requested an exception to the requirements of 28 Pa. Code § 553.31 (relating to administrative responsibilities).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Division at the previously

listed address or phone number, or for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984.

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-540. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Grand View Hospital for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Grand View Hospital has requested an exception to the requirements of 28 Pa. Code § 147.43 (relating to ventilation system).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Division at the previously listed address or phone number, or for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984.

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-541. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Lancaster General Hospital for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Lancaster General Hospital has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 3.1-7.2.2.1 (relating to minimum corridor width).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of

Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired person V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-542. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Lehigh Valley Hospital for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Lehigh Valley Hospital has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 3.1-3.2.1.2(1) and 3.1-3.2.1.2(2) (relating to area; and clearances).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-543. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Lehigh Valley Hospital—Tilghman for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Lehigh Valley Hospital—Tilghman has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 2.1-3.2 (relating to station outlets for oxygen, vacuum and medical air systems in hospitals).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-544. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of Reading Hospital for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that Reading Hospital has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 2.2-3.4.5.2, 2.2-3.4.5.3(1) and 2.2-3.4.5.3(2) (relating to hand washing stations; a patient toilet; and the patient toilet).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-545. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Application of UPMC Presbyterian Shadyside for Exception

Under 28 Pa. Code § 51.33 (relating to requests for exceptions), the Department of Health (Department) gives notice that UPMC Presbyterian Shadyside has requested an exception to the requirements of 28 Pa. Code § 153.1 (relating to minimum standards), which requires compliance with minimum standards contained in the following publication: *Guidelines for Design and Construction of Hospitals and Healthcare Facilities*. The facility specifically requests exception from the following standards contained in this publication: 2.2-2.6.2.2, 2.2-2.6.2.11 and 2.2-2.6.2.6 (relating to space requirements; equipment and supply storage; and toilet and soiled utility room).

This request is on file with the Department. Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Acute and Ambulatory Care, Room 532, Health and Welfare Building, Harrisburg, PA 17120, (717) 783-8980, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of a request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Director, Division of Acute and Ambulatory Care at (717) 783-8980, for speech and/or hearing impaired persons V/TT (717) 783-6154, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
Secretary

[Pa.B. Doc. No. 14-546. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Long-Term Care Nursing Facilities; Request for Exception

The following long-term care nursing facilities are seeking exceptions to 28 Pa. Code § 211.9(g) (relating to pharmacy services):

Elm Terrace Gardens  
660 North Broad Street  
Lansdale, PA 19446  
FAC ID # 310802

The Highlands at Wyomissing  
2000 Cambridge Avenue  
Wyomissing, PA 19610  
FAC ID # 089602

Latrobe Health and Rehabilitation Center  
576 Fred Rogers Drive  
Latrobe, PA 15650

Northampton County—Gracedale  
2 Gracedale Avenue  
Nazareth, PA 18064  
FAC ID # 072802

Pine Run Health Center  
777 Ferry Road  
Doylestown, PA 18901  
FAC ID # 680502

The following long-term care nursing facility is seeking exceptions to 28 Pa. Code § 205.36(h) (relating to bathing facilities):

River Run Rehabilitation and Nursing Center  
615 Wyomissing Avenue  
Kingston, PA 18704  
FAC ID # 381402

These requests are on file with the Department of Health (Department). Persons may receive a copy of a request for exception by requesting a copy from the Department of Health, Division of Nursing Care Facilities, Room 526, Health and Welfare Building, Harrisburg, PA 17120, (717) 787-1816, fax (717) 772-2163, ra-paexcept@pa.gov.

Persons who wish to comment on an exception request may do so by sending a letter by mail, e-mail or facsimile to the Division at the address listed previously.

Comments received by the Department within 10 days after the date of publication of this notice will be reviewed by the Department before it decides whether to approve or disapprove the request for exception.

Persons with a disability who wish to obtain a copy of the request and/or provide comments to the Department and require an auxiliary aid, service or other accommodation to do so should contact the Division at the address or phone number listed previously, or for speech and/or hearing impaired persons V/TT (717) 783-6514, or the Pennsylvania AT&T Relay Service (800) 654-5984 (TT).

MICHAEL WOLF,  
*Secretary*

[Pa.B. Doc. No. 14-547. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Renal Disease Advisory Committee Meeting

The Renal Disease Advisory Committee, established by section 4 of the act of June 23, 1970 (P. L. 419, No. 140) (35 P. S. § 6204), will hold a public meeting on Friday, April 11, 2014, from 10 a.m. to 1 p.m. The meeting will be held in Conference Room 907, Health and Welfare Building, 625 Forster Street, Harrisburg, PA 17120.

For additional information or for persons with a disability who wish to attend the meeting and require an auxiliary aid, service or other accommodation to do so contact Carolyn S. Cass, Director, (717) 772-2762, or for a speech and/or hearing impaired persons call V/TT (717) 783-6514, or the Pennsylvania AT&T Relay Service (800) 654-5984.

This meeting is subject to cancellation without notice.

MICHAEL WOLF,  
*Secretary*

[Pa.B. Doc. No. 14-548. Filed for public inspection March 14, 2014, 9:00 a.m.]

## DEPARTMENT OF REVENUE

### Pennsylvania In The Money Instant Lottery Game

Under the State Lottery Law (72 P. S. §§ 3761-101—3761-314) and 61 Pa. Code § 819.203 (relating to notice of instant game rules), the Secretary of Revenue hereby provides public notice of the rules for the following instant lottery game:

1. *Name:* The name of the game is Pennsylvania In The Money.

2. *Price:* The Pennsylvania In The Money instant lottery game ticket is a promotional item and has no sale price.

3. *Promotional Game Details:* Pennsylvania In The Money instant lottery game tickets will be provided to retailers to use to augment retailer promotions and to other persons for promotional purposes as approved by the Director of the Lottery.

4. *Prize Play Symbols:* Each Pennsylvania In The Money instant lottery game ticket will contain one play area. The prize play symbols and their captions located in the play area are: \$1<sup>00</sup> (ONE DOL), \$2<sup>00</sup> (TWO DOL), \$3<sup>00</sup> (THR DOL), \$5<sup>00</sup> (FIV DOL), \$10<sup>00</sup> (TEN DOL), \$20<sup>00</sup> (TWENTY), \$30<sup>00</sup> (THIRTY), \$50<sup>00</sup> (FIFTY) and a STAR (STAR) symbol.

5. *Prizes:* The prizes that can be won in this game are: \$1, \$2, \$3, \$5, \$10, \$20, \$30 and \$50. The player can win one time on a ticket.

6. *Approximate Number of Tickets Printed For the Game:* Approximately 1,920,000 tickets will be printed for the Pennsylvania In The Money instant lottery game.

7. *Determination of Prize Winners:*

(a) Holders of tickets with three matching prize play symbols of \$50<sup>00</sup> (FIFTY) in the play area, on a single ticket, shall be entitled to a prize of \$50.

(b) Holders of tickets with three matching prize play symbols of \$30<sup>00</sup> (THIRTY) in the play area, on a single ticket, shall be entitled to a prize of \$30.

(c) Holders of tickets with three matching prize play symbols of \$20<sup>.00</sup> (TWENTY) in the play area, on a single ticket, shall be entitled to a prize of \$20.

(d) Holders of tickets with two matching prize play symbols of \$10<sup>.00</sup> (TEN DOL) and a Star (STAR) symbol in the play area, on a single ticket, shall be entitled to a prize of \$20.

(e) Holders of tickets with three matching prize play symbols of \$10<sup>.00</sup> (TEN DOL) in the play area, on a single ticket, shall be entitled to a prize of \$10.

(f) Holders of tickets with two matching prize play symbols of \$5<sup>.00</sup> (FIV DOL) and a Star (STAR) symbol in the play area, on a single ticket, shall be entitled to a prize of \$10.

(g) Holders of tickets with three matching prize play symbols of \$5<sup>.00</sup> (FIV DOL) in the play area, on a single ticket, shall be entitled to a prize of \$5.

(h) Holders of tickets with three matching prize play symbols of \$3<sup>.00</sup> (THR DOL) in the play area, on a single ticket, shall be entitled to a prize of \$3.

(i) Holders of tickets with three matching prize play symbols of \$2<sup>.00</sup> (TWO DOL) in the play area, on a single ticket, shall be entitled to a prize of \$2.

(j) Holders of tickets with two matching prize play symbols of \$1<sup>.00</sup> (ONE DOL) and a Star (STAR) symbol in the play area, on a single ticket, shall be entitled to a prize of \$2.

(k) Holders of tickets with three matching prize play symbols of \$1<sup>.00</sup> (ONE DOL) in the play area, on a single ticket, shall be entitled to a prize of \$1.

8. *Number and Description of Prizes and Approximate Odds:* The following table sets forth the approximate number of winners, amounts of prizes, and approximate odds of winning:

<i>Get 3 Like Amounts, Win That Amount. Win With:</i>	<i>Win:</i>	<i>Approximate Odds Are 1 In:</i>	<i>Approximate No. Of Winners Per 1,920,000 Tickets</i>
3 - \$1s	\$1	8.33	230,400
2 - \$1s w/ STAR	\$2	23.81	80,640
3 - \$2s	\$2	50	38,400
3 - \$3s	\$3	31.25	61,440
3 - \$5s	\$5	50	38,400
2 - \$5s w/ STAR	\$10	166.67	11,520
3 - \$10s	\$10	250	7,680
2 - \$10s w/ STAR	\$20	250	7,680
3 - \$20s	\$20	500	3,840
3 - \$30s	\$30	266.67	7,200
3 - \$50s	\$50	600	3,200

Get 2 like amounts and a "STAR" (STAR) symbol, win double that amount.

Prizes, including top prizes, are subject to availability at the time of purchase.

9. *Unclaimed Prize Money:* For a period of 1 year from the announced close of Pennsylvania In The Money, prize money from winning Pennsylvania In The Money instant lottery game tickets will be retained by the Secretary for payment to the persons entitled thereto. If no claim is made within 1 year of the announced close of the Pennsylvania In The Money instant lottery game, the right of a ticket holder to claim the prize represented by the ticket, if any, will expire and the prize money will be paid into the State Lottery Fund and used for purposes provided for by statute.

10. *Governing Law:* In accepting a promotional ticket, the ticket holder agrees to comply with and abide by the State Lottery Law (72 P.S. §§ 3761-101—3761-314), 61 Pa. Code Part V (relating to State Lotteries) and the provisions contained in this notice.

11. *Termination of the Game:* The Secretary may announce a termination date, after which no further tickets from this game will be available. The announcement will be disseminated through media used to advertise or promote Pennsylvania In The Money or through normal communications methods.

DANIEL MEUSER,  
Secretary

[Pa.B. Doc. No. 14-549. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Pennsylvania MONOPOLY Jackpot Instant Lottery game; Change to Game Rules; Amended Notice**

Under the State Lottery Law (72 P.S. §§ 3761-101—3761-314) and 61 Pa. Code § 819.203 (relating to notice of instant game rules), the Secretary of Revenue hereby provides public notice of changes to the MONOPOLY Jackpot instant lottery game rules that were published at 44 Pa.B. 1100 (February 22, 2014).

This amendment clarifies that if a Pennsylvania winner of the MONOPOLY Jackpot Drawing does not claim their prize within one year of the date of the drawing in which the prize was won, only the portion of the prize that was derived from Pennsylvania Lottery sales will be paid into the State Lottery Fund. The correct version of this document is as follows, with ellipses referring to the existing text as it appeared at 44 Pa.B. 1100—1104:

\* \* \* \* \*

*13. Pennsylvania Lottery's MONOPOLY Jackpot Second-Chance "Collect and Win" Game Monthly Jackpot Drawings.*

\* \* \* \* \*

(h) Pennsylvania winners of a Monthly Jackpot Drawing must claim their prize within one year of the drawing date of the drawing in which the prize was won. If no claim is made within one year of the date of the drawing in which the prize was won, the right of an entrant to

claim the prize won, if any, will expire and the portion of the prize, derived from Pennsylvania Lottery sales, will be paid into the State Lottery Fund and used for purposes provided by statute.

\* \* \* \* \*

DANIEL MEUSER,  
Secretary

[Pa.B. Doc. No. 14-550. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Pennsylvania Spicy Hot Cash Instant Lottery Game

Under the State Lottery Law (72 P. S. §§ 3761-101—3761-314) and 61 Pa. Code § 819.203 (relating to notice of instant game rules), the Secretary of Revenue hereby provides public notice of the rules for the following instant lottery game:

1. *Name:* The name of the game is Pennsylvania Spicy Hot Cash.

2. *Price:* The price of a Pennsylvania Spicy Hot Cash instant lottery game ticket is \$2.

3. *Play Symbols:* Each Pennsylvania Spicy Hot Cash instant game ticket will contain one play area featuring a “WINNING NUMBERS” area and a “YOUR NUMBERS” area. The play symbols and their captions printed in red ink and located in the “WINNING NUMBERS” area are: 1 (ONE), 2 (TWO), 3 (THREE), 4 (FOUR), 5 (FIVE), 6 (SIX), 7 (SEVEN), 8 (EIGHT), 9 (NINE), 10 (TEN), 11 (ELEVN), 12 (TWLV), 13 (THRTN), 14 (FORTN), 15 (FIFTN), 16 (SIXTN), 17 (SVNTN), 18 (EGHTN), 19 (NINTN) and 20 (TWENT). The play symbols and their captions printed in black ink and located in the “WINNING NUMBERS” area are: 1 (ONE), 2 (TWO), 3 (THREE), 4 (FOUR), 5 (FIVE), 6 (SIX), 7 (SEVEN), 8 (EIGHT), 9 (NINE), 10 (TEN), 11 (ELEVN), 12 (TWLV), 13 (THRTN), 14 (FORTN), 15 (FIFTN), 16 (SIXTN), 17 (SVNTN), 18 (EGHTN), 19 (NINTN) and 20 (TWENT). The play symbols and their captions printed in red ink and located in the “YOUR NUMBERS” area are: 1 (ONE), 2 (TWO), 3 (THREE), 4 (FOUR), 5 (FIVE), 6 (SIX), 7 (SEVEN), 8 (EIGHT), 9 (NINE), 10 (TEN), 11 (ELEVN), 12 (TWLV), 13 (THRTN), 14 (FORTN), 15 (FIFTN), 16 (SIXTN), 17 (SVNTN), 18 (EGHTN), 19 (NINTN) and 20 (TWENT). The play symbols and their captions printed in black ink and located in the “YOUR NUMBERS” area are: 1 (ONE), 2 (TWO), 3 (THREE), 4 (FOUR), 5 (FIVE), 6 (SIX), 7 (SEVEN), 8 (EIGHT), 9 (NINE), 10 (TEN), 11 (ELEVN), 12 (TWLV), 13 (THRTN), 14 (FORTN), 15 (FIFTN), 16 (SIXTN), 17 (SVNTN), 18 (EGHTN), 19 (NINTN) and 20 (TWENT).

4. *Prize Symbols:* The prize symbols and their captions located in the “YOUR NUMBERS” area are: \$2.<sup>00</sup> (TWO DOL), \$4.<sup>00</sup> (FOR DOL), \$5.<sup>00</sup> (FIV DOL), \$10.<sup>00</sup> (TEN DOL), \$20.<sup>00</sup> (TWENTY), \$25.<sup>00</sup> (TWY FIV), \$50.<sup>00</sup> (FIFTY), \$100 (ONE HUN), \$250 (TWOHUNFTY), \$500 (FIV HUN), \$1,000 (ONE THO) and \$25,000 (TWYFIVTHO).

5. *Prizes:* The prizes that can be won in this game are: \$2, \$4, \$5, \$10, \$20, \$25, \$50, \$100, \$250, \$500, \$1,000 and \$25,000. A player can win up to 10 times on a ticket.

6. *Approximate Number of Tickets Printed For the Game:* Approximately 10,800,000 tickets will be printed for the Pennsylvania Spicy Hot Cash instant game.

### 7. Determination of Prize Winners:

(a) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in black ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$25,000 (TWYFIVTHO) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$25,000.

(b) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in black ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$1,000 (ONE THO) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$1,000.

(c) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in black ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$500 (FIV HUN) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$500.

(d) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in red ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in red ink, and a prize symbol of \$100 (ONE HUN) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$500.

(e) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in black ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$250 (TWOHUNFTY) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$250.

(f) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in red ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in red ink, and a prize symbol of \$50.<sup>00</sup> (FIFTY) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$250.

(g) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in black ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$100 (ONE HUN) appears in the “Prize” area under the matching “YOUR NUMBERS” play symbol, on a single ticket, shall be entitled to a prize of \$100.

(h) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$100 (ONE HUN) appears in the “Prize” area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$100.

(i) Holders of tickets upon which any one of the “YOUR NUMBERS” play symbols, with the symbol and caption printed in red ink, matches any of the “WINNING NUMBERS” play symbols, with the symbol and caption

printed in red ink, and a prize symbol of \$20.<sup>00</sup> (TWENTY) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$100.

(j) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$50.<sup>00</sup> (FIFTY) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$50.

(k) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$50.<sup>00</sup> (FIFTY) appears in the "Prize" area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$50.

(l) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in red ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in red ink, and a prize symbol of \$10.<sup>00</sup> (TEN DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$50.

(m) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$25.<sup>00</sup> (TWY FIV) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$25.

(n) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in red ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in red ink, and a prize symbol of \$5.<sup>00</sup> (FIV DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$25.

(o) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$20.<sup>00</sup> (TWENTY) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$20.

(p) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$20.<sup>00</sup> (TWENTY) appears in the "Prize" area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$20.

(q) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in red ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in red ink, and a prize symbol of \$4.<sup>00</sup> (FOR DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$20.

(r) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$10.<sup>00</sup> (TEN DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$10.

(s) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$10.<sup>00</sup> (TEN DOL) appears in the "Prize" area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$10.

(t) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in red ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in red ink, and a prize symbol of \$2.<sup>00</sup> (TWO DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$10.

(u) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$5.<sup>00</sup> (FIV DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$5.

(v) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$5.<sup>00</sup> (FIV DOL) appears in the "Prize" area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$5.

(w) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$4.<sup>00</sup> (FOR DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$4.

(x) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$4.<sup>00</sup> (FOR DOL) appears in the "Prize" area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$4.

(y) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols, with the symbol and caption printed in black ink, matches any of the "WINNING NUMBERS" play symbols, with the symbol and caption printed in black ink, and a prize symbol of \$2.<sup>00</sup> (TWO DOL) appears in the "Prize" area under the matching "YOUR NUMBERS" play symbol, on a single ticket, shall be entitled to a prize of \$2.

(z) Holders of tickets upon which any one of the "YOUR NUMBERS" play symbols is a Pepper (PEPPR) symbol and a prize symbol of \$2.<sup>00</sup> (TWO DOL) appears in the "Prize" area under that Pepper (PEPPR) symbol, on a single ticket, shall be entitled to a prize of \$2.

8. *Number and Description of Prizes and Approximate Odds:* The following table sets forth the approximate number of winners, amounts of prizes, and approximate odds of winning:

When Any Of Your Numbers Match Either Winning Number, Win Prize Shown Under The Matching Number. Win With:

	Win:	Approximate Odds Are 1 In:	Approximate No. Of Winners Per 10,800,000 Tickets
\$2 w/ PEPPER	\$2	15	720,000
\$2	\$2	21.43	504,000
\$2 × 2	\$4	150	72,000
\$4 w/ PEPPER	\$4	37.5	288,000
\$4	\$4	75	144,000
\$5 w/ PEPPER	\$5	50	216,000
\$5	\$5	75	144,000
\$5 × 2	\$10	750	14,400
\$2 w/ RED MATCH	\$10	250	43,200
(\$2 w/ PEPPER) × 5	\$10	300	36,000
\$10	\$10	750	14,400
\$2 × 10	\$20	1,500	7,200
(\$10 w/ PEPPER) × 2	\$20	250	43,200
\$4 w/ RED MATCH	\$20	300	36,000
\$20	\$20	1,500	7,200
(\$5 × 3) + \$10	\$25	2,400	4,500
\$20 + \$5	\$25	2,400	4,500
\$5 w/ RED MATCH	\$25	960	11,250
(\$5 w/ PEPPER) × 5	\$25	960	11,250
\$25	\$25	2,400	4,500
\$5 × 10	\$50	4,000	2,700
(\$5 × 5) + \$25	\$50	3,000	3,600
\$10 w/ RED MATCH	\$50	800	13,500
\$50	\$50	4,000	2,700
\$10 × 10	\$100	6,000	1,800
\$20 w/ RED MATCH	\$100	3,000	3,600
(\$20 w/ PEPPER) × 5	\$100	3,000	3,600
\$100	\$100	4,800	2,250
\$25 × 10	\$250	30,000	360
\$50 w/ RED MATCH	\$250	12,000	900
(\$50 w/ PEPPER) × 5	\$250	12,000	900
\$250	\$250	30,000	360
\$50 × 10	\$500	120,000	90
\$100 w/ RED MATCH	\$500	60,000	180
(\$100 w/ PEPPER) × 5	\$500	60,000	180
\$500	\$500	120,000	90
\$1,000	\$1,000	60,000	180
\$25,000	\$25,000	540,000	20

When matching numbers are red, win 5 times the prize shown under the matching number. Reveal a "PEPPER" (PEPPR) symbol, win prize shown under it automatically.

Prizes, including top prizes, are subject to availability at the time of purchase.

9. *Retailer Incentive Awards:* The Lottery may conduct a separate Retailer Incentive Game for retailers who sell Pennsylvania Spicy Hot Cash instant game tickets. The conduct of the game will be governed by 61 Pa. Code § 819.222 (relating to retailer bonuses and incentive).

10. *Unclaimed Prize Money:* For a period of 1 year from the announced close of Pennsylvania Spicy Hot Cash instant game, prize money from Pennsylvania Spicy Hot Cash instant game tickets will be retained by the Secretary for payment to the persons entitled thereto. If no claim is made within 1 year of the announced close of the Pennsylvania Spicy Hot Cash instant game, the right of a ticket holder to claim the prize represented by the ticket, if any, will expire and the prize money will be paid into the State Lottery Fund and used for purposes provided for by statute.

11. *Governing Law:* In purchasing a ticket, the customer agrees to comply with and abide by the State Lottery Law (72 P. S. §§ 3761-101—3761-314), 61 Pa. Code Part V (relating to State Lotteries) and the provisions contained in this notice.

12. *Termination of the Game:* The Secretary may announce a termination date, after which no further tickets from this game may be sold. The announcement will be disseminated through media used to advertise or promote Pennsylvania Spicy Hot Cash instant game or through normal communications methods.

DANIEL MEUSER,  
Secretary

[Pa.B. Doc. No. 14-551. Filed for public inspection March 14, 2014, 9:00 a.m.]



### Pennsylvania Wild 1 Instant Lottery Game

Under the State Lottery Law (72 P. S. §§ 3761-101—3761-314) and 61 Pa. Code § 819.203 (relating to notice of instant game rules), the Secretary of Revenue hereby provides public notice of the rules for the following instant lottery game:

1. *Name:* The name of the game is Pennsylvania Wild 1.

2. *Price:* The price of a Pennsylvania Wild 1 instant lottery game ticket is \$1.

3. *Play Symbols:* Each Pennsylvania Wild 1 instant lottery game ticket will contain one play area. The play symbols and their captions, located in the play area are: 2 (TWO), 3 (THREE), 4 (FOUR), 5 (FIVE), 6 (SIX), 7 (SEVEN), 8 (EIGHT), 9 (NINE), 10 (TEN), 11 (ELEVN), 12 (TWLV), 13 (THRTN), 14 (FORTN), 15 (FIFTN), 16 (SIXTN), 17 (SVNTN), 18 (EGHTN), 19 (NINTN), 20 (TWENT), 1 (ONE) symbol and a WILD (WILD) symbol.

4. *Prize Symbols:* The prize symbols and their captions, located in the play area are: FREE (TICKET), \$1<sup>.00</sup> (ONE DOL), \$2<sup>.00</sup> (TWO DOL), \$4<sup>.00</sup> (FOR DOL), \$5<sup>.00</sup> (FIV DOL), \$10<sup>.00</sup> (TEN DOL), \$20<sup>.00</sup> (TWENTY), \$25<sup>.00</sup> (TWY FIV), \$50<sup>.00</sup> (FIFTY), \$100 (ONE HUN), \$500 (FIV HUN) and \$3,000 (THR THO).

5. *Prizes:* The prizes that can be won in this game are: Free \$1 Ticket, \$1, \$2, \$4, \$5, \$10, \$20, \$25, \$50, \$100, \$500 and \$3,000. The player can win up to 5 times on the ticket.

6. *Approximate Number of Tickets Printed For the Game:* Approximately 12,000,000 tickets will be printed for the Pennsylvania Wild 1 instant lottery game.

#### 7. Determination of Prize Winners:

(a) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$3,000 (THR THO) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$3,000.

(b) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$500 (FIV HUN) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$500.

(c) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$100 (ONE HUN) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$100.

(d) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$20<sup>.00</sup> (TWENTY) appears in all five of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$100.

(e) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$50<sup>.00</sup> (FIFTY) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$50.

(f) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$10<sup>.00</sup> (TEN DOL) appears in all five of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$50.

(g) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$25<sup>.00</sup> (TWY FIV) in the

“Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$25.

(h) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$5<sup>.00</sup> (FIV DOL) appears in all five of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$25.

(i) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$20<sup>.00</sup> (TWENTY) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$20.

(j) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$2<sup>.00</sup> (TWO DOL) appears in three of the “Prize” areas, a prize symbol of \$10<sup>.00</sup> (TEN DOL) appears in one of the “Prize” areas, and a prize symbol of \$4<sup>.00</sup> (FOR DOL) appears in one of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$20.

(k) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$4<sup>.00</sup> (FOR DOL) appears in all five of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$20.

(l) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$10<sup>.00</sup> (TEN DOL) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$10.

(m) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$2<sup>.00</sup> (TWO DOL) appears in all five of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$10.

(n) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$5<sup>.00</sup> (FIV DOL) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$5.

(o) Holders of tickets with a WILD (WILD) symbol in the play area and a prize symbol of \$1<sup>.00</sup> (ONE DOL) appears in all five of the “Prize” areas, on a single ticket, shall be entitled to a prize of \$5.

(p) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$4<sup>.00</sup> (FOR DOL) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$4.

(q) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$2<sup>.00</sup> (TWO DOL) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$2.

(r) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of \$1<sup>.00</sup> (ONE DOL) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of \$1.

(s) Holders of tickets with a 1 (ONE) symbol in the play area and a prize symbol of FREE (TICKET) in the “Prize” area to the right of that 1 (ONE) symbol, on a single ticket, shall be entitled to a prize of one Pennsylvania Wild 1 instant game ticket or one Pennsylvania Lottery instant game ticket with a \$1 sale price which is currently on sale.

8. *Number and Description of Prizes and Approximate Odds:* The following table sets forth the approximate number of winners, amounts of prizes, and approximate odds of winning:

Reveal A "1" (ONE) Symbol, Win Prize Shown To The Right Of That Symbol. Win With:

	Win:	Approximate Odds Are 1 In:	Approximate No. Of Winners Per 12,000,000 Tickets
FREE	FREE \$1 TICKET	10	1,200,000
\$1	\$1	75	160,000
\$1 × 2	\$2	37.5	320,000
\$2	\$2	37.5	320,000
\$1 × 4	\$4	200	60,000
\$2 × 2	\$4	300	40,000
(\$1 × 2) + \$2	\$4	200	60,000
\$4	\$4	300	40,000
WILD w/ (\$1 × 5)	\$5	100	120,000
(\$1 × 3) + \$2	\$5	300	40,000
\$5	\$5	300	40,000
WILD w/ (\$2 × 5)	\$10	200	60,000
(\$4 × 2) + \$2	\$10	428.57	28,000
\$10	\$10	1,000	12,000
WILD w/ (\$4 × 5)	\$20	750	16,000
WILD W/ ((\$2 × 3) + \$10 + \$4)	\$20	1,000	12,000
\$5 × 4	\$20	1,500	8,000
\$20	\$20	3,000	4,000
WILD w/ (\$5 × 5)	\$25	2,400	5,000
(\$5 × 3) + 10	\$25	2,400	5,000
(\$10 × 2) + \$5	\$25	2,400	5,000
\$25	\$25	2,400	5,000
WILD w/ (\$10 × 5)	\$50	2,400	5,000
\$25 × 2	\$50	6,000	2,000
(\$10 × 2) + (\$5 × 2) + \$20	\$50	6,000	2,000
\$50	\$50	12,000	1,000
WILD w/ (\$20 × 5)	\$100	12,000	1,000
\$25 × 4	\$100	48,000	250
(\$20 × 2) + (\$5 × 2) + \$50	\$100	12,000	1,000
\$100	\$100	48,000	250
\$100 × 5	\$500	82,192	146
\$500	\$500	77,922	154
\$3,000	\$3,000	400,000	30

Reveal a "WILD" (WILD) symbol, win all 5 prizes shown!

Prizes, including top prizes, are subject to availability at the time of purchase.

9. *Retailer Incentive Awards:* The Lottery may conduct a separate Retailer Incentive Game for retailers who sell Pennsylvania Wild 1 instant lottery game tickets. The conduct of the game will be governed by 61 Pa. Code § 819.222 (relating to retailer bonuses and incentive).

10. *Unclaimed Prize Money:* For a period of 1 year from the announced close of Pennsylvania Wild 1, prize money from winning Pennsylvania Wild 1 instant lottery game tickets will be retained by the Secretary for payment to the persons entitled thereto. If no claim is made within 1 year of the announced close of the Pennsylvania Wild 1 instant lottery game, the right of a ticket holder to claim the prize represented by the ticket, if any, will expire and the prize money will be paid into the State Lottery Fund and used for purposes provided for by statute.

11. *Governing Law:* In purchasing a ticket, the customer agrees to comply with and abide by the State Lottery Law (72 P.S. §§ 3761-101—3761-314), 61 Pa. Code Part V (relating to State Lotteries) and the provisions contained in this notice.

12. *Termination of the Game:* The Secretary may announce a termination date, after which no further tickets from this game may be sold. The announcement will be

disseminated through media used to advertise or promote Pennsylvania Wild 1 or through normal communications methods.

DANIEL MEUSER,  
Secretary

[Pa.B. Doc. No. 14-552. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Pennsylvania Winning 777 Instant Lottery Game**

Under the State Lottery Law (72 P.S. §§ 3761-101—3761-314) and 61 Pa. Code § 819.203 (relating to notice of instant game rules), the Secretary of Revenue hereby provides public notice of the rules for the following instant lottery game:

1. *Name:* The name of the game is Pennsylvania Winning 777.

2. *Price:* The price of a Pennsylvania Winning 777 instant lottery game ticket is \$10.

3. *Play Symbols:* Each Pennsylvania Winning 777 instant lottery game ticket will contain one play area. The play symbols and their captions located in the play area are: 1 (ONE), 2 (TWO), 3 (THREE), 4 (FOUR), 5 (FIVE), 6 (SIX), 8 (EIGHT), 9 (NINE), 10 (TEN), 11 (ELEVN), 12 (TWLV), 13 (THRTN), 14 (FORTN), 15 (FIFTN), 16 (SIXTN), 18 (EGHTN), 19 (NINTN), 20 (TWTENT), 21

(TWYONE), 22 (TWY TWO), 23 (TWY THR), 24 (TWY FOR), 25 (TWY FIV), 26 (TWY SIX), 28 (TWY EGT), 29 (TWY NIN), 30 (THIRTY), 31 (THY ONE), 32 (THY TWO), 33 (THY THR), 34 (THY FOR), 35 (THY FIV), 36 (THY SIX), 7 (SVN) symbol, 7X (7TIMES) symbol and a 777 (WINALL) symbol.

4. *Prize Symbols:* The prize symbols and their captions located in the play area are: \$5<sup>00</sup> (FIV DOL), \$10<sup>00</sup> (TEN DOL), \$20<sup>00</sup> (TWENTY), \$40<sup>00</sup> (FORTY), \$50<sup>00</sup> (FIFTY), \$100 (ONE HUN), \$200 (TWO HUN), \$500 (FIV HUN), \$1,000 (ONE THO), \$10,000 (TEN THO), \$20,000 (TWY THO) and \$300,000 (THR HUN THO).

5. *Prizes:* The prizes that can be won in this game are: \$5, \$10, \$20, \$40, \$50, \$100, \$200, \$500, \$1,000, \$10,000, \$20,000 and \$300,000. The player can win up to 15 times on the ticket.

6. *Approximate Number of Tickets Printed For the Game:* Approximately 8,400,000 tickets will be printed for the Pennsylvania Winning 777 instant lottery game.

7. *Determination of Prize Winners:*

(a) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$300,000 (THR HUN THO) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$300,000.

(b) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$20,000 (TWY THO) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$20,000.

(c) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$10,000 (TEN THO) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$10,000.

(d) Holders of tickets with a 7X (7TIMES) symbol in the play area and a prize symbol of \$1,000 (ONE THO) in the "Prize" area to the right of that 7X (7TIMES) symbol, on a single ticket, shall be entitled to a prize of \$7,000.

(e) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$1,000 (ONE THO) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$1,000.

(f) Holders of tickets with a 777 (WINALL) symbol in the play area and a prize symbol of \$100 (ONE HUN) appears in five of the "Prize" areas and a prize symbol of \$50<sup>00</sup> (FIFTY) appears in ten of the "Prize" areas, on a single ticket, shall be entitled to a prize of \$1,000.

(g) Holders of tickets with a 7X (7TIMES) symbol in the play area and a prize symbol of \$100 (ONE HUN) in the "Prize" area to the right of that 7X (7TIMES) symbol, on a single ticket, shall be entitled to a prize of \$700.

(h) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$500 (FIV HUN) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$500.

(i) Holders of tickets with a 777 (WINALL) symbol in the play area and a prize symbol of \$40<sup>00</sup> (FORTY) appears in ten of the "Prize" areas and a prize symbol of \$20<sup>00</sup> (TWENTY) appears in five of the "Prize" areas, on a single ticket, shall be entitled to a prize of \$500.

(j) Holders of tickets with a 7X (7TIMES) symbol in the play area and a prize symbol of \$50<sup>00</sup> (FIFTY) in the "Prize" area to the right of that 7X (7TIMES) symbol, on a single ticket, shall be entitled to a prize of \$350.

(k) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$200 (TWO HUN) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$200.

(l) Holders of tickets with a 777 (WINALL) symbol in the play area and a prize symbol of \$20<sup>00</sup> (TWENTY) appears in five of the "Prize" areas and a prize symbol of \$10<sup>00</sup> (TEN DOL) appears in ten of the "Prize" areas, on a single ticket, shall be entitled to a prize of \$200.

(m) Holders of tickets with a 7X (7TIMES) symbol in the play area and a prize symbol of \$20<sup>00</sup> (TWENTY) in the "Prize" area to the right of that 7X (7TIMES) symbol, on a single ticket, shall be entitled to a prize of \$140.

(n) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$100 (ONE HUN) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$100.

(o) Holders of tickets with a 777 (WINALL) symbol in the play area and a prize symbol of \$10<sup>00</sup> (TEN DOL) appears in five of the "Prize" areas and a prize symbol of \$5<sup>00</sup> (FIV DOL) appears in ten of the "Prize" areas, on a single ticket, shall be entitled to a prize of \$100.

(p) Holders of tickets with a 7X (7TIMES) symbol in the play area and a prize symbol of \$10<sup>00</sup> (TEN DOL) in the "Prize" area to the right of that 7X (7TIMES) symbol, on a single ticket, shall be entitled to a prize of \$70.

(q) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$50<sup>00</sup> (FIFTY) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$50.

(r) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$40<sup>00</sup> (FORTY) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$40.

(s) Holders of tickets with a 7X (7TIMES) symbol in the play area and a prize symbol of \$5<sup>00</sup> (FIV DOL) in the "Prize" area to the right of that 7X (7TIMES) symbol, on a single ticket, shall be entitled to a prize of \$35.

(t) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$20<sup>00</sup> (TWENTY) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$20.

(u) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$10<sup>00</sup> (TEN DOL) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$10.

(v) Holders of tickets with a 7 (SVN) symbol in the play area and a prize symbol of \$5<sup>00</sup> (FIV DOL) in the "Prize" area to the right of that 7 (SVN) symbol, on a single ticket, shall be entitled to a prize of \$5.

8. *Number and Description of Prizes and Approximate Odds:* The following table sets forth the approximate number of winners, amounts of prizes, and approximate odds of winning:

Reveal A "7" (SVN) Symbol, Win Prize Shown To The Right Of It. Win With:

Win:	Approximate Odds Are 1 In:	Approximate No. Of Winners Per 8,400,000 Tickets:	
\$5 x 2	\$10	12	700,000
\$10	\$10	12	700,000
\$5 x 4	\$20	120	70,000
\$10 x 2	\$20	30	280,000
(\$5 x 2) + \$10	\$20	120	70,000
\$20	\$20	40	210,000
\$20 x 2	\$40	600	14,000
(\$5 w/ 7X) + \$5	\$40	200	42,000
\$40	\$40	600	14,000
\$10 x 5	\$50	600	14,000
(\$5 w/ 7X) + (\$5 x 3)	\$50	150	56,000
\$50	\$50	600	14,000
777 w/ ((\$10 x 5) + (\$5 x 10))	\$100	150	56,000
\$20 x 5	\$100	600	14,000
\$50 x 2	\$100	600	14,000
(\$10 w/ 7X) + (\$10 x 3)	\$100	200	42,000
\$100	\$100	600	14,000
777 w/ ((\$20 x 5) + (\$10 x 10))	\$200	1,500	5,600
\$40 x 5	\$200	12,000	700
\$50 x 4	\$200	6,000	1,400
\$100 x 2	\$200	6,000	1,400
(\$20 w/ 7X) + (\$20 x 3)	\$200	2,000	4,200
\$200	\$200	12,000	700
777 w/ ((\$40 x 10) + (\$20 x 5))	\$500	2,182	3,850
\$50 x 10	\$500	12,000	700
\$100 x 5	\$500	12,000	700
(\$50 w/ 7X) + (\$50 x 3)	\$500	3,429	2,450
\$500	\$500	12,000	700
777 w/ ((\$100 x 5) + (\$50 x 10))	\$1,000	17,143	490
\$200 x 5	\$1,000	60,000	140
\$500 x 2	\$1,000	40,000	210
(\$200 x 4) + (\$100 x 2)	\$1,000	60,000	140
(\$100 w/ 7X) + (\$100 x 3)	\$1,000	17,143	490
\$1,000	\$1,000	40,000	210
(\$1,000 w/ 7X) + (\$1,000 x 3)	\$10,000	280,000	30
\$10,000	\$10,000	280,000	30
\$20,000	\$20,000	280,000	30
\$300,000	\$300,000	840,000	10

Reveal a "7X" (7TIMES) symbol, win 7 times the prize shown to the right of it.  
 Reveal a "777" (WINALL) symbol, win all 15 prizes shown!

Prizes, including top prizes, are subject to availability at the time of purchase.

9. *Retailer Incentive Awards:* The Lottery may conduct a separate Retailer Incentive Game for retailers who sell Pennsylvania Winning 777 instant lottery game tickets. The conduct of the game will be governed by 61 Pa. Code § 819.222 (relating to retailer bonuses and incentive).

10. *Unclaimed Prize Money:* For a period of 1 year from the announced close of Pennsylvania Winning 777, prize money from winning Pennsylvania Winning 777 instant lottery game tickets will be retained by the Secretary for payment to the persons entitled thereto. If no claim is made within 1 year of the announced close of the Pennsylvania Winning 777 instant lottery game, the right of a ticket holder to claim the prize represented by the ticket, if any, will expire and the prize money will be paid into the State Lottery Fund and used for purposes provided for by statute.

11. *Governing Law:* In purchasing a ticket, the customer agrees to comply with and abide by the State Lottery Law (72 P. S. §§ 3761-101—3761-314), 61 Pa. Code Part V (relating to State Lotteries) and the provisions contained in this notice.

12. *Termination of the Game:* The Secretary may announce a termination date, after which no further tickets from this game may be sold. The announcement will be disseminated through media used to advertise or promote Pennsylvania Winning 777 or through normal communications methods.

DANIEL MEUSER,  
*Secretary*

[Pa.B. Doc. No. 14-553. Filed for public inspection March 14, 2014, 9:00 a.m.]

## DEPARTMENT OF TRANSPORTATION

### Contemplated Sale of Land No Longer Needed for Transportation Purposes

The Department of Transportation (Department), under the Sale of Transportation Lands Act (71 P. S.

§§ 1381.1—1381.3), intends to sell certain land owned by the Department.

The following property is available for sale by the Department.

1. Parcel No. 7—Municipality of Penn Hills, Allegheny County. The parcel contains approximately 22,397 ± square feet of unimproved land located at the intersection of Universal and Jefferson Roads. The estimated fair market value of the parcel is \$62,700.

Interested public entities are invited to express their interest in purchasing the site within 30 calendar days from the date of publication of this notice to H. Daniel Cessna, PE, District Executive, Department of Transportation, Engineering District 11-0, 45 Thoms Run Road, Bridgeville, PA 15017.

BARRY J. SCHOCH, PE,  
*Secretary*

[Pa.B. Doc. No. 14-554. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Contemplated Sale of Land No Longer Needed for Transportation Purposes

The Department of Transportation (Department), under the Sale of Transportation Lands Act (71 P. S. §§ 1381.1—1381.3), intends to sell certain land owned by the Department.

The following property is available for sale by the Department.

1. Parcel No. 35—City of Pittsburgh, 21st Ward, Allegheny County. The parcel contains approximately 5,091 ± square feet of unimproved land located within the block bound by Page Street, Blake Way and Faulsey Way. The estimated fair market value of the parcel is \$9,100.

Interested public entities are invited to express their interest in purchasing the site within 30 calendar days from the date of publication of this notice to H. Daniel Cessna, PE, District Executive, Department of Transportation, Engineering District 11-0, 45 Thoms Run Road, Bridgeville, PA 15017.

BARRY J. SCHOCH, PE,  
*Secretary*

[Pa.B. Doc. No. 14-555. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Watercraft Trailer Forfeiture; Maximum Amount

Chapter 73, Subchapter B of 75 Pa.C.S. (relating to watercraft trailer forfeiture) applies only to a watercraft trailer with a resale value based upon established industry standards equal to or less than the maximum amount set forth in 75 Pa.C.S. § 7321(c) (relating to scope of subchapter and legislative intent). Subsection 7321(c) provides that for the year 2006, the maximum amount will be \$1,000 and for each year thereafter, the maximum amount will be fixed annually by the Department of Transportation (Department) based upon the maximum amount in the prior year as adjusted to reflect the change in the Consumer Price Index for All Urban Consumers for the United States for all items as published by the United States Department of Labor, Bureau of Labor Statistics,

for the previous 12-month period. The subsection further provides that the maximum amount as adjusted will be rounded to the nearest multiple of \$5 and the Department will give notice of the new maximum amount by publication in the *Pennsylvania Bulletin*.

Under 75 Pa.C.S. § 7321(c)(3), the Department has fixed the maximum amount for 2014 as \$1,195.

BARRY J. SCHOCH, PE,  
*Secretary*

[Pa.B. Doc. No. 14-556. Filed for public inspection March 14, 2014, 9:00 a.m.]

## ENVIRONMENTAL HEARING BOARD

### Ephrata Borough Authority v. DEP; EHB Doc. No. 2014-014-M

Ephrata Borough Authority has appealed the issuance by the Department of Environmental Protection of an NPDES permit to Ephrata Borough Authority for a facility in Ephrata Borough, Lancaster County.

A date for the hearing on the appeal has not yet been scheduled.

The appeal is filed with the Environmental Hearing Board (Board) at its office on the Second Floor, Rachel Carson State Office Building, 400 Market Street, P. O. Box 8457, Harrisburg, PA 17105-8457, and may be reviewed by any interested party on request during normal business hours. If information concerning this notice is required in an alternative form, contact the Secretary to the Board at (717) 787-3483. TDD users may telephone the Board through the Pennsylvania AT&T Relay Center at (800) 654-5984.

Petitions to intervene in the appeal may be filed with the Board by interested parties under 25 Pa. Code § 1021.81 (relating to intervention). Copies of the Board's rules of practice and procedure are available upon request from the Board.

THOMAS W. RENWAND,  
*Chairperson*

[Pa.B. Doc. No. 14-557. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Ephrata Borough Authority v. DEP; EHB Doc. No. 2014-014-M

Ephrata Borough Authority has appealed the issuance by the Department of Environmental Protection of an NPDES permit to Ephrata Borough Authority for a facility in Ephrata Township, Lancaster County.

A date for the hearing on the appeal has not yet been scheduled.

The appeal is filed with the Environmental Hearing Board (Board) at its office on the Second Floor, Rachel Carson State Office Building, 400 Market Street, P. O. Box 8457, Harrisburg, PA 17105-8457, and may be reviewed by any interested party on request during normal business hours. If information concerning this notice is required in an alternative form, contact the Secretary to

the Board at (717) 787-3483. TDD users may telephone the Board through the Pennsylvania AT&T Relay Center at (800) 654-5984.

Petitions to intervene in the appeal may be filed with the Board by interested parties under 25 Pa. Code § 1021.81 (relating to intervention). Copies of the Board's rules of practice and procedure are available upon request from the Board.

THOMAS W. RENWAND,  
*Chairperson*

[Pa.B. Doc. No. 14-558. Filed for public inspection March 14, 2014, 9:00 a.m.]

## HEALTH CARE COST CONTAINMENT COUNCIL

### Special Reports and Requests for Data

The Health Care Cost Containment Council (Council), according to Act 89 as amended by Act 14 and as amended by Act 3, is required to publish a list of all special reports and data that have been prepared during the previous calendar year. The following represents a summary of the reports and requests for data generated by the Council in calendar year 2013. The list of data fields that are included in the standard public use files are located in PDF files posted on the Council's web site [www.phc4.org](http://www.phc4.org) under "Services" then "Data Descriptions." Questions about procedures for obtaining access to Council data should be addressed to JoAnne Z. Nelson, Supervisor, Special Requests Unit, Health Care Cost Containment Council, 225 Market Street, Suite 400, Harrisburg, PA 17101, (717) 232-6787, [jnelson@phc4.org](mailto:jnelson@phc4.org).

#### *Applicant and Project Description*

#### **Agency for Healthcare Research & Quality—Jenny Schnaier**

Statewide 2012 inpatient discharge and inpatient revenue code detail datasets to be used in the Healthcare Cost and Utilization Project (HCUP), which uses the data for multiple databases, reports and tools and products. The HCUP databases enable research on a broad range of health policy issues, including cost and quality of health services, medical practice patterns, access to health care programs and outcomes of treatments at the National, regional, State and local levels.

#### **Aria Health—Sam Dilanni**

A custom 2011 and 2012 ambulatory/outpatient procedure data report of cases with cardiac catheterization procedures or cardiovascular therapeutic procedures within specific zip codes reported by procedure and hospital to be used for a community needs review.

#### **AtlantiCare Regional Medical Center—Rosemary Nuzzo**

Standard regional 2012 inpatient discharge datasets for Regions 8 and 9. O'Conco Healthcare Consultants will be reading and analyzing the data, adding select data elements and will provide the modified data to AtlantiCare Regional Medical Center to use in comparing themselves to peer hospitals.

#### **Bucknell University—Amy Wolaver**

A standard Statewide 2012 inpatient discharge dataset to link with other publicly available data that will be

used for health policy research and education purposes by faculty to identify factors affecting inpatient discharges and health outcomes and by students for classroom activities. The students may create descriptive statistics and perform multivariate analyses as part of constructed exercises. Aggregated data results may be published on the web or used in classes through GIS (map) applications.

#### **Community Health Systems—Debbie Landers**

Standard Statewide 2012 inpatient discharge and ambulatory/outpatient procedure datasets to be used to create utilization rates and market share information to be used in strategic and facilities planning for the following 17 facilities: Berwick Hospital, Brandywine Hospital, Easton Hospital, Jennersville Regional Hospital, Pottstown Memorial Hospital, Lock Haven Hospital, Chestnut Hill Hospital, Phoenixville Hospital, Sunbury Community Hospital, Moses Taylor Hospital, Mid Valley Hospital, Special Care Hospital, Tyler Memorial Hospital, Wilkes-Barre General Hospital, Regional Hospital of Scranton, Memorial Hospital York and First Hospital.

#### **Coordinated Health—Amy Nyberg**

Standard Statewide 2008 through first quarter 2013 inpatient discharge and ambulatory/outpatient procedure datasets. The data will be used for internal analysis of utilization, patient origin and destination to understand trends over time.

#### **CRA International—Elizabeth Wang**

A standard regional 2006 and 2007 inpatient discharge dataset for Region 9. The data will be used to study patient travel patterns from Philadelphia hospitals for litigation purposes.

#### **DataBay Resources—Steve Sekely**

Standard Statewide third quarter 2012 through first quarter 2013 inpatient discharge, ambulatory/outpatient procedure, and inpatient and outpatient revenue code detail datasets. The data will be combined with other all-payer health care data to be used to produce various aggregate report files that are offered as health care software products to DataBay's customers.

#### **Falk Foundation—Kerry J. O'Donnell**

Custom 2000 through second quarter 2012 inpatient discharge and ambulatory/outpatient procedure datasets of Commonwealth children 18 years of age and younger and all ages treated for firearm related injuries. The data will be used to understand how many are injured by firearms to inform an education campaign on gun safety. The information will be distributed through brochures and a web site and provided to pediatricians, healthcare workers and social service agencies, among others.

#### **Global Lower Extremity Amputation Study Group—Ronald Renzi**

A custom 2012 inpatient discharge dataset of patients residing in Philadelphia, Bucks, Chester, Delaware and Montgomery Counties who had amputations during 2012 with the patient's previous 2010 to 2012 inpatient discharge records that were associated as an amputation prevention procedure. The data will be used to determine the number of lower extremity amputations in Southeastern Pennsylvania.

#### **Good Shepherd Rehabilitation Hospital—John Grencer**

Standard regional and facility 2012 inpatient discharge datasets for Regions 5—9 and Geisinger Medical Center/

Danville to be used for internal analysis of Good Shepherd Rehabilitation Hospital's services.

**Green Tree Community Health Foundation—Susan Hansen**

A standard facility third quarter 2011 through second quarter 2012 inpatient discharge dataset for Chestnut Hill Hospital. As part of the Foundation's mission to improve the health and wellbeing of the communities, the data will be used for updating a community needs assessment. Specifically, the data will be used to determine which zip codes compose 75% of the current hospital's inpatient discharges and compare it to the hospital's primary service area during 2003.

**HCR ManorCare—Kenneth Kang**

A standard Statewide third quarter 2011 through first quarter 2013 inpatient discharge dataset to be used to assess the needs of residents in HCR ManorCare's skilled nursing facility locations across this Commonwealth.

**Health Management Associates—Martha Crombie**

Standard Statewide 2011 through third quarter 2012 inpatient discharge, ambulatory/outpatient procedure and inpatient and outpatient revenue code detail datasets to be used for hospital strategic planning.

**Hospital and Healthsystem Association of Pennsylvania—Martin Ciccocioppo**

A standard Statewide third quarter 2012 through first quarter 2013 inpatient discharge dataset. The data will be used to conduct ongoing monitoring of Statewide, regional and hospital-specific quality outcomes, primarily utilizing Agency for Healthcare Research and Quality (AHRQ) quality indicators. Hospital and Healthsystem Association of Pennsylvania (HAP) may, from time to time, release the aggregate results of its quality monitoring research. HAP also intends to host MONAHRQ for member-only use on its private web site.

A custom modified 3-month quarterly (December 1, 2009, to February 28, 2013) inpatient discharge readmission analysis data report of hospitals' 30-day readmission rates for any reason on chronic obstructive pulmonary disease (COPD) and congestive heart failure (CHF) conditions, as well as on all discharges. The data will be used to provide Centers for Medicare and Medicaid Services (CMS) with pre-Hospital Engagement Network (HEN) rates of admission. CMS requested aggregate HEN readmission data for three groups of hospitals: 1) all hospitals; 2) hospitals participating in any of the PA-HEN projects; and 3) hospitals participating in the PA-HEN preventable readmissions project. The PA-HEN staff is interested in knowing hospital-specific rates to ensure hospitals with the greatest needs are addressed through the PA-HEN project and to identify the best performers to learn what they are doing right.

Standard 2012 and restated 2011 financial data reports to be used to conduct ongoing monitoring of Statewide, regional and hospital-specific finances and policy impact analysis. The reports will be shared with the American Hospital Association (AHA) for AHA to better understand hospital financial and utilization data by payer for hospitals that do not respond to the AHA Annual Hospital Survey. HAP and AHA will only use the financial data for internal policy analysis.

**IMS Health—Ed Burleigh**

Standard Statewide 2012 inpatient discharge and ambulatory/outpatient procedure datasets. The data will be used for validating IMS Health's hospital sample and

National projections from its hospital discharge data. The Council data will be used as the "gold standard" to ensure reasonable projections to the National level. IMS serves the pharmaceutical industry, consumer product companies and retailers with health care data and is a leading provider of real-time localized disease surveillance and modeling data. IMS's products and services provide strategic healthcare data used for disease modeling, market research and data consulting. IMS has numerous studies with government agencies such as the Food and Drug Administration and Centers for Disease Control and Prevention (CDC). The Commonwealth data allows IMS to come up with a sound universe count for various hospital-based diagnoses and procedures.

**Ingenix/OptumInsight—Holli Boetcher**

A standard Statewide 2011 inpatient discharge dataset to be used for two products: 1) consumer hospital quality reporting tool for health plans to provide to their members; and 2) reports for health care professionals. The reporting tool will provide consumers with hospital inpatient quality and efficiency information to help them make more informed decisions on where to seek care. Commonwealth data will be summarized by hospital and medical condition to provide information such as cost, length of stay, mortality, complications and volume. The reports for health care professionals will be benchmarking tools that analyze inpatient charges, volumes, lengths of stay and other measures by facility.

**Intellimed—H.G. Koch**

Standard Statewide third quarter 2010 through first quarter 2013 inpatient discharge, ambulatory/outpatient procedure and inpatient and outpatient revenue code detail datasets. The data will be used to manage cost and quality of health care delivery at the hospital level. The uses include healthcare business decision-making, statistics and individual data element analysis, service line analysis and performance, strategic planning, quality improvement and cost/charge reviews, among others. Intellimed intends to use these data for a variety of analysis, including reporting and ongoing tracking of clinical elements, analysis of utilization patterns and delivery of information from the data to hospital and health care system decision makers.

**Jewish Healthcare Foundation—Jo Anne Glad**

A custom third quarter 2010 through third quarter 2012 inpatient discharge dataset of cases with an HIV diagnosis with derived data fields (number of days between admissions). The data will be used for the Minority AIDS Initiative (a State of Pennsylvania project), which is to find ways to bring HIV-positive patients who have been "lost to treatment" back into care. The data will be used to explore the role of complications or infection in hospitalization as a predictor of readmissions, seasonal variation in admission rates for HIV-positive patients and readmission rates by payer and region.

**Lancaster General Health—Michael C. Boblitz**

A standard Statewide second quarter 2012 through first quarter 2013 ambulatory/outpatient procedure dataset to be used to understand demand and utilization for ambulatory surgery in this Commonwealth.

**Lehigh University—Shin-Yi Chou**

A standard Statewide 2012 and first quarter 2013 inpatient discharge dataset. The data will be used for AHRQ funded research using advanced econometric methods to address health policy relevant questions in this Commonwealth. The overarching goal is to examine

the access, quality and costs of health care in this Commonwealth to achieve fair, effective and efficient health care deliveries as major health care reforms are undertaken. Specifically, the aims are to explore the effects of hospital structure, technology diffusion and health policies on access, quality and costs of health care.

**Lehigh Valley Health Network—Stephen L. Christopoulos**

A standard Statewide second quarter 2012 through first quarter 2013 inpatient discharge dataset to be used for service area analysis, product line trends and analysis, competitive analysis and incident rate comparison and trends for program development.

**M Rosadini Consultants—Michael Rosadini**

A custom 2009 through second quarter 2012 inpatient discharge data report for Chester County Hospital and Jennersville market areas of total cases by zip code and facility. The data will be used as part of an analysis of patient origin service area for Chester County Hospital as part of due diligence for the purchase of a medical office building by a venture capital firm.

**Maryland Department of Health and Mental Hygiene—Elizabeth A. Young, MPH, CPH**

A custom 2011 inpatient discharge dataset of Maryland residents that were hospitalized in this Commonwealth. The data will be combined with Maryland Health Services Cost Review Commission hospitalization data to derive rates of diagnoses and treatment for acute and chronic conditions including asthma and other respiratory diseases, injury, births, heart disease and diabetes. Data will be aggregated and reported by gender, race, ethnicity, age, county of residence, diagnosis and procedure.

**Memorial Medical Center—Carrie Arcurio**

Standard Statewide second quarter 2012 through first quarter 2013 inpatient discharge and third quarter 2010 through first quarter 2013 ambulatory/outpatient procedure datasets. The data will be used to internally evaluate Memorial Medical Center's current performance, its competitors' performance and future opportunities. The data will be used to illustrate current market share and to enhance various other planning tools such as budgets and 5-year plans.

**North Pointe Surgery Center—Melissa A. Weik, MHA, RN**

Standard 2008 through 2012 regional inpatient discharge and ambulatory/outpatient procedure datasets for Regions 5 and 7 and Statewide inpatient and outpatient revenue code detail datasets. The data will be used internally by North Pointe Surgery Center and Orthopedic Associates of Lancaster (a sister company) to develop a feasibility study of expanding orthopedic and pain management services into Lebanon County. The data would be used to support a pro forma necessary to obtain financing for the project if the data shows that Lebanon is underserved by this specialty.

**O'Conco Healthcare Consultants—Paul L. Chiafullo**

A custom 2011 inpatient discharge dataset of New Jersey residents admitted to hospitals in this Commonwealth. The data will be merged with other states data and developed into summary reports on utilization rates, market share and benchmark comparisons of clinical, cost and revenue (charge) information for O'Conco's clients. The data will be included in a "Primary Analysis," web-based report generation tool, which allows O'Conco's clients and employees to create summary reports using nonconfidential data.

**Pennsylvania Department of Health—Carol Thornton, MPA**

A custom 2012 inpatient discharge dataset of Statewide records to be used for injury reports: 1) Injuries in Pennsylvania, Hospital Discharge, annual reports of injury data by mechanism; 2) Injuries in Pennsylvania County Profiles, an annual report containing State, regional and county data; 3) Injury-Specific Monographs, which provide data on specific injury topics; and 4) Injury-Specific Fact Sheets, which contain data on specific injuries, identifying risk factors and high-risk groups.

**Pennsylvania Department of Health—James N. Logue, PhD, MPH**

A custom 2011 through 2012 inpatient discharge data report of asthma, acute myocardial infarction (AMI), carbon monoxide poisoning and heat stress related hospitalization cases with ethnicity indicators by age group, county, gender and race to be used in the National Environmental Public Health Tracking Network. The data will be provided to the CDC to be used with other health outcomes data, exposure and bio-monitoring data, and environmental hazards and environmental monitoring data to be displayed in aggregate form on the CDC's public portal and analyzed to provide valid scientific information on environmental exposure and adverse risk of health conditions to drive actions that will improve the health in communities.

**Pennsylvania Department of Health—Marina O. Matthew**

A custom 2011 inpatient discharge data report of heart failure, nonfatal traumatic brain injuries, nonfatal spinal cord injuries, hip fractures, asthma or obstetric cases by age, gender and race. The data will be used as a part of a series of the Department of Health (Department) web pages containing state and local data that correspond to the Healthy People 2020 topics/objectives, as developed by the CDC.

**Pennsylvania Department of Health—Michael P. Waltz**

A standard Statewide 2011 inpatient discharge dataset to be used to identify specific segments of the population at highest risk for diabetes and to assist in Statewide diabetes prevention planning and evaluation. The analysis of the data will be to support the goals of the Diabetes Prevention and Control Program, which are to reduce the burden of diabetes in this Commonwealth by preventing and controlling its complications. The Bureau of Health Statistics and Research will analyze the hospital data to provide surveillance data to the Diabetes Prevention and Control Program, to prepare county monographs and fact sheets, to create the biannual Burden of Diabetes in Pennsylvania report and to respond to requests for aggregate diabetes data at the local or State level.

**Pennsylvania Department of Health—Vadim Drobin**

A custom 2001 through 2012 inpatient discharge data report of cases admitted during 2001 through 2011 with AMI and asthma related conditions by year of admission, age and gender with population totals and rates per 10,000. The data will be part of the Pennsylvania Environmental Public Health Tracking Program (PA EPHT). The PA EPHT integrates and analyzes environmental exposure and adverse risk of health conditions to drive actions that improve the health of communities. Hospitalization in this Commonwealth and other data will be aggregately displayed through tables, graphs and maps on the Department's public portal web site.



A custom 2012 inpatient discharge and ambulatory/outpatient procedure dataset of patients with a primary diagnosis of asthma. The Department's Asthma Control Program will use the data to analyze morbidity data for asthma risk education and prevention programs. The interpretation will include analysis of length of stay, charges, general payment distribution among payers, admission types, seasonal and monthly distribution of asthma hospitalizations among different age groups, genders and races in this Commonwealth. The Asthma Control Program will provide the public and Pennsylvania Asthma Partnership, including healthcare providers, with asthma hospitalization data through press releases, conferences, presentations, asthma burden reports, focus reports and asthma fact sheets. The Asthma Control Program will also send reports to the CDC.

**Pennsylvania Department of Health—Zhen-qiang MA**

A standard Statewide 1996 through 1999 and first and second quarter 2012 ambulatory/outpatient procedure dataset to be used to try to understand the relationship between colonoscopy/sigmoidoscopy and recent decreases in colon cancer incidence.

**Pennsylvania Department of Public Welfare—Jolene H. Calla, Esq.**

A custom 2011 financial data report of utilization, charge and net patient revenues by hospital to be used for the Statewide and Philadelphia hospital assessment programs.

A custom third quarter 2010 through second quarter 2011 inpatient discharge dataset of verified self-pay records and 2009 through 2011 financial data report of a 3-year average percent of uncompensated care. The data will be used to compute payments to hospitals for the Hospital Uncompensated Care and Extraordinary Expense programs established under the Tobacco Settlement Act of 2001.

A custom third quarter 2010 through second quarter 2012 inpatient discharge dataset of records with an MDC 14 or 15 from general acute care hospitals. The data will be used to calculate payments to hospitals for obstetrical and neonate services.

**Pennsylvania Department of the Auditor General—Jo Anne Walchak**

A custom third quarter 2010 through second quarter 2011 inpatient discharge dataset of verified "self-pay" records and 2009 through 2011 financial data report of a 3-year average percent of uncompensated care. The data will be used for auditing hospitals that received tobacco funds in 2013 from the Department of Public Welfare, which used Council data to compute payments to hospitals for the Uncompensated Care and Extraordinary Expense Programs established under the Tobacco Settlement Act of 2001.

**Pennsylvania Office of Attorney General—Tracy W. Wertz**

Standard Statewide 2012 inpatient discharge, ambulatory/outpatient procedure, inpatient revenue and ambulatory/outpatient revenue code detail datasets and the financial data report. The Pennsylvania Office of Attorney General will use this data in its review of hospital mergers to ensure compliance with antitrust laws. The data will also be used by the Federal Trade Commission for hospital merger investigations that are conducted jointly with the Pennsylvania Office of Attorney General.

**Penn State College of Medicine—Christopher S. Hollenbeak, PhD**

A custom 2011 inpatient discharge dataset with derived data fields (number of days between admissions and readmission indicator) of Commonwealth adult resident cases from acute care hospitals and their associated 30-day readmission records (2011-Q12012). The data will be used for research to identify trends and determinants of readmission for hospitalized patients with diabetes and how these differ from hospitalized patients without diabetes. The goal of this study is to design an intervention to reduce hospital readmissions for those with diabetes.

**Penn State Hershey Medical Center—Adam Spanier**

A standard Statewide 2010 through 2011 inpatient discharge dataset. The data will be used to study associations of air pollution measures and traffic measures with health outcomes across this Commonwealth, particularly asthma hospitalizations. GIS methodology and public databases will be used to create exposure data to evaluate in association with the health outcome data.

**Philadelphia Department of Public Health—Giridhar Mallya**

Standard regional 2011 inpatient discharge datasets for Regions 8 and 9 to be used for estimation of the geographic distribution, temporal trends, rates and costs of hospitalization for specific conditions (diabetes, asthma, hypertension, cancer screening, and the like). Other areas to be examined include diabetes complications, disparities in hospital outcomes, violence-related injuries, trends in HIV/AIDS utilization, high-risk pregnancies, obstetrical service issues, infectious diseases, influenza and pelvic inflammatory disease.

**Philadelphia Inquirer—Marie McCullough**

Standard regional third quarter 2010 through second quarter 2012 inpatient discharge datasets for Regions 8 and 9 to be used for data analysis for various news reports.

**Pittsburgh Regional Health Care Initiative—Keith T. Kanel, MD**

A custom third quarter 2012 through fourth quarter 2012 inpatient discharge data report of 30-day age- and sex-adjusted readmission rates on AMI, COPD and CHF conditions by type of payer for six hospitals (Butler Memorial, Conemaugh Valley, Indiana Regional, Monongahela Valley, Sharon Regional and Uniontown) and for Western Pennsylvania. The data will be used to track changes in readmission rates that may be attributable to a multi-dimensional, Pittsburgh Regional Health Care Initiative intervention to improve care for patients with COPD, AMI and CHF in six Western Pennsylvania hospitals.

**Princeton Healthcare System—Lisa Rymas**

Standard regional 2010 through 2012 inpatient discharge datasets for Regions 8 and 9. The data will be loaded into Princeton Healthcare Systems' Customer Relationship Management and Planning and Forecasting database that is hosted and maintained by CPM Healthgrades. CPM Healthgrades will use the information to provide market share and trend information to Princeton Healthcare System.

**Service Employees International Union—Robb Streicher**

Standard Statewide 2011 inpatient discharge and ambulatory/outpatient procedure datasets. The data will be used for an ongoing project to assess the delivery of

services in terms of access, cost, quality and impact of delivery of services in multiple settings. The data will be used to try to understand the sources of variation in these four aspects of health care provision to ensure beneficiaries receive the right care, at the right time, in the right setting, which will reduce unwanted variation in health care delivery and ultimately lead to cost savings through the elimination of underuse of effective care and the over-utilization of supply-sensitive care.

#### **SG-2, LLC—Tracy Pfeiffer**

A standard Statewide 2010 and second quarter 2012 through first quarter 2013 inpatient discharge dataset. The data will be used to support their client hospitals' short- and long-term operational and strategic planning efforts. Specifically, the data will be used to develop 10-year health care services demand forecasts by clinical area and geography, allowing SG-2's hospital clients to do the following on a web-based portal: project and meet future demands by determining the appropriate allocation of resources and improve the availability and quality of health care in the communities served.

#### **Stevens & Lee—Harriet Franklin**

A custom second quarter 2012 through first quarter 2013 inpatient discharge data report of patient records from hospitals located in Philadelphia, Montgomery, Bucks, Chester and Delaware Counties. The data will be used to analyze certain service areas for hospitals in and around the Philadelphia area in connection with certain joint venture opportunities.

#### **Summit Health—Barbara Constable**

A custom 2012 ambulatory/outpatient procedure dataset of specific patient zip codes to be used internally for strategic planning purposes.

Three custom 2012 inpatient discharge data reports of patient records from specified zip codes with percent of the market by hospital and service area for: 1) all services lines; 2) all service lines except rehabilitation; and 3) by service lines defined by diagnosis-related group (DRG). The market share reports will be used internally for strategic planning purposes.

#### **Susquehanna Health System—Brian Engel**

Standard regional 2009 through 2012 inpatient discharge and 2010 through 2012 ambulatory/outpatient procedure datasets for Region 2, 2012 inpatient discharge and ambulatory/outpatient procedure datasets for Region 5, and fourth quarter 2011 through 2012 inpatient discharge and 2010 through 2012 ambulatory/outpatient procedure datasets for Regions 4 and 6. The information will be provided to CPM Marketing Group to be loaded into a Customer Relationship Management database that CPM hosts and maintains on behalf of Susquehanna Health. CPM will use the information for reporting market share and trend analysis to Susquehanna Health, which is exploring entering into other areas.

#### **Susquehanna Health System—Susan Browning**

A standard Statewide 2011 and 2012 inpatient discharge dataset to be used as part of Susquehanna Health System's ongoing Community Health Needs Assessment process and reporting. The data will be analyzed by Healthy Communities Institute to produce a web based platform report focused on asthma, alcohol abuse, CHF, COPD, dehydration, diabetes, hepatitis, urinary tract infection and pneumonia cases. The analysis will be used by Susquehanna Health and Laurel Health System as part of their Community Health Needs Assessment,

which is a Patient Protection and Affordable Care Act (PPACA) mandate for nonprofit hospitals. As part of the PPACA, the data results will be reported in aggregate form on the hospitals web sites. The information will help determine what populations need help and/or the diseases that the facilities treated at a higher rate than the State or National average.

#### **The Erie Community Foundation—Michael Batchelor**

Custom 2011 and 2012 inpatient discharge and ambulatory/outpatient procedure datasets for patients from specified zip codes in Erie County with an emergency room visit indicator. The data will be used for a primary care capacity and demand study, which may be used to guide future primary care access and quality initiatives. Erie Community Foundation has contracted with John Snow, Inc. to analyze the data to evaluate the extent to which inadequate primary care capacity had resulted in admissions for ambulatory care sensitivity conditions. This includes inappropriate use of the emergency department for primary care treatable conditions and inpatient admissions for potentially preventable conditions that could have been averted with appropriate and adequate primary care. The results will be presented at zip code and county level in PowerPoint slides and a final report given to the Foundation and will be shared with a group of community providers and stakeholders at a community forum.

#### **The Trustees of the University of Pennsylvania—Hansie Mathelier, MD**

A custom 2005 through third quarter 2012 inpatient discharge dataset of patients with heart failure admissions at the Hospital of the University of Pennsylvania, Penn Presbyterian Medical Center or Pennsylvania Hospital and their associated pre- and post-records from any hospital with derived data fields (number of days between admissions and number of records per individual). These data will be used to develop models to categorize patients who are at risk for readmission post-discharge for a retrospective study to identify patient factors associated with hospital readmission among patients who had a heart failure admission during July 2005 and July 2012 at one of the Pennsylvania Health System hospitals. This study is to explore predictors of readmission, time to rehospitalization and etiology.

#### **The Washington Post—Peter Whoriskey**

Standard facility 2011 ambulatory/outpatient procedure datasets for ten ambulatory surgery centers: Schuylkill Endoscopy Center, Endoscopy Center of Bucks County, South Hills Endoscopy Center, Southwestern Endoscopy Center, Scranton Endoscopy Center, Twin Rivers Endoscopy Center, West Shore Endoscopy Center, LLC, West Chester Endoscopy Center, Lancaster Gastroenterology Procedure Center and Three Rivers Endoscopy Center. The data will be used to determine the most common procedures performed at ambulatory surgery centers for a story on the pricing of doctor fees under Medicare rules.

#### **Treo Solutions—Horen Boyagian**

Standard Statewide 2011 inpatient discharge and inpatient revenue code detail datasets. The data will be used by Treo Solutions to conduct analysis for existing and new clients including providers, payers and State agencies. The data can serve as a foundation for quality improvement efforts and build upon other published information which detail financial or clinical performance. The data will be grouped into weight adjusted categories and assigned all patient refined DRG. The assigned categories

and associated volumes will be used to analyze market share, hospital clinical cost and performance for clients in this Commonwealth and surrounding areas.

**Truven Health Analytics—Katherine Blumhardt**

Standard Statewide third quarter 2012 through first quarter 2013 inpatient discharge and ambulatory/outpatient procedure datasets to process, standardize and distribute the data to clients through decision tools, benchmark databases, research, custom studies and other associated products.

**University of Pennsylvania—Said A. Ibrahim, MD, MPH**

A third quarter 2001 through second quarter 2012 standard Statewide inpatient revenue code detail dataset and custom inpatient discharge dataset of hip and knee replacement cases with readmission records and derived data fields (number of days to date of death, number of days to date of primary procedure, number of days to date of discharge, number of days between admissions, number of days to knee revision and number of days to hip revision) and indicators (a hip or knee replacement, a knee replacement and a knee revision were performed during the same hospitalization, both a hip replacement and a hip revision were performed during the same hospitalization, type of match performed between hospitalization data and mortality data, death was within 30 days, death was within 1-year, readmission was within 7 days and readmission was within 30 days) linked with Department mortality data. The data will be used to investigate racial variations in the receipt of post-acute care and rehabilitation services following elective total knee and/or hip replacement for a study, Race and Rehabilitation Services After Joint Replacement: Access and Outcomes.

**University of Pennsylvania—Shreya Kangovi**

A custom fourth quarter 2011 through 2012 inpatient discharge dataset of patients enrolled in the Patient-Centered Transition (PaCT) project with 90-day readmission records through first quarter 2013 with a derived data field (number of days between admissions). The data will be used to evaluate the program that is designed to help uninsured and Medicaid patients with the challenges of being discharged from a hospital. The PaCT Project is a randomized controlled trial of an intervention in which community health workers provide social support, advocacy and navigation to low-income patients during the transition from hospital to primary care.

**University of Pennsylvania—Steven C. Marcus**

A custom second quarter 2009 through first quarter 2010 inpatient discharge dataset sample of records with record identification fields provided to each participating hospital (original data source) in the Pennsylvania Inpatient Psychiatry Patient Safety study. These data combined with medical chart reviewed data and surveyed data will be used as part of a research study on patient safety events in inpatient psychiatry. Patient, provider and unit/hospital characteristics will be collected to identify, assess and understand the mechanisms contributing to the association with patient safety events: medical errors and adverse events resulting from clinical care.

**University of Pennsylvania—School of Medicine—Austin Kilaru**

Standard Statewide 2011 inpatient discharge and inpatient revenue code detail datasets. The data will be used for a research study on a population-based approach to planning and evaluating emergency care systems with the

following goals: 1) to create geographic models of health care utilization for unplanned critical illness in this Commonwealth, to create catchment areas for individual hospitals and compare them to existing geographic units typically used in health care research. Catchment areas will be disease-specific, enabling them to determine differences in patterns of geographic utilization for emergent and elective illness; 2) to identify natural clusters of emergency departments that could potentially serve as networks to care for unplanned critical illness, using our geographic utilization for emergent and elective catchment areas; and 3) to examine variability in outcomes (mortality) between the different geographic region as created in their modeling. The client hopes to use the data to build geographic models that will enable individual hospitals to cooperate in the construction of regionalized systems to care for unplanned critical illness. The results will be included in a manuscript as well as models that will be made available to hospitals, policymakers and the public for the purposes of planning and evaluating a system of emergency care.

**University of Pennsylvania—School of Medicine—Meghan Lane-Fall**

A custom 2009 through 2011 inpatient discharge dataset of patients undergoing coronary artery bypass graft surgery (CABG) or valve surgery with derived data fields (number of days to CABG or valve procedure, number of days in an intensive care unit (ICU)/coronary care unit (CCU) and indicators (ICU, CCU and valid patient identifier) linked with Department mortality data. The data will be used for a study, ICU Staffing and Short-term Outcomes in Cardiothoracic Surgery Critical Care Patients. The data will be linked with survey response data from Commonwealth cardiac surgery ICUs about nurse and physician staffing to analyze the relationship between ICU staffing models and patient outcomes.

**University of Pennsylvania School of Nursing—Jill Marie Vanak, PhD**

A custom 1998 through January 31, 2000, and 2005 through January 31, 2007, inpatient discharge dataset of cases for eight specified cancer diagnoses with derived data fields (number of days to admission, procedure and death) and indicator (record sequence) linked with Department cancer registry data (1998—January 31, 2000, and 2005—January 31, 2007). The data will be used for a research project to evaluate the effect of changes in hospital nursing workforce on outcomes for surgical oncology patients. The data will be linked with data from the AHA's Annual Survey and Multi-State Nursing Care and Patient Safety survey to study in a longitudinal analysis, the effects of changes in nursing education, staffing and practice environment between 1999 and 2006, noting potential effects on patient outcomes, including 30-day mortality, failure to rescue and rate of infection.

**University of Pittsburgh Medical Center—Jared Weinter**

A custom 2007 and 2008 financial dataset of only University of Pittsburgh Medical Center (UPMC) facilities (original data source) financial data of their balance sheet, statement of operations and surveyed data. The data will be used to validate the final, detailed data published in the Council's 2007 and 2008 financial reports.

**University of Pittsburgh Medical Center—Matthew W. Michaels**

Standard Statewide third quarter 2012 through 2013 inpatient discharge and ambulatory/outpatient procedure datasets. The data will be used to produce various research reports including: patient origin for UPMC hospitals, UPMC market share in various geographies and for various service lines, utilization trends in volume and market share over different time periods, and physician volumes at UPMC and other hospitals.

**University of Pittsburgh School of Medicine—Amber E. Barnato, MD, MPH, MS**

A modification from a prior request to extend data for a custom second quarter 2001 through first quarter 2010 inpatient discharge dataset with derived data fields (number of days to admissions and number of days in an ICU or CCU) and indicators (type of ICU/CCU and type of match method), linked to Department mortality data. The data will be used to calculate overall, race-specific and condition-specific measures of end-of-life treatment intensity by acute care hospitals in this Commonwealth and to explore the relationship between end-of-life treatment intensity and post-admission outcomes. The data completes work initiated for a National Institute on Aging-funded study, "Developing a Robust Measure of Hospital End-of-Life Treatment Intensity."

**Wayne Memorial Hospital—Dave Hoff**

A custom 2010 through second quarter 2012 inpatient discharge data report based on patient origin zip codes reported by hospital, top 20 DRGs and Medicare. The data will be used for market share analysis.

**WellSpan Health—David Kimpel**

Standard regional 2012 inpatient discharge and ambulatory/outpatient procedure datasets for Region 5. The data will be used for service area utilization and analysis for the internal assessment of the delivery of health care services in Region 5.

JOE MARTIN,  
*Executive Director*

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## INDEPENDENT REGULATORY REVIEW COMMISSION

### Action Taken by the Commission

The Independent Regulatory Review Commission met publicly at 10 a.m., Thursday, February 27, 2014, and announced the following:

*Action Taken—Regulations Approved:*

Department of Revenue #15-458: Payments by Electronic Funds Transfer (amends 61 Pa. Code (§§ 5.3 and 5.7))

State Board of Cosmetology #16A-4515: Fees—Cosmetology (amends 49 Pa. Code § 7.2)

State Board of Barber Examiners #16A-428: Fees (amends 49 Pa. Code § 3.103)

Pennsylvania Liquor Control Board #54-73: Sale by Licensed Limited Distilleries and Distilleries (amends 40 Pa. Code by adding §§ 11.221 and 11.222)

Department of Agriculture #2-174: Food Code; Food Employee Certification (amends 7 Pa. Code (Chapters 46 and 76))

Environmental Quality Board #7-477: Measurement and Reporting of Condensable Particulate Matter Emissions (amends 25 Pa. Code Sections 121.1, 139.12 and 139.53)

Department of Transportation #18-420: Public Transportation—Sustainable Mobility (establishes 67 Pa. Code Chapter 427)

*Action Taken—Regulations Disapproved: Order Not Yet Issued*

\*Department of Banking and Securities #3-51: Assessments

\*Department of Labor and Industry #12-91: Prohibition of Excessive Overtime in Health Care Act Regulations

\*Will advise when order is issued.

### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson; George D. Bedwick, Vice Chairperson; W. Russell Faber; Lawrence J. Tabas, Esq.; Dennis A. Watson, Esq.

*Department of Revenue—Payments by Electronic Funds Transfer; Regulation No. 15-458 (#3045)*

On December 20, 2013, the Independent Regulatory Review Commission (Commission) received this regulation from the Department of Revenue (Department). This rulemaking amends 61 Pa. Code (§§ 5.3 and 5.7). Notice of proposed rulemaking was omitted for this regulation; it will become effective upon publication in the *Pennsylvania Bulletin*.

This final-omitted regulation implements a statutory change enacted under Act 71 of 2013 to require all businesses that remit tax payments between \$1,000 and \$10,000 by standard check to make those payments via electronic funds transfer or by certified check, beginning January 1, 2014.

We have determined this regulation is consistent with the statutory authority of the Department (72 P. S. § 9) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson; George D. Bedwick, Vice Chairperson; W. Russell Faber; Lawrence J. Tabas, Esq.; Dennis A. Watson, Esq.

*State Board of Cosmetology—Fees—Cosmetology; Regulation No. 16A-4515 (#2996)*

On March 25, 2013, the Independent Regulatory Review Commission (Commission) received this proposed

regulation from the State Board of Cosmetology (Board). This rulemaking amends 49 Pa. Code § 7.2. The proposed regulation was published in the April 6, 2013 *Pennsylvania Bulletin* with a 30-day public comment period. The final-form regulation was submitted to the Commission on December 30, 2013.

This regulation increases the biennial license renewal fees for all licensees and increases certain application fees to cover the costs of processing applications.

We have determined this regulation is consistent with the statutory authority of the Board (63 P. S. § 522(c) and (d)) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

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### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson; George D. Bedwick, Vice Chairperson; W. Russell Faber; Lawrence J. Tabas, Esq.; Dennis A. Watson, Esq.

*State Board of Barber Examiners—Fees;  
Regulation No. 16A-428 (#2998)*

On March 25, 2013, the Independent Regulatory Review Commission (Commission) received this proposed regulation from the State Board of Barber Examiners (Board). This rulemaking amends 49 Pa. Code § 3.103. The proposed regulation was published in the April 6, 2013 *Pennsylvania Bulletin* with a 30-day public comment period. The final-form regulation was submitted to the Commission on December 30, 2013.

This rulemaking increases biennial license renewal fees and application fees.

We have determined this regulation is consistent with the statutory authority of the Board (63 P. S. § 564(b)) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

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### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson; George D. Bedwick, Vice Chairperson; W. Russell Faber; Lawrence J. Tabas, Esq., Abstained; Dennis A. Watson, Esq.

*Pennsylvania Liquor Control Board—  
Sale by Licensed Limited Distilleries and Distilleries;  
Regulation No. 54-73 (#2999)*

On March 27, 2013, the Independent Regulatory Review Commission (Commission) received this proposed regulation from the Pennsylvania Liquor Control Board (Board). This rulemaking amends 40 Pa. Code by adding

§§ 11.221 and 11.222. The proposed regulation was published in the April 13, 2013 *Pennsylvania Bulletin* with a 30-day public comment period. The final-form regulation was submitted to the Commission on January 24, 2014.

This rulemaking permits licensed limited distilleries and distilleries to deliver their products directly to consumers, retail licensees or the Board.

We have determined this regulation is consistent with the statutory authority of the Board (47 P.S §§ 2-207(i) and 5-505.4) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

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### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson; George D. Bedwick, Vice Chairperson; W. Russell Faber; Lawrence J. Tabas, Esq.; Dennis A. Watson, Esq.

*Department of Agriculture—Food Code;  
Food Employee Certification;  
Regulation No. 2-174 (#2962)*

On August 1, 2012, the Independent Regulatory Review Commission (Commission) received this proposed regulation from the Department of Agriculture (Department). This rulemaking amends 7 Pa. Code (Chapters 46 and 76). The proposed regulation was published in the August 11, 2012 *Pennsylvania Bulletin* with a 30-day public comment period. The final-form regulation was submitted to the Commission on January 14, 2014.

This final-form regulation implements changes necessitated by Act 106 of 2010, which overhauled the food-related statutes administered and enforced by the Department. The regulation amends Pennsylvania's Food Code to incorporate more fully the food safety standards of the U.S. Department of Health, Food and Drug Administration's Model Food Code as Pennsylvania's regulatory food safety standards.

We have determined this regulation is consistent with the statutory authority of the Department (3 Pa.C.S.A. §§ 5707(a), 5733(a), and 6505, and 31 P. S. §§ 660c) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

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### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson; George D. Bedwick, Vice Chairperson; W. Russell Faber; Lawrence J. Tabas, Esq.; Dennis A. Watson, Esq.

*Environmental Quality Board—Measurement and  
Reporting of Condensable Particulate Matter Emissions;  
Regulation No. 7-477 (#2955)*

On June 22, 2012, the Independent Regulatory Review Commission (Commission) received this proposed regula-

tion from the Environmental Quality Board (EQB). This rulemaking amends 25 Pa. Code Sections 121.1, 139.12 and 139.53. The proposed regulation was published in the July 7, 2012 *Pennsylvania Bulletin* with a 65-day public comment period. The final-form regulation was submitted to the Commission on January 24, 2014.

This regulation updates and clarifies sampling and testing requirements for stationary emission sources relating to particulate matter.

We have determined this regulation is consistent with the statutory authority of the EQB (35 P.S. § 4005(a)(1)) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

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### Approval Order

Public Meeting Held  
February 27, 2014

*Commissioners Voting:* John F. Mizner, Esq., Chairperson;  
George D. Bedwick, Vice Chairperson; W. Russell Faber;  
Lawrence J. Tabas, Esq.; Dennis A. Watson, Esq.

*Department of Transportation—Public  
Transportation—Sustainable Mobility;  
Regulation No. 18-420 (#2922)*

On November 1, 2011, the Independent Regulatory Review Commission (Commission) received this proposed regulation from the Department of Transportation (Department). This rulemaking establishes 67 Pa. Code Chapter 427. The proposed regulation was published in the November 12, 2011 *Pennsylvania Bulletin* with a 30-day public comment period. The final-form regulation was submitted to the Commission on December 11, 2013. On January 14, 2014, the Commission received a request from the Department to toll consideration of this final-form regulation to add some provisions that were omitted and to make minor corrections. On January 29, 2014, the Department submitted its revisions to the final-form regulation to the Commission.

This regulation sets forth standards, procedures and requirements for transportation organizations to apply for and receive financial assistance from the Public Transportation Trust Fund established by Act 44 of 2007.

We have determined this regulation is consistent with the statutory authority of the Department (74 Pa.C.S. § 1502(a)) and the intention of the General Assembly. Having considered all of the other criteria of the Regulatory Review Act, we find promulgation of this regulation is in the public interest.

*By Order of the Commission:*

This regulation is approved.

JOHN F. MIZNER, Esq.,  
Chairperson

[Pa.B. Doc. No. 14-560. Filed for public inspection March 14, 2014, 9:00 a.m.]

## INSURANCE DEPARTMENT

### Application by Independence Blue Cross for Approval to Restructure Its Insurance Holding Company System; Reopening of Public Comment Period

The Insurance Department (Department) published notice of receipt of the previously referenced filing at 43 Pa.B. 4682 (August 10, 2013). The notice afforded persons the opportunity to provide written comments on the filing on the grounds of public or private interest for 60 days. The Department would like to announce the reopening of the public comment period following receipt of additional materials from the applicant.

Persons wishing to comment on the application are invited to submit a written statement to the Department on or before March 28, 2014. Each written statement must include the name, address and telephone number of the interested party; identification of the application to which the statement is addressed; and a concise statement with sufficient detail and relevant facts to inform the Department of the exact basis of the statement. Written statements should be directed to Cressinda Bybee, Company Licensing Division, Insurance Department, 1345 Strawberry Square, Harrisburg, PA 17120, fax (717) 787-8557 or cbybee@pa.gov. Comments received will be part of the public record regarding the filing and will be forwarded to the applicant for appropriate response.

MICHAEL F. CONSEDINE,  
Insurance Commissioner

[Pa.B. Doc. No. 14-561. Filed for public inspection March 14, 2014, 9:00 a.m.]

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### Review Procedure Hearings under the Unfair Insurance Practices Act

The following insured has requested a hearing as authorized by section 8 of the Unfair Insurance Practices Act (act) (40 P.S. § 1171.8) in connection with the company's termination of the insured's homeowners policy. The hearing will be held in accordance with the requirements of the act; 1 Pa. Code Part II (relating to General Rules of Administrative Practice and Procedure); and 31 Pa. Code §§ 56.1—56.3 (relating to Special Rules of Administrative Practice and Procedure). The administrative hearing will be held in the Insurance Department's regional office in Harrisburg, PA. Failure by an appellant to appear at a scheduled hearing may result in dismissal with prejudice.

The following hearing will be held in the Administrative Hearings Office, Capitol Associates Building, Room 200, 901 North Seventh Street, Harrisburg, PA 17102.

Appeal of Gerald T. Stephens; file no. 14-114-156283; State Farm Fire and Casualty Insurance Company; Doc. No. P14-02-007; April 22, 2014, 9:30 a.m.

Parties may appear with or without counsel and offer relevant testimony and/or other relevant evidence. Each party must bring documents, photographs, drawings, claims files, witnesses, and the like, necessary to support the party's case. A party intending to offer documents or photographs into evidence shall bring enough copies for the record and for each opposing party.

Following the hearing and receipt of the stenographic transcript, the Insurance Commissioner (Commissioner) will issue a written order resolving the factual issues presented at the hearing and stating what remedial action, if any, is required. The Commissioner's Order will be sent to those persons participating in the hearing or their designated representatives. The Order of the Commissioner may be subject to judicial review by the Commonwealth Court.

Persons with a disability who wish to attend the previously-referenced administrative hearing and require an auxiliary aid, service or other accommodation to participate in the hearing should contact Donna R. Fleischauer, Human Resources Director at (717) 705-4194.

MICHAEL F. CONSEDINE,  
*Insurance Commissioner*

[Pa.B. Doc. No. 14-562. Filed for public inspection March 14, 2014, 9:00 a.m.]

## LEGISLATIVE REFERENCE BUREAU

### Documents Filed But Not Published

The Legislative Reference Bureau (Bureau) accepted the following documents during the preceding calendar month for filing without publication under 1 Pa. Code

§ 3.13(b) (relating to contents of *Bulletin*). The Bureau will continue to publish on a monthly basis either a summary table identifying the documents accepted during the preceding calendar month under this subsection or a statement that no documents have been received. For questions concerning or copies of documents filed, but not published, call (717) 783-1530.

### Governor's Office

Manual 210.9—The Commonwealth of Pennsylvania General Records Retention and Disposition Schedule, Amended January 28, 2014.

Management Directive No. 205.38—Emergency Evacuation and Safe Assembly, Amended January 31, 2014.

Management Directive No. 305.19—Identification of Boards, Commissions, Councils, Advisory Committees, and Authorities, Amended February 18, 2014.

Management Directive No. 315.13—Payment of Wages, Salary, Employee Benefits, and Travel Expense Reimbursements Due Deceased Employees, Amended February 6, 2014.

Administrative Circular No. 14-03—Closing Instruction No. 1, Fiscal Year 2013-14; Submission of Purchasing Documents, Dated February 11, 2014.

LAURA CAMPBELL,  
*Director*  
*Pennsylvania Code and Bulletin*

[Pa.B. Doc. No. 14-563. Filed for public inspection March 14, 2014, 9:00 a.m.]

## PENNSYLVANIA GAMING CONTROL BOARD

### List of Applicants and Licensees

In accordance with 4 Pa.C.S. §§ 1202(b)(27) and (27.1) and 1513(a.2)(1) (relating to general and specific powers; and political influence), the Pennsylvania Gaming Control Board (Board) is providing the following list of all applicants for and holders of a slot machine license, table game operation certificate, manufacturer license, supplier license or racing entity license, and the affiliates, intermediaries, subsidiaries, holding companies, principals and key employees thereof. These reports are also available on the Board's web site at [www.gamingcontrolboard.pa.gov](http://www.gamingcontrolboard.pa.gov). The reports can be found by clicking the "Reports & General Information" link under the "Licensure" tab.

SUSAN A. YOCUM,  
*Assistant Chief Counsel*

### Pennsylvania Gaming Control Board Application Status Report February 25, 2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<b>Facility-Category 1 Application</b>			
<i>Chester Downs and Marina, LLC</i>			
<i>Affiliate</i>			
Caesars Entertainment Corporation	Renewal App Pending	8/21/2012	
Caesars Entertainment Operating Company, Inc.	Renewal App Pending	8/21/2012	
Hamlet Holdings, LLC	Renewal App Pending	8/21/2012	
Harrah's Chester Downs Investment Company, LLC	Renewal App Pending	8/21/2012	
<i>Facility-Category 1</i>			
Chester Downs and Marina, LLC	Renewal App Pending	8/21/2012	
<i>Key Employee</i>			
Charles O'Hala	Approved for Licensure	11/22/2011	11/21/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Helmut Mizzay Littlejohn	Approved for Licensure	8/18/2011	8/17/2014
Lacey Rae Scheeper	Approved for Licensure	10/9/2013	10/8/2016
Leslie Anne Parker	Approved for Licensure	7/17/2013	7/16/2016
Martin Tom Williamson	Approved for Licensure	7/20/2011	7/19/2014
Mary Frances Harper	Approved for Licensure	4/28/2011	4/27/2014
Michelle Marie Yarrow	Approved for Licensure	10/13/2011	10/12/2014
Randall H Conroy	Approved for Licensure	2/20/2013	2/19/2016
Ronald Mathew Baumann	Approved for Licensure	11/22/2011	11/21/2014
Sean Adam Baumgartner	Approved for Licensure	10/13/2011	10/12/2014
Susan M Foster	Approved for Licensure	11/20/2012	11/19/2015
Jennifer Michele Mitchell	Expired	1/5/2014	1/5/2014
Travis G. Lamb	Expired	2/23/2014	2/23/2014
Cain Michael Myers	Inactive-Approved for Licensure	1/13/2014	5/22/2015
Darrell Edward Fittimon II	Inactive-Approved for Licensure	10/1/2012	10/12/2014
Dwayne Michael Cambra	Inactive-Approved for Licensure	10/1/2012	10/12/2014
Janet Lynn Maugans	Inactive-Approved for Licensure	9/12/2012	9/11/2015
Joel David Freedman	Inactive-Approved for Licensure	6/10/2013	4/10/2015
Logan Peter Philip Gaskill	Inactive-Approved for Licensure	1/6/2014	4/2/2016
Matthew Stapleton Fisher	Inactive-Approved for Licensure	5/29/2012	10/12/2014
Michael Manzi	Inactive-Approved for Licensure	4/16/2013	4/10/2015
Vito Arthur Nardelli Jr	Inactive-Approved for Licensure	5/30/2012	10/12/2014
Christopher L. Riess	License Renewed	1/9/2013	1/8/2016
Katie M. Tyler	License Renewed	4/11/2012	4/10/2015
N. Lynne Hughes	License Renewed	9/18/2013	9/17/2016
Vicki L. Guveiyian	License Renewed	4/3/2013	4/2/2016
Christy Jo Rodriguez	Pending	4/16/2013	
Efrain Lopez	Pending	5/22/2013	
Frederick Zachariah Adams	Pending	10/16/2012	
Jaelyn Diane D'Amico	Pending	2/14/2014	
Kyu Myoung	Pending	7/23/2013	
Michael John DeMoss	Pending	4/16/2013	
Stacey Marie Kelsall	Pending	6/3/2013	
Mary Frances Harper	Renewal App Pending	2/14/2014	
Nicholas Capriotti	Renewal App Pending	6/6/2013	
Peter Salvador Arceo	Withdrawn	2/12/2014	
<i>Principal</i>			
David Benjamin Sambur	Approved for Licensure	4/11/2012	4/10/2015
Eric Alan Hession	Approved for Licensure	7/17/2013	7/16/2016
Jeffrey Tod Housenbold	Approved for Licensure	11/20/2012	11/19/2015
John W.R. Payne	Approved for Licensure	11/20/2012	11/19/2015
Lynn Curtis Swann	Approved for Licensure	8/18/2011	8/17/2014
Thomas M. Jenkin	Approved for Licensure	1/9/2013	1/8/2016
Timothy Richard Donovan	Approved for Licensure	11/22/2011	11/21/2014
Duane Douglas Holloway	Expired	1/5/2014	1/5/2014
Charles A. Paelinck	License Renewed	7/17/2013	7/16/2016
Cheryl Ann Kondra	License Renewed	7/17/2013	7/16/2016
James G. Coulter	License Renewed	9/18/2013	9/17/2016



<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Karl Peterson	License Renewed	9/18/2013	9/17/2016
Kevin D. Flynn	License Renewed	9/18/2013	9/17/2016
Michael D. Cohen	License Renewed	7/17/2013	7/16/2016
Donald Andrew Colvin	Pending	12/28/2012	
Frederick John Kleisner	Pending	7/11/2013	
Christopher J. Williams	Renewal App Pending	8/21/2012	
David Bonderman	Renewal App Pending	8/21/2012	
Diane Elizabeth Wilfong	Renewal App Pending	12/11/2013	
Eric Press	Renewal App Pending	8/21/2012	
Gary W. Loveman	Renewal App Pending	8/21/2012	
George K. Miller, Jr.	Renewal App Pending	8/21/2012	
Jeffrey David Benjamin	Renewal App Pending	8/21/2012	
Joshua Harris	Renewal App Pending	8/21/2012	
Kelvin Davis	Renewal App Pending	8/21/2012	
Leon Black	Renewal App Pending	8/21/2012	
Marc J. Rowan	Renewal App Pending	8/21/2012	
<i>Principal Entity</i>			
Chester Downs Finance Corp.	Approved for Licensure	9/14/2011	9/13/2014
Paulson & Co. Inc.	Notification Received	10/1/2010	
Apollo Hamlet Holdings B, LLC	Renewal App Pending	8/21/2012	
Apollo Hamlet Holdings, LLC	Renewal App Pending	8/21/2012	
Co-Invest Hamlet Holdings B, LLC	Renewal App Pending	8/21/2012	
Co-Invest Hamlet Holdings, Series LLC	Renewal App Pending	8/21/2012	
TPG Hamlet Holdings B, LLC	Renewal App Pending	8/21/2012	
TPG Hamlet Holdings LLC	Renewal App Pending	8/21/2012	
<i>Downs Racing, LP</i>			
<i>Affiliate</i>			
Mohegan Tribal Gaming Authority	License Renewed	8/21/2013	8/20/2016
Mohegan Tribe of Indians of Connecticut	License Renewed	8/21/2013	8/20/2016
<i>Facility-Category 1</i>			
Downs Racing, LP	License Renewed	8/21/2013	8/20/2016
<i>Key Employee</i>			
Bryan E. Olowiany	Approved for Licensure	8/18/2011	8/17/2014
David Christopher Parfrey	Approved for Licensure	6/28/2011	6/27/2014
Glenn J. Lawless	Approved for Licensure	8/1/2012	7/31/2015
Jeffrey George	Approved for Licensure	10/13/2011	10/12/2014
Jeffrey John Walker	Approved for Licensure	8/18/2011	8/17/2014
John Joseph Gutkowski	Approved for Licensure	7/17/2013	7/16/2016
Kara M. Fox-LaRose	Approved for Licensure	8/1/2012	7/31/2015
Maria Teresa Zangardi	Approved for Licensure	6/8/2011	6/7/2014
Paul Timothy Toennes	Approved for Licensure	1/8/2014	1/7/2017
Robert Joseph Pellegrini	Approved for Licensure	9/14/2011	9/13/2014
Robyn Ryan	Approved for Licensure	4/3/2013	4/2/2016
Ronald Caverly	Approved for Licensure	6/13/2012	6/12/2015
Ronald J. Chrzan	Approved for Licensure	8/18/2011	8/17/2014
Susana Lynn Segars	Approved for Licensure	7/11/2012	7/10/2015
Michael W. Stiefel	Inactive-Renewed	2/25/2013	8/17/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Anthony Connell McGowan	License Renewed	8/18/2011	8/17/2014
Benjamin B. Iverson	License Renewed	10/30/2013	10/29/2016
James Andruskiewicz	License Renewed	8/21/2013	8/20/2016
Joanne Donnelly	License Renewed	11/8/2012	11/7/2015
Julia Felice Gould	License Renewed	1/9/2013	1/8/2016
Kalenna M. Honeywell	License Renewed	8/18/2011	8/17/2014
Kawel B. Laubach	License Renewed	8/18/2011	8/17/2014
Merrit C. Nash	License Renewed	2/20/2013	2/19/2016
Michael S. Bean	License Renewed	1/29/2013	1/28/2016
Tammer M. Tucker	License Renewed	8/18/2011	8/17/2014
Thomas M. Brannigan	License Renewed	8/18/2011	8/17/2014
Daniel Frank Lynn	Pending	10/8/2013	
Ernest Charles	Pending	9/25/2013	
Sandra Taylor Morelli	Pending	6/4/2013	
Dale Rapson	Renewal App Pending	6/13/2013	
Dennis Driscoll	Renewal App Pending	2/7/2013	
Frederick M. Brown IV	Renewal App Pending	3/20/2013	
Maria Teresa Zangardi	Renewal App Pending	1/28/2014	
<i>Principal</i>			
David Andrew Rome	Approved for Licensure	9/14/2011	9/13/2014
Jonathan Hamilton	Approved for Licensure	2/29/2012	2/27/2015
Kathleen M. Regan-Pyne	Approved for Licensure	8/18/2011	8/17/2014
Mark Sperry	Approved for Licensure	4/24/2013	4/23/2016
Bruce S. Bozsum	License Renewed	2/20/2013	2/19/2016
Cheryl Todd	License Renewed	8/21/2013	8/20/2016
Leo M. Chupaska	License Renewed	4/24/2013	4/23/2016
Mark F. Brown	License Renewed	2/20/2013	2/19/2016
Mitchell G. Etes	License Renewed	4/3/2013	4/2/2016
Ralph J. Gessner, Jr.	License Renewed	8/21/2013	8/20/2016
Robert J. Soper	License Renewed	1/8/2014	1/7/2017
William Quidgeon Jr	License Renewed	8/21/2013	8/20/2016
Kevin Brown	Pending	11/7/2013	
Mario Kontomerkos	Pending	1/7/2013	
Thayne D. Hutchins, Jr.	Renewal App Pending	11/7/2013	
<i>Principal Entity</i>			
Mill Creek Land, LP	License Renewed	8/21/2013	8/20/2016
Mohegan Commercial Ventures PA, LLC	License Renewed	8/21/2013	8/20/2016
Northeast Concessions, LP	License Renewed	8/21/2013	8/20/2016
<i>Endeka Entertainment, L.P.</i>			
<i>Affiliate</i>			
AHT Land, LP	Pending	6/3/2013	
American Harness Tracks, LLC	Pending	6/3/2013	
Endeka LLC	Pending	6/3/2013	
Penn National Gaming, Inc.	Pending	6/4/2013	
SD Tuxepo GP, LLC	Pending	6/4/2013	
SDSSL Tuxepo Investors, LP	Pending	6/3/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Facility-Category 1</i>			
Endeka Entertainment, L.P.	Pending	6/3/2013	
<i>Principal</i>			
Barbara Z. Shattuck	Pending	6/4/2013	
Brooke Silver	Pending	6/3/2013	
Charles Long Jr	Pending	6/3/2013	
Christine Biros	Pending	6/3/2013	
Desiree Ann Burke	Pending	6/4/2013	
Edward M. Snider	Pending	6/3/2013	
Ethan Silver	Pending	6/3/2013	
Francis T. Donaghue	Pending	6/4/2013	
Gregg William Hart	Pending	6/4/2013	
Harold Cramer	Pending	6/4/2013	
Jay Anthony Snowden	Pending	6/4/2013	
John M. Jacquemin	Pending	6/4/2013	
John V. Finamore	Pending	6/4/2013	
Jordan B. Savitch	Pending	6/4/2013	
Kyle Martin Sr	Pending	6/4/2013	
Manuel Stamatakis	Pending	6/3/2013	
Martin Ettin	Pending	6/3/2013	
Melissa Wendy Silver	Pending	6/4/2013	
Peter D. DePaul	Pending	6/4/2013	
Peter M. Carlino	Pending	6/4/2013	
Remi Silver	Pending	6/4/2013	
Robert S. Ippolito	Pending	6/4/2013	
Saul Reibstein	Pending	6/4/2013	
Taryn Silver	Pending	6/4/2013	
Thomas Leonard III	Pending	6/3/2013	
Timothy J. Wilmott	Pending	6/4/2013	
Wesley Edens	Pending	6/21/2013	
William J. Clifford	Request for Withdrawal Pending	12/9/2013	
<i>Principal Entity</i>			
FIF V PFD LLC	Pending	6/4/2013	
Melisa Silver Casino Trust	Pending	6/4/2013	
The Carlino Family Trust	Pending	6/4/2013	
<i>Greenwood Gaming and Entertainment, Inc.</i>			
<i>Affiliate</i>			
Greenwood Table Game Services, Inc.	Approved for Licensure	11/20/2012	11/19/2015
Bensalem Park Maintenance, Ltd.	Renewal App Pending	7/16/2013	
Bettor Technology, Inc.	Renewal App Pending	7/16/2013	
Casino Food Services Inc.	Renewal App Pending	7/16/2013	
Green Racing Management Company	Renewal App Pending	7/16/2013	
Greenwood G&E Holding, Inc.	Renewal App Pending	7/16/2013	
Greenwood Gaming Services Co.	Renewal App Pending	7/16/2013	
Greenwood Racing, Inc.	Renewal App Pending	7/16/2013	
International Turf Investment Company, Inc.	Renewal App Pending	7/16/2013	
Keystone Park Services, Co.	Renewal App Pending	7/16/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Koorungal Holdings B.V.	Renewal App Pending	7/16/2013	
Koorungal Holdings Curacao N.V.	Renewal App Pending	7/16/2013	
<i>Facility-Category 1</i>			
Greenwood Gaming and Entertainment, Inc.	Renewal App Pending	7/16/2013	
<i>Key Employee</i>			
Ari Mizrachi	Approved for Licensure	6/28/2011	6/27/2014
Joshua David Hofbauer	Approved for Licensure	8/18/2011	8/17/2014
Judson James Boyer	Approved for Licensure	6/28/2011	6/27/2014
Marc Allen Oppenheimer	Approved for Licensure	10/30/2013	10/29/2016
Pablo Fernando Dishman	Approved for Licensure	6/28/2011	6/27/2014
Paul Anthony Greco	Approved for Licensure	1/29/2014	2/19/2016
Rosemarie McElroy	Approved for Licensure	2/8/2012	2/7/2015
Steven Arthur Fayne	Approved for Licensure	11/20/2012	11/19/2015
Dale Edward Walton	Expired	1/5/2014	1/5/2014
David Lee Kessler	Inactive-Approved for Licensure	11/10/2011	9/13/2014
John Gary Luderitz	Inactive-Approved for Licensure	1/20/2012	9/13/2014
John Joseph Martinelli	Inactive-Approved for Licensure	9/23/2013	3/22/2014
Leonard M. DeAngelo	Inactive-Approved for Licensure	1/20/2012	9/13/2014
Robert Warren Kahler	Inactive-Approved for Licensure	12/15/2011	4/27/2014
Allen N. Strauss	License Renewed	11/20/2012	11/19/2015
Andrew J. Green	License Renewed	6/26/2013	6/25/2016
Arthur J. Dixon	License Renewed	1/9/2013	1/8/2016
Bette A. Strauss	License Renewed	11/20/2012	11/19/2015
Bryan P. Schroeder	License Renewed	6/28/2011	6/27/2014
Darlene Monzo	License Renewed	6/28/2011	6/27/2014
David Ziegler	License Renewed	8/18/2011	8/17/2014
David L. Norcutt, Sr.	License Renewed	4/3/2013	4/2/2016
Francis E. McDonnell	License Renewed	1/9/2013	1/8/2016
Gary E. Prestage	License Renewed	6/28/2011	6/27/2014
Richelle Ruemeli	License Renewed	4/3/2013	4/2/2016
Robert J. Kirby	License Renewed	9/18/2013	9/17/2016
Andrew Goldberg	Pending	4/9/2013	
Anthony Gilbert Faranca	Renewal App Pending	1/17/2013	
Carrie Anne Nork-Minelli	Renewal App Pending	11/7/2013	
Gerald Fretz	Renewal App Pending	2/28/2013	
Matthew W. Hayes	Renewal App Pending	5/31/2013	
Nicolle Marie Miller	Renewal App Pending	10/31/2013	
Remaitha Polite	Renewal App Pending	11/7/2013	
Ronald W. Davis	Renewal App Pending	11/7/2013	
Thomas C. Bonner	Renewal App Pending	5/31/2013	
<i>Principal</i>			
David Charles Budd	Approved for Licensure	10/9/2013	10/8/2016
Bryan Eugene Bartlett	Pending	1/3/2013	
Anthony D. Ricci, Jr.	Renewal App Pending	11/28/2012	
James Lane	Renewal App Pending	7/16/2013	
Joseph William Wilson	Renewal App Pending	3/26/2013	
Richard J. Kendle	Renewal App Pending	7/16/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Robert W. Green	Renewal App Pending	7/16/2013	
Terrence A. Everett	Renewal App Pending	7/16/2013	
Watche A. Manoukian	Renewal App Pending	7/16/2013	
William E. Hogwood	Renewal App Pending	7/16/2013	
<i>Principal Entity</i>			
International Turf Acquisition Co., Inc.	Pending	12/12/2013	
ITIC/ITAC LLC	Pending	4/6/2012	
Bensalem Racing Association, Inc.	Renewal App Pending	7/16/2013	
Keystone Turf Club, Inc.	Renewal App Pending	7/16/2013	
Rock Limited	Renewal App Pending	7/16/2013	
<i>Mountainview Thoroughbred Racing Association, LLC</i>			
<i>Affiliate</i>			
Penn Tenant, LLC	Approved for Licensure	10/9/2013	10/8/2016
eBetUSA.com, Inc.	Renewal App Pending	11/7/2012	
Penn National Gaming, Inc.	Renewal App Pending	11/7/2012	
Pennsylvania National Turf Club, LLC	Renewal App Pending	11/7/2012	
<i>Facility-Category 1</i>			
Mountainview Thoroughbred Racing Association, LLC	Renewal App Pending	11/14/2012	
<i>Key Employee</i>			
Anthony P. Casdia	Approved for Licensure	6/28/2011	6/27/2014
Gary Bruce Pecorello II	Approved for Licensure	2/8/2012	2/7/2015
Jorelle Elizabeth Shearin	Approved for Licensure	3/21/2012	3/20/2015
Lisa R. Watts	Approved for Licensure	10/9/2013	10/8/2016
Murdo Alexander Montgomery	Approved for Licensure	6/28/2011	6/27/2014
Stephanie Kohr	Approved for Licensure	11/22/2011	11/21/2014
Sursan Reyes	Approved for Licensure	3/21/2012	3/20/2015
Thomas Allen Beauchamp	Approved for Licensure	6/26/2013	6/25/2016
Timothy O Shea	Approved for Licensure	1/29/2013	1/28/2016
Zachary C Zarnoch	Approved for Licensure	6/28/2011	6/27/2014
Ronald Eugene Schlecht Jr	Inactive-Approved for Licensure	3/28/2012	3/20/2015
Gretchen E. Garrity	Inactive-Renewed	5/7/2012	8/17/2014
Stephanie Dunkerley	Inactive-Renewed	9/6/2011	6/27/2014
Chy N Stewart	License Renewed	8/18/2011	8/17/2014
Craig Edward Gunkel	License Renewed	8/18/2011	8/17/2014
Jared Strouphauer	License Renewed	8/18/2011	8/17/2014
John C. Newman, Sr.	License Renewed	11/20/2012	11/19/2015
Lucretia A. Fetcho	License Renewed	1/8/2014	1/7/2017
Ronald Dawkins	License Renewed	10/13/2011	10/12/2014
Brian Michael Aldrich	Pending	2/24/2014	
Gloria Jean Ballentine	Pending	9/27/2012	
Louis Michael Starzl	Pending	10/28/2013	
Ryan Charles Derr	Pending	9/6/2013	
William Hayles	Pending	6/14/2013	
Charles Berdinis	Renewal App Pending	12/27/2013	
Danielle Espenshade	Renewal App Pending	5/30/2013	
Steven M. Houle	Renewal App Pending	5/30/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Javon Quentin White	Withdrawn	2/10/2014	
<i>Principal</i>			
Francis T. Donaghue	Approved for Licensure	5/2/2012	5/1/2015
Jay Anthony Snowden	Approved for Licensure	3/21/2012	3/20/2015
Kyle Martin Sr	Approved for Licensure	4/14/2011	4/13/2014
Saul Reibstein	Approved for Licensure	7/11/2012	7/10/2015
David A Handler	Pending	12/2/2013	
Evan Scott Urdang	Pending	10/29/2013	
Joseph Walter Marshall III	Pending	10/29/2013	
Steven Todd Snyder	Pending	12/20/2013	
Barbara Z. Shattuck	Renewal App Pending	11/7/2012	
Desiree Ann Burke	Renewal App Pending	7/24/2013	
Gregg William Hart	Renewal App Pending	6/22/2012	
Harold Cramer	Renewal App Pending	11/7/2012	
John M. Jacquemin	Renewal App Pending	11/7/2012	
John V. Finamore	Renewal App Pending	11/7/2012	
Jordan B. Savitch	Renewal App Pending	11/7/2012	
Kyle Martin Sr	Renewal App Pending	2/6/2014	
Peter M. Carlino	Renewal App Pending	11/9/2012	
Robert S. Ippolito	Renewal App Pending	11/9/2012	
Timothy J. Wilmott	Renewal App Pending	6/22/2012	
Wesley Edens	Renewal App Pending	6/22/2012	
William J. Clifford	Renewal App Pending	11/7/2012	
<i>Principal Entity</i>			
Gaming and Leisure Properties, Inc.	Approved for Licensure	10/9/2013	10/8/2016
GLP Capital Partners, LLC	Approved for Licensure	10/9/2013	10/8/2016
GLP Capital, L.P.	Approved for Licensure	10/9/2013	10/8/2016
Baron Capital Group, Inc. and its subsidiaries	Notification Received	12/14/2010	
Capital World Investors a Division of Capital Research and Management Company	Notification Received	4/8/2011	
Harris Associates L.P.	Notification Received	3/1/2012	
PAR Capital Management, Inc. (investment advisor to PAR Investment Partners LP)	Notification Received	8/29/2013	
Teachers Advisors, Inc.	Notification Received	3/27/2013	
TIAA-CREF Investment Management, LLC	Notification Received	3/27/2013	
GLP Financing II, Inc.	Pending	11/12/2013	
FIF V PFD LLC	Renewal App Pending	6/22/2012	
The Carlino Family Trust	Renewal App Pending	11/9/2012	
<i>Presque Isle Downs, Inc.</i>			
<i>Affiliate</i>			
Gameco Holdings, Inc.	License Renewed	7/20/2011	7/19/2014
Jacobs Entertainment, Inc.	License Renewed	7/20/2011	7/19/2014
Jacobs Family Control Trust dated 9/27/05, Stanley R. Gorom III, Trustee	License Renewed	7/20/2011	7/19/2014
Jacobs Family Economic Trust dated 9/27/05, Stanley R. Gorom III, Trustee	License Renewed	7/20/2011	7/19/2014
Jacobs Investments, Inc.	License Renewed	7/20/2011	7/19/2014
MTR Gaming Group, Inc.	License Renewed	7/20/2011	7/19/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Eclair Holdings Company	Pending	12/13/2013	
Recreational Enterprises, Inc.	Pending	11/12/2013	
<i>Facility-Category 1</i>			
Presque Isle Downs, Inc.	License Renewed	7/20/2011	7/19/2014
<i>Key Employee</i>			
Barry Rice	Approved for Licensure	11/22/2011	11/21/2014
Brian Staaf	Approved for Licensure	2/8/2012	2/7/2015
Daniel Eugene Weston	Approved for Licensure	11/22/2011	11/21/2014
Erica Marie Pietranton	Approved for Licensure	10/9/2013	10/8/2016
Erick Conrad Friedman	Approved for Licensure	6/28/2011	6/27/2014
Mark Joseph Waldinger	Approved for Licensure	11/22/2011	11/21/2014
Lisa Ann Younkins	Expired	1/25/2014	1/25/2014
Joseph Leonard Smith Jr	Inactive-Approved for Licensure	12/14/2012	11/21/2014
Kevin John Ryan	Inactive-Approved for Licensure	11/14/2013	6/27/2014
Patrick John Smith	Inactive-Approved for Licensure	5/23/2012	11/21/2014
Richard A. O'Leary	Inactive-Approved for Licensure	6/30/2011	6/27/2014
Thomas William Moore	Inactive-Renewed	8/16/2012	11/21/2014
David Allen Bates	License Renewed	8/18/2011	8/17/2014
Matthew C. Ennis	License Renewed	5/2/2012	5/1/2015
Rita D. Smith	License Renewed	11/22/2011	11/21/2014
Scott Stoller	License Renewed	6/26/2013	6/25/2016
Shayne Morrow	License Renewed	8/21/2013	8/20/2016
Stephen Paul Wagner	License Renewed	6/28/2011	6/27/2014
Christopher George Abraham	Pending	10/8/2013	
Jeffrey Spikes Favre	Pending	1/24/2014	
Kurt Michael Slater	Pending	7/29/2013	
Larry Bruce Honeycutt Jr	Pending	10/15/2012	
Michael James Pati	Pending	1/24/2014	
Jennifer A. See	Renewal App Pending	1/27/2012	
Roseane Law Paligo	Renewal App Pending	8/6/2012	
Stephen Paul Danowski	Renewal App Pending	10/10/2013	
Michael Tamburelli	Request for Withdrawal Pending	2/14/2014	
<i>Principal</i>			
Raymond K Lee	Approved for Licensure	7/20/2011	7/19/2014
Vincent James Azzarello	Approved for Licensure	7/20/2011	7/19/2014
Caroline M. Jacobs	License Renewed	7/20/2011	7/19/2014
Claire L. Jacobs	License Renewed	7/20/2011	7/19/2014
Hanna R. Jacobs	License Renewed	7/20/2011	7/19/2014
James V. Stanton	License Renewed	7/20/2011	7/19/2014
Jeffrey P. Jacobs	License Renewed	7/20/2011	7/19/2014
Jeffrey P. Jacobs II	License Renewed	7/20/2011	7/19/2014
John W. Bittner	License Renewed	7/20/2011	7/19/2014
Lynda L. Jacobs	License Renewed	7/20/2011	7/19/2014
Renee E. Jacobs	License Renewed	7/20/2011	7/19/2014
Richard Jacobs	License Renewed	7/20/2011	7/19/2014
Richard F. Delatore	License Renewed	7/20/2011	7/19/2014
Robert A. Blatt	License Renewed	7/20/2011	7/19/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Rose M. Williams	License Renewed	7/20/2011	7/19/2014
Stanley R. Gorom III	License Renewed	7/20/2011	7/19/2014
Steven Michael Billick	License Renewed	7/20/2011	7/19/2014
Thomas F. Trygar	License Renewed	7/20/2011	7/19/2014
Cathleen Lynn Thormahlen	Pending	12/4/2013	
Cindy Lynn Carano	Pending	12/4/2013	
David Paul Tomick	Pending	12/4/2013	
Donald Louis Carano	Pending	12/4/2013	
Gary Louis Carano	Pending	12/4/2013	
Gene Robert Carano	Pending	12/4/2013	
Glenn Thomas Carano	Pending	12/4/2013	
Gregg Russell Carano	Pending	12/4/2013	
John James Frankovich	Pending	12/4/2013	
Joseph Larry Billhimer	Pending	11/29/2011	
Linda Rae Poncia	Pending	12/4/2013	
Michelle Leann Staunton	Pending	12/4/2013	
Raymond Jerome Poncia	Pending	12/5/2013	
Robert McDonald Jones	Pending	12/4/2013	
Tammy Poncia Jackson	Pending	12/4/2013	
Thomas Robert Reeg	Pending	12/4/2013	
Thomas Sheldon Diehl	Pending	2/6/2014	
Timothy James Henderson	Pending	12/4/2013	
Narciso Alejandro Rodriguez-Cayro	Request for Withdrawal Pending	2/11/2014	
Fred Anthony Buro	Request to Surrender License	2/12/2014	5/22/2015
Jeffrey Jay Dahl	Request to Surrender License	2/12/2014	7/10/2015
<i>Principal Entity</i>			
Jeffrey P. Jacobs Revocable Trust, under Declaration of Trust dated July 10, 2000. Jeffrey P. Jacobs, Trustee	Approved for Licensure	7/20/2011	7/19/2014
Arbiter Partners QP, LP	Notification Received	3/18/2011	
Brigade Capital Management, LLC	Notification Received	6/17/2011	
Fort Hoosac Management LLC (DBA Arbiter Partners QP LP)	Notification Received	3/18/2011	
Lafitte Capital Management, LP	Notification Received	4/6/2012	
Newport Global Opportunities Fund LP	Notification Received	12/13/2013	
PAR Capital Management, Inc. (investment advisor to PAR Investment Partners LP)	Notification Received	12/29/2011	
PAR Investment Partners, L.P.	Notification Received	3/21/2012	
Eclair Acquisition Company, LLC	Pending	2/24/2014	
Hotel Casino Management, Inc.	Pending	11/13/2013	
NGA Holdco, LLC	Pending	11/13/2013	
Ridgeline Acquisition Corp	Pending	2/24/2014	
The Donald L Carano Family Trust	Pending	11/12/2013	
The Raymond J Poncia Jr Family Trust	Pending	11/13/2013	
<i>Washington Trotting Association, Inc.</i>			
<i>Affiliate</i>			
Northkom Pty Limited	Expired	2/23/2014	2/23/2014
Cannery Casino Resorts, LLC	License Renewed	8/18/2011	8/17/2014



<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Millennium Gaming, Inc.	License Renewed	8/18/2011	8/17/2014
Mountain Laurel Racing, Inc.	License Renewed	8/18/2011	8/17/2014
OCM AcquisitionCo, LLC	License Renewed	8/18/2011	8/17/2014
OCM Blocker, LLC	License Renewed	8/18/2011	8/17/2014
OCM HoldCo, LLC	License Renewed	8/18/2011	8/17/2014
OCM VoteCo, LLC	License Renewed	8/18/2011	8/17/2014
PA Meadows, LLC	License Renewed	8/18/2011	8/17/2014
PA MezzCo, LLC	License Renewed	8/18/2011	8/17/2014
Crown North America Holdings One Pty Ltd.	Pending	8/1/2013	
Bareage Pty Limited	Renewal App Pending	12/26/2013	
Cairnton Holdings Limited	Renewal App Pending	12/26/2013	
Cairnton Pty Limited	Renewal App Pending	12/26/2013	
Consolidated Custodians International Limited	Renewal App Pending	12/26/2013	
Consolidated Press Financial Services PTY Limited	Renewal App Pending	12/26/2013	
Consolidated Press Holdings Limited	Renewal App Pending	12/26/2013	
Consolidated Press International Holdings Limited	Renewal App Pending	12/26/2013	
Consolidated Press International Limited	Renewal App Pending	12/26/2013	
Crown CCR Group Holdings One Pty Ltd	Renewal App Pending	12/26/2013	
Crown CCR Group Holdings Two Pty Ltd	Renewal App Pending	12/26/2013	
Crown CCR Group Investments One, LLC	Renewal App Pending	12/26/2013	
Crown CCR Group Investments Two, LLC	Renewal App Pending	12/26/2013	
Crown CCR Holdings General Partnership	Renewal App Pending	12/26/2013	
Crown CCR Holdings, LLC	Renewal App Pending	12/26/2013	
Crown Entertainment Group Holdings Pty Ltd	Renewal App Pending	12/26/2013	
Crown Group Finance Limited	Renewal App Pending	1/9/2014	
Crown Resorts Limited	Renewal App Pending	12/26/2013	
<i>Facility-Category 1</i>			
Washington Trotting Association, Inc.	License Renewed	8/18/2011	8/17/2014
<i>Key Employee</i>			
Bradley Michael Simpson	Approved for Licensure	10/13/2011	10/12/2014
Camille Renae Kobrys	Approved for Licensure	5/15/2013	5/14/2016
David Gerard Wiegmann	Approved for Licensure	8/1/2012	7/31/2015
George Brian Beinhauer	Approved for Licensure	10/13/2011	10/12/2014
Jennifer R Zaramba	Approved for Licensure	11/20/2013	11/19/2016
John Schussler	Approved for Licensure	8/18/2011	8/17/2014
Kathleen Louise Prieto	Approved for Licensure	10/13/2011	10/12/2014
Lance Brady Young	Approved for Licensure	10/13/2011	10/12/2014
Mark Jonathon Peters	Approved for Licensure	8/18/2011	8/17/2014
Martin Louis Kolovich	Approved for Licensure	10/13/2011	10/12/2014
Monique Lanae Stewart	Approved for Licensure	11/22/2011	11/21/2014
Nicole Newlon Zimmerman	Approved for Licensure	11/22/2011	11/21/2014
Peggy L Battistella	Approved for Licensure	8/18/2011	8/17/2014
Rose A Eger	Approved for Licensure	8/18/2011	8/17/2014
Sean Sullivan	Approved for Licensure	5/25/2011	5/24/2014
Tanya Kay Kash	Approved for Licensure	6/13/2012	6/12/2015
Timothy Bedillion	Approved for Licensure	8/18/2011	8/17/2014
Elliott Anthony Frazier	Expired	2/23/2014	2/23/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Jamie Ellen Wright	Expired	1/5/2014	1/5/2014
Sherry F. Salisbury	Expired	2/23/2014	2/23/2014
Susan Marie Pro	Expired	1/25/2014	1/25/2014
Tracy M Mihalek	Expired	1/5/2014	1/5/2014
Phillip Eugene Barnett	Inactive-Approved for Licensure	7/15/2013	11/21/2014
Adrian Richard Ashmore	License Renewed	8/21/2013	8/20/2016
Catherine Morganti	License Renewed	11/20/2013	11/19/2016
Deborah L. Hauser	License Renewed	10/9/2013	10/8/2016
Jill M Eden	License Renewed	8/21/2013	8/20/2016
Kelly C. Harvison	License Renewed	8/21/2013	8/20/2016
Kery Lee Chase	License Renewed	8/18/2011	8/17/2014
Kevin Michael Salo	License Renewed	8/21/2013	8/20/2016
Mary C. McGrath	License Renewed	6/26/2013	6/25/2016
Michael J. Jankoviak	License Renewed	6/26/2013	6/25/2016
Michael Steven Keelon	License Renewed	10/9/2013	10/8/2016
Timothy Timko	License Renewed	10/13/2011	10/12/2014
Virginia Mae Schussler	License Renewed	8/21/2013	8/20/2016
Kevin Patrick Brogan	Pending	6/10/2013	
Alannah Jeanne Taylor	Renewal App Pending	11/26/2012	
Karen E Baughman	Renewal App Pending	4/29/2013	
Pamela M Reuter	Renewal App Pending	1/3/2013	
Steven William Hartmann	Renewal App Pending	5/28/2013	
Michael E. Jeannot	Request for Withdrawal Pending	2/25/2014	
<i>Principal</i>			
Benjamin Alexander Brazil	Approved for Licensure	6/5/2013	6/4/2016
Brenda Lorraine Decker	Approved for Licensure	5/15/2013	5/14/2016
Kenneth McRae Barton	Approved for Licensure	8/18/2011	8/17/2014
Bruce A. Karsh	License Renewed	8/18/2011	8/17/2014
Carl Stix	License Renewed	8/18/2011	8/17/2014
David M. Kirchheimer	License Renewed	8/18/2011	8/17/2014
Guy T. Hillyer	License Renewed	8/18/2011	8/17/2014
Howard S. Marks	License Renewed	8/18/2011	8/17/2014
John B. Frank	License Renewed	8/18/2011	8/17/2014
Ronald N. Beck	License Renewed	8/18/2011	8/17/2014
Sheldon M. Stone	License Renewed	8/18/2011	8/17/2014
Stephen A. Kaplan	License Renewed	8/18/2011	8/17/2014
Thomas A. Lettero	License Renewed	8/18/2011	8/17/2014
William C. Wortman	License Renewed	8/18/2011	8/17/2014
William Joseph Paulos	License Renewed	8/18/2011	8/17/2014
Daniel Vieira	Pending	12/11/2013	
Thomas J. Gallagher	Pending	7/12/2012	
Ashok P. Jacob	Renewal App Pending	12/26/2013	
Gretel Lees Packer	Renewal App Pending	1/6/2014	
James D. Packer	Renewal App Pending	12/19/2013	
John H. Alexander	Renewal App Pending	12/26/2013	
Michael A. Day	Renewal App Pending	4/9/2013	
Michael J. Neilson	Renewal App Pending	12/26/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Michael R. Johnston	Renewal App Pending	12/26/2013	
Rowen B. Craigie	Renewal App Pending	12/26/2013	
Rowena Danziger	Renewal App Pending	12/26/2013	
Ryan S. Toland	Request to Surrender License	1/15/2014	8/17/2014
<i>Principal Entity</i>			
CCR Pennsylvania Food Service, Inc.	License Renewed	8/18/2011	8/17/2014
CCR Pennsylvania Racing, Inc.	License Renewed	8/18/2011	8/17/2014
CCR Racing Management	License Renewed	8/18/2011	8/17/2014
OCM InvestCo, LLC	License Renewed	8/18/2011	8/17/2014
Custodians Settlement (No.8)	Renewal App Pending	1/6/2014	
Cannery Casino Resorts Finance Corporation	Request to Surrender License	2/19/2014	5/10/2014

**Facility-Category 2 Application***Holdings Acquisition Co, L.P.**Affiliate*

Rivers Pittsburgh Finance Corp.	Approved for Licensure	5/23/2012	5/22/2015
2002 AGB Family Dynasty Trust	License Renewed	9/14/2011	9/13/2014
2002 LNB Family Dynasty Trust	License Renewed	9/14/2011	9/13/2014
High Pitt Gaming GP, L.L.C.	License Renewed	9/14/2011	9/13/2014
High Pitt Gaming, LP	License Renewed	9/14/2011	9/13/2014
Holdings Acquisition Co GP, L.L.C	License Renewed	9/14/2011	9/13/2014
Holdings Gaming Borrower GP, L.L.C	License Renewed	9/14/2011	9/13/2014
Meredith A. Bluhm-Wolf 2006 Family GST Trust	License Renewed	9/14/2011	9/13/2014
Pittsburgh Gaming Holdings GP, L.L.C..	License Renewed	9/14/2011	9/13/2014
Pittsburgh Gaming Holdings, L.P.	License Renewed	9/14/2011	9/13/2014
Pittsburgh Gaming Investors GP, LLC	License Renewed	9/14/2011	9/13/2014
Pittsburgh Gaming Investors Intermediate, LLC	License Renewed	9/14/2011	9/13/2014
Pittsburgh Gaming Investors, LP	License Renewed	9/14/2011	9/13/2014
Rivers Pittsburgh Borrower, L.P.	License Renewed	9/14/2011	9/13/2014
Walton Majestic Star Holdings VI GP, LLC	License Renewed	9/14/2011	9/13/2014
Walton Majestic Star Holdings VI, L.P.	License Renewed	9/14/2011	9/13/2014
Walton Street Managers VI, LP	License Renewed	9/14/2011	9/13/2014
WSC Managers VI, Inc.	License Renewed	9/14/2011	9/13/2014

*Facility-Category 2*

Holdings Acquisition Co, L.P.	License Renewed	9/14/2011	9/13/2014
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*Key Employee*

Adam David Fischer	Approved for Licensure	5/25/2011	5/24/2014
Charles Samuel Green	Approved for Licensure	8/21/2013	8/20/2016
Craig Clark	Approved for Licensure	5/15/2013	5/14/2016
Dannielle Elizabeth Cisneros	Approved for Licensure	10/13/2011	10/12/2014
Felix Manuel Diaz	Approved for Licensure	10/13/2011	10/12/2014
James Daniel Cahill	Approved for Licensure	7/11/2012	7/10/2015
John Wayne Couth	Approved for Licensure	5/2/2012	5/1/2015
Jonathan Michael Angelo	Approved for Licensure	10/9/2013	10/8/2016
Mark Konrad Wolz	Approved for Licensure	8/18/2011	8/17/2014
Michael Duane O'Brien	Approved for Licensure	5/1/2013	8/17/2014
Richard Allan Fitzsimmons	Approved for Licensure	1/29/2013	1/28/2016
Suzanne Mary Trout	Approved for Licensure	8/1/2012	7/31/2015

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Timothy R. Mura	Approved for Licensure	8/18/2011	8/17/2014
Todd David Watkins	Approved for Licensure	6/26/2013	6/25/2016
William Charles Winkelried	Approved for Licensure	8/18/2011	8/17/2014
William J Stepien	Approved for Licensure	8/18/2011	8/17/2014
Zelletta Marie Wyatt	Approved for Licensure	4/24/2013	4/23/2016
Brian Michael Kernan	Inactive-Approved for Licensure	1/26/2012	3/22/2014
Giorgio Isella	Inactive-Approved for Licensure	11/8/2012	10/12/2014
Helen Carrie Kessler	Inactive-Approved for Licensure	2/27/2012	3/22/2014
Joseph Patrick Barrett Sr	Inactive-Approved for Licensure	11/18/2011	5/24/2014
Lisa Nicole Smart	Inactive-Approved for Licensure	12/17/2012	8/17/2014
Tim Lee Pugh	Inactive-Approved for Licensure	8/30/2011	8/17/2014
Timothy Andrew Hill	Inactive-Approved for Licensure	9/14/2012	10/12/2014
Brian F. Block	Pending	1/15/2013	
Daniel Richard Smith	Pending	12/3/2012	
John David Manning	Pending	4/25/2013	
John Robert Boyle	Pending	10/17/2011	
Lorraine Nancy Clanton	Pending	2/26/2013	
Regina Marie Stasuk	Pending	8/12/2013	
Robert Deane Guthrie	Pending	12/3/2012	
Shawn Timothy Cassatt	Pending	9/11/2012	
Tyrone Thompson	Pending	5/30/2013	
Andre Joseph Barnabei	Renewal App Pending	2/22/2012	
Rhonda L. Gilchrist	Renewal App Pending	10/30/2013	
Robert Dennis Harsch	Renewal App Pending	5/28/2013	
Thomas Quigley	Renewal App Pending	5/31/2013	
Robert E Neff	Withdrawn	1/8/2014	
<i>Principal</i>			
Abraham T Han	Approved for Licensure	5/15/2013	5/14/2016
David G. Patent	Approved for Licensure	8/18/2011	8/17/2014
Jon Soren Reynertson	Approved for Licensure	7/11/2012	7/10/2015
Joseph Richard Scibetta	Approved for Licensure	9/14/2011	9/13/2014
Andrew G. Bluhm	License Renewed	9/14/2011	9/13/2014
Anna Bea Wolf	License Renewed	9/14/2011	9/13/2014
Cooper Benjamin Bluhm	License Renewed	9/14/2011	9/13/2014
Emmett Gordon Bluhm	License Renewed	9/14/2011	9/13/2014
Eric C. Mogentale	License Renewed	9/14/2011	9/13/2014
Gregory Carlin	License Renewed	9/14/2011	9/13/2014
Hudson Jonah Bluhm	License Renewed	9/14/2011	9/13/2014
Ira J. Schulman	License Renewed	9/14/2011	9/13/2014
Ira M. Lubert	License Renewed	9/14/2011	9/13/2014
James Morris Wolf	License Renewed	9/14/2011	9/13/2014
Jeffrey S. Quicksilver	License Renewed	9/14/2011	9/13/2014
Kenneth J. Weaver	License Renewed	9/14/2011	9/13/2014
Leslie N. Bluhm	License Renewed	9/14/2011	9/13/2014
Meredith A. Bluhm-Wolf	License Renewed	9/14/2011	9/13/2014
Neil Bluhm	License Renewed	9/14/2011	9/13/2014
Nicholas Bluhm Helfand	License Renewed	9/14/2011	9/13/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
William Gordon Helfand	License Renewed	9/14/2011	9/13/2014
<i>Principal Entity</i>			
General Retirement System of the City of Detroit	Approved for Licensure	9/14/2011	9/13/2014
PGI Senior Preferred Holdings, L.P.	Approved for Licensure	9/14/2011	9/13/2014
PGI Senior Preferred Holdings GP, L.L.C.	Approved for Licensure	9/14/2011	9/13/2014
Police and Fire Retirement System of the City of Detroit	Approved for Licensure	9/14/2011	9/13/2014
Rush Street Gaming Partners, LLC	Approved for Licensure	9/14/2011	9/13/2014
Rush Street Gaming, LLC	Approved for Licensure	9/14/2011	9/13/2014
Cira Pittsburgh Gaming Investor GP, LLC	License Renewed	9/14/2011	9/13/2014
Cira Pittsburgh Gaming Investor, L.P.	License Renewed	9/14/2011	9/13/2014
GAC Oversight, L.L.C.	License Renewed	9/14/2011	9/13/2014
PGO GP, L.L.C.	License Renewed	9/14/2011	9/13/2014
PGO, L.P.	License Renewed	9/14/2011	9/13/2014
<i>Market East Associates, LP</i>			
<i>Affiliate</i>			
Inner-City Gaming, LLC	Pending	11/15/2012	
MainLine MEA GP, LLC	Pending	2/14/2013	
MainLine MEA Partners, L.P.	Pending	2/14/2013	
Market East GG Investors, L.P.	Pending	11/15/2012	
Market East GP, LLC	Pending	11/15/2012	
MGA Holding PA, LLC	Pending	2/14/2013	
Mohegan Gaming Advisors, LLC	Pending	2/14/2013	
Mohegan Tribal Gaming Authority	Pending	2/14/2013	
Mohegan Tribe of Indians of Connecticut	Pending	4/10/2013	
<i>Facility-Category 2</i>			
Market East Associates, LP	Pending	11/15/2012	
<i>Principal</i>			
Bernard W. Smalley, Sr.	Pending	11/15/2012	
Bruce S. Bozsum	Pending	2/14/2013	
Cheryl Todd	Pending	2/14/2013	
Cheryl Joan McKissack Daniel	Pending	2/14/2013	
David Andrew Rome	Pending	2/14/2013	
David Jason Adelman	Pending	2/4/2013	
Dennis E. Cook	Pending	11/15/2012	
Gary Van Hettinga	Pending	2/14/2013	
Ira M. Lubert	Pending	11/15/2012	
Jonathan Hamilton	Pending	2/14/2013	
Kathleen M. Regan-Pyne	Pending	2/14/2013	
Kenneth Neil Goldenberg	Pending	11/15/2012	
Kevin Brown	Pending	11/7/2013	
Mario Kontomerkos	Pending	2/14/2013	
Mark F. Brown	Pending	2/14/2013	
Mark Morgan Sperry	Pending	4/24/2013	
Michael Heller	Pending	11/15/2012	
Mitchell G. Etess	Pending	2/14/2013	
Ralph J. Gessner, Jr.	Pending	2/14/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Thayne D. Hutchins, Jr.	Pending	2/14/2013	
William Quidgeon Jr	Pending	2/14/2013	
William A Landman	Pending	1/22/2013	
Willie F. Johnson	Pending	11/15/2012	
<i>Mount Airy #1, LLC</i>			
<i>Facility-Category 2</i>			
Mount Airy #1, LLC	License Renewed	8/22/2012	8/21/2015
<i>Key Employee</i>			
Darlene Y Mattis	Approved for Licensure	1/9/2013	1/8/2016
David Matthew Mullen	Approved for Licensure	11/8/2012	11/7/2015
Dennis Asselta	Approved for Licensure	9/14/2011	9/13/2014
Frances Kneisc	Approved for Licensure	6/13/2012	6/12/2015
John Culetsu	Approved for Licensure	9/14/2011	9/13/2014
Joseph Louis DeNaples	Approved for Licensure	6/26/2013	6/25/2016
Michael Edward Jordan	Approved for Licensure	8/18/2011	8/17/2014
Vincent L. Jordan	Approved for Licensure	5/23/2012	5/22/2015
Zeng Huang	Approved for Licensure	9/12/2012	9/11/2015
Allan W. Swantek	Inactive-Approved for Licensure	1/5/2012	9/13/2014
James William Tuthill	Inactive-Approved for Licensure	3/7/2013	8/17/2014
Michelle A Zimmerman	Inactive-Approved for Licensure	8/9/2012	11/21/2014
Tonia Ribble Lewis	Inactive-Approved for Licensure	2/18/2014	7/31/2015
Wyval Rosamilia	Inactive-Approved for Licensure	8/13/2012	11/21/2014
Andrew C. Barth	Inactive-Renewed	8/26/2011	8/17/2014
Amy L. Ferrara	License Renewed	8/18/2011	8/17/2014
Charles B. Miller	License Renewed	10/30/2013	10/29/2016
Eric M. Talipan	License Renewed	8/18/2011	8/17/2014
Gerard Coggins	License Renewed	8/18/2011	8/17/2014
Henry Patrick Burke	License Renewed	8/18/2011	8/17/2014
Lianne L.P. Asbury	License Renewed	1/9/2013	1/8/2016
Marie T. Sauers	License Renewed	10/30/2013	10/29/2016
Mark Williams	License Renewed	8/18/2011	8/17/2014
Matthew G. Magda	License Renewed	6/26/2013	6/25/2016
Paul J. Edwards	License Renewed	10/9/2013	10/8/2016
Richard W. Whitby	License Renewed	10/30/2013	10/29/2016
Robert J. Phillips	License Renewed	9/18/2013	9/17/2016
Shontae R. Vallejo	License Renewed	8/18/2011	8/17/2014
Vincent M. Viola	License Renewed	10/9/2013	10/8/2016
Edmondo Granci	Renewal App Pending	2/19/2013	
John C. Carroll	Renewal App Pending	5/28/2013	
<i>Principal</i>			
Angelina Dileo	Approved for Licensure	8/22/2012	8/21/2015
Anne E. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Christina M. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Dominica P. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Dominick L. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Dominique Dileo	Approved for Licensure	8/22/2012	8/21/2015
Donna D. Dileo	Approved for Licensure	8/22/2012	8/21/2015

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Elizabeth M. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Gabrielle A. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Izabella S. Glodzik	Approved for Licensure	8/22/2012	8/21/2015
Julian S. Glodzik	Approved for Licensure	8/22/2012	8/21/2015
Louis A. DeNaples III	Approved for Licensure	8/22/2012	8/21/2015
Louis A. DeNaples, Jr.	Approved for Licensure	8/22/2012	8/21/2015
Nicola S. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Paul D. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Saverio S. DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Sophia S. Glodzik	Approved for Licensure	8/22/2012	8/21/2015
Thomas Patrick Cummings Sr	Approved for Licensure	12/6/2011	12/5/2014
Lisa A. DeNaples	License Renewed	8/22/2012	8/21/2015
Lawrence L. Cole	Renewal App Pending	10/9/2013	
Lucian Patrick Ross	Renewal App Pending	9/24/2013	
<i>Principal Entity</i>			
Grantor Trust - II of Anne DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Grantor Trust - II of Dominica DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Grantor Trust - II of Donna DiLeo	Approved for Licensure	8/22/2012	8/21/2015
Grantor Trust - II of Louis D. DeNaples, Jr.	Approved for Licensure	8/22/2012	8/21/2015
Trust - II f/b/o Children of Margaret Mary Glodzik	Approved for Licensure	8/22/2012	8/21/2015
Trust - II f/b/o Children of Nicholas DeNaples	Approved for Licensure	8/22/2012	8/21/2015
Grantor Trust - II of Lisa DeNaples	License Renewed	8/22/2012	8/21/2015
Mount Airy Holdco LLC	License Renewed	8/22/2012	8/21/2015
<i>PA Gaming Ventures, LLC</i>			
<i>Affiliate</i>			
Penn National Gaming, Inc.	Pending	11/15/2012	
Philadelphia Casino Benefit Corp.	Pending	11/15/2012	
<i>Facility-Category 2</i>			
PA Gaming Ventures, LLC	Pending	11/15/2012	
<i>Principal</i>			
Barbara Z. Shattuck	Pending	11/15/2012	
Desiree Ann Burke	Pending	11/15/2012	
Donna Nicoletti Ferrier	Pending	11/15/2012	
Francis T. Donaghue	Pending	11/15/2012	
Gregg William Hart	Pending	11/15/2012	
Harold Cramer	Pending	11/15/2012	
Jay Anthony Snowden	Pending	11/15/2012	
John M. Jacquemin	Pending	11/15/2012	
John V. Finamore	Pending	11/15/2012	
Jordan B. Savitch	Pending	11/15/2012	
Joseph Domenico	Pending	11/15/2012	
Joseph Ferrier	Pending	3/1/2013	
Kyle Martin Sr	Pending	11/15/2012	
Lori Anne Peruto	Pending	11/15/2012	
Mark Robert Nicoletti	Pending	11/15/2012	
Peter M. Carlino	Pending	11/15/2012	
Robert S. Ippolito	Pending	11/15/2012	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Saul Reibstein	Pending	11/15/2012	
Timothy J. Wilmott	Pending	11/15/2012	
Wesley Edens	Pending	11/15/2012	
Steven Todd Snyder	Request for Withdrawal Pending	12/9/2013	
William J. Clifford	Request for Withdrawal Pending	12/9/2013	
<i>Principal Entity</i>			
Baron Capital Group, Inc.and its subsidiaries	Notification Received	12/17/2012	
Harris Associates L.P.	Notification Received	12/19/2012	
PAR Capital Management, Inc. (investment advisor to PAR Investment Partners LP)	Notification Received	10/23/2013	
Delvest Corp.	Pending	12/17/2012	
FIF V PFD LLC	Pending	11/15/2012	
J.D. Shore Financial LLC	Pending	2/13/2013	
The Carlino Family Trust	Pending	11/15/2012	
The Nicoletti Family Trust	Pending	3/1/2013	
<i>PHL Local Gaming, LLC</i>			
<i>Facility-Category 2</i>			
PHL Local Gaming, LLC	Pending	11/16/2012	
<i>Principal</i>			
Barry James Edmonson	Pending	2/8/2013	
Bennett Perry Lomax	Pending	2/8/2013	
Craig Frederick Sullivan	Pending	2/8/2013	
Harlan Gordon Oppenheim	Pending	2/8/2013	
John P. Burke	Pending	2/8/2013	
Joseph Gabriel Procacci	Pending	11/15/2012	
Joseph Justin Canfora	Pending	11/15/2012	
Joseph M. Procacci	Pending	8/6/2013	
Mark Andrew Sterbens Sr	Pending	2/8/2013	
Peter Anthony Ferro Jr	Pending	2/8/2013	
Rita Marie Neczypor	Pending	7/24/2013	
Teresa Procacci	Pending	7/24/2013	
Teresa Ann Canfora	Pending	2/14/2013	
Vincent Peter Haley	Pending	7/24/2013	
Walter Thomas Lomax	Pending	12/4/2013	
<i>Principal Entity</i>			
Estate of Walter P. Lomax, Jr.	Pending	12/5/2013	
J2RP Capital, LLC	Pending	2/15/2013	
Joseph G. Procacci Irrevocable Trust	Pending	7/24/2013	
Pleasant Hill Partners, LLC	Pending	2/8/2013	
<i>Sands Bethworks Gaming, LLC</i>			
<i>Affiliate</i>			
BethWorks FP, LLC	Renewal App Pending	12/28/2012	
BethWorks GGQ, LLC	Renewal App Pending	12/28/2012	
BethWorks Now, LLC	Renewal App Pending	12/28/2012	
Las Vegas Sands Corporation	Renewal App Pending	12/27/2012	
Las Vegas Sands, LLC	Renewal App Pending	12/28/2012	
Sands Pennsylvania, Inc.	Renewal App Pending	12/28/2012	



<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Venetian Casino Resort, LLC	Renewal App Pending	12/28/2012	
<i>Facility-Category 2</i>			
Sands Bethworks Gaming, LLC	Renewal App Pending	12/28/2012	
<i>Key Employee</i>			
Albert Leckerman	Approved for Licensure	8/21/2013	8/20/2016
Bart Anthony Algozzini	Approved for Licensure	2/20/2013	2/19/2016
Beau Yeoman	Approved for Licensure	1/29/2013	1/28/2016
David Jeremy Faust	Approved for Licensure	10/13/2011	10/12/2014
James L. Dougherty	Approved for Licensure	2/20/2013	2/19/2016
Karen Louise Slotter	Approved for Licensure	3/23/2011	3/22/2014
Laura Chow	Approved for Licensure	1/29/2013	1/28/2016
Lisa Ann Csondor	Approved for Licensure	4/28/2011	4/27/2014
Jessica Ashley Allen	Expired	1/5/2014	1/5/2014
Joshua Robert Mill	Expired	1/5/2014	1/5/2014
Karen Denise Winns	Expired	1/5/2014	1/5/2014
Lisa Marie Chirichella	Expired	1/5/2014	1/5/2014
Michael John Burke	Expired	1/5/2014	1/5/2014
Richard Edward Snyder	Expired	1/5/2014	1/5/2014
David Neil Terry	License Renewed	2/20/2013	2/19/2016
Denise M. Galloway	License Renewed	12/20/2011	12/19/2014
Douglas Scott Niethold	License Renewed	10/9/2013	10/8/2016
Kathleen Marie McCracken	License Renewed	2/20/2013	2/19/2016
Kevin W. Brady	License Renewed	1/18/2012	1/17/2015
Michael David Trageser	License Renewed	1/29/2013	1/28/2016
Michele D. Trageser	License Renewed	8/18/2011	8/17/2014
Richard George Tony	License Renewed	1/29/2013	1/28/2016
Robert John DeSalvio	License Renewed	8/18/2011	8/17/2014
Calvin Quach	Pending	10/19/2012	
Frank Playo	Pending	1/11/2013	
Charlene V Munoz	Renewal App Pending	5/21/2013	
John Joseph Kennedy	Renewal App Pending	5/21/2013	
<i>Principal</i>			
Christopher John James Cahill	Approved for Licensure	1/29/2013	1/28/2016
Gayle Madilee Hyman	Approved for Licensure	6/13/2012	6/12/2015
Ira Raphaelson	Approved for Licensure	1/29/2013	1/28/2016
Irwin Chafetz	Approved for Licensure	6/26/2013	6/25/2016
Jeffrey Howard Schwartz	Approved for Licensure	12/20/2011	12/19/2014
John Peter Caparella	Approved for Licensure	7/11/2012	7/10/2015
Michael A. Leven	Approved for Licensure	10/13/2011	10/12/2014
Michael Alan Quartieri	Approved for Licensure	2/8/2012	2/7/2015
Robert C Rubenstein	Approved for Licensure	4/28/2011	4/27/2014
Timothy Dennis Stein	Approved for Licensure	4/28/2011	4/27/2014
Timothy Edwards Notaro	Approved for Licensure	11/20/2012	11/19/2015
Gary Steven Hernishin	Inactive-Approved for Licensure	6/14/2013	4/27/2014
Kenneth Jeffrey Kay	Inactive-Approved for Licensure	12/11/2013	11/21/2014
Kimberly Kay McCabe	Inactive-Approved for Licensure	11/6/2013	4/27/2014
Daniel William Eitnier	License Renewed	9/18/2013	9/17/2016

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
James C. Schwartzman	License Renewed	9/18/2013	9/17/2016
Jonathan Ian Solomon	Pending	3/1/2013	
Leslie Marcel Ottolenghi	Pending	8/6/2013	
Barry M. Gosin	Renewal App Pending	12/31/2012	
Frederick H. Kraus	Renewal App Pending	12/28/2012	
Irwin A. Siegel	Renewal App Pending	12/27/2012	
James D. Kuhn	Renewal App Pending	12/28/2012	
Jason N. Ader	Renewal App Pending	12/27/2012	
Jeffrey Howard Schwartz	Renewal App Pending	12/27/2012	
Michael A. Leven	Renewal App Pending	12/28/2012	
Michael J. Perrucci	Renewal App Pending	12/28/2012	
Miriam Ochshorn Adelson	Renewal App Pending	8/17/2012	
Pasquale T. Deon	Renewal App Pending	12/27/2012	
Richard S. Fischbein	Renewal App Pending	12/27/2012	
Robert G. Goldstein	Renewal App Pending	12/27/2012	
Sheldon G. Adelson	Renewal App Pending	12/28/2012	
<i>Principal Entity</i>			
Sheldon G. Adelson 2007 Friends and Family Trust	Approved for Licensure	2/20/2013	2/19/2016
Sheldon G. Adelson 2007 Remainder Trust	Approved for Licensure	2/20/2013	2/19/2016
Sheldon G. Adelson December 2008 Three Year LVS Annuity Trust	Approved for Licensure	4/28/2011	4/27/2014
<i>Stadium Casino, LLC</i>			
<i>Affiliate</i>			
Greenwood Racing, Inc.	Pending	11/15/2012	
International Turf Investment Company, Inc.	Pending	11/15/2012	
Koorungal Holdings B.V.	Pending	11/15/2012	
Koorungal Holdings Curacao N.V.	Pending	11/15/2012	
Stadium Casino Baltimore Investors, LLC	Pending	11/15/2012	
Stadium Casino Investors, LLC	Pending	11/15/2012	
<i>Facility-Category 2</i>			
Stadium Casino, LLC	Pending	11/16/2012	
<i>Principal</i>			
Anthony D. Ricci, Jr.	Pending	11/15/2012	
Aram Vatche Manoukian	Pending	11/15/2012	
Blake Louis Cordish	Pending	11/15/2012	
Bryan Eugene Bartlett	Pending	2/6/2013	
Charles Franklin Jacobs	Pending	11/15/2012	
David Charles Budd	Pending	11/16/2012	
James Lane	Pending	11/15/2012	
Jonathan Ashley Cordish	Pending	11/15/2012	
Joseph Sidney Weinberg	Pending	11/15/2012	
Joseph William Wilson	Pending	11/15/2012	
Karnig Wache Manoukian	Pending	11/15/2012	
Reed Sanders Cordish	Pending	11/15/2012	
Richard J. Kendle	Pending	11/15/2012	
Robert W. Green	Pending	11/15/2012	
Terrence A. Everett	Pending	11/15/2012	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Thomas C. Bonner	Pending	11/15/2012	
Watche A. Manoukian	Pending	11/15/2012	
William E. Hogwood	Pending	11/15/2012	
Yeghiche Watche Manoukian	Pending	11/15/2012	
<i>Principal Entity</i>			
Cordish Family II, LLC	Pending	11/15/2012	
ITIC/ITAC LLC	Pending	11/15/2012	
Rock Limited	Pending	11/15/2012	
Sterling Fiduciary Services, Inc.	Pending	11/15/2012	
Sterling Investors Trust	Pending	11/15/2012	
<i>Sugarhouse HSP Gaming, LP</i>			
<i>Affiliate</i>			
Sugarhouse HSP Gaming Finance Corp.	Approved for Licensure	3/23/2011	3/22/2014
2002 AGB Family Dynasty Trust	License Renewed	10/13/2011	10/12/2014
2002 LNB Family Dynasty Trust	License Renewed	10/13/2011	10/12/2014
2005 AAA Trust	License Renewed	10/13/2011	10/12/2014
High Penn Gaming, LLC	License Renewed	10/13/2011	10/12/2014
High Penn Gaming, LP	License Renewed	10/13/2011	10/12/2014
HP Gaming Partners, LP	License Renewed	10/13/2011	10/12/2014
HSP Gaming, LP	License Renewed	10/13/2011	10/12/2014
Meredith A. Bluhm-Wolf 2006 Family GST Trust	License Renewed	10/13/2011	10/12/2014
Neil G. Bluhm Family Descendants Trust	License Renewed	10/13/2011	10/12/2014
RMP Gaming, LLC	License Renewed	10/13/2011	10/12/2014
RMP Gaming, LP	License Renewed	10/13/2011	10/12/2014
RPRS Gaming, LLC	License Renewed	10/13/2011	10/12/2014
RPRS Gaming, LP	License Renewed	10/13/2011	10/12/2014
Sugarhouse HSP Gaming Prop. GP, LLC	License Renewed	10/13/2011	10/12/2014
Sugarhouse HSP Gaming Prop. Holdings GP, LLC	License Renewed	10/13/2011	10/12/2014
Sugarhouse HSP Gaming Prop. Holdings, LP	License Renewed	10/13/2011	10/12/2014
Sugarhouse HSP Gaming Prop. Mezz GP, LLC	License Renewed	10/13/2011	10/12/2014
Sugarhouse HSP Gaming Prop. Mezz, LP	License Renewed	10/13/2011	10/12/2014
Sugarhouse HSP Gaming Finance Corp.	Renewal App Pending	2/4/2014	
<i>Facility-Category 2</i>			
Sugarhouse HSP Gaming, LP	License Renewed	10/13/2011	10/12/2014
<i>Key Employee</i>			
Anthony P. Dilacqua	Approved for Licensure	5/23/2012	5/22/2015
Charles Steven Sanderson	Approved for Licensure	4/24/2013	4/23/2016
Janice Marie Swank	Approved for Licensure	10/13/2011	10/12/2014
Jeffrey M. Lear	Approved for Licensure	11/22/2011	11/21/2014
John A. Ranere Jr	Approved for Licensure	1/18/2012	1/17/2015
Kathleen Elaine Jones	Approved for Licensure	8/21/2013	8/20/2016
Leigh Nicole Whitaker	Approved for Licensure	1/9/2013	1/8/2016
Linda M Powers	Approved for Licensure	5/25/2011	5/24/2014
Lorraine K. Koc	Approved for Licensure	6/26/2013	6/25/2016
Lynette M Lee	Approved for Licensure	11/22/2011	11/21/2014
Mary Denise Harris	Approved for Licensure	1/9/2013	1/8/2016
Mary L. Cheeks	Approved for Licensure	11/22/2011	11/21/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Patricia Sue Tuck	Approved for Licensure	12/20/2011	12/19/2014
Randi Lynn Talley	Approved for Licensure	11/22/2011	11/21/2014
Robert Gerard Christopher	Approved for Licensure	4/3/2013	4/2/2016
Robert Louis Smith Jr	Approved for Licensure	1/9/2013	1/8/2016
Rosemarie A. Cook	Approved for Licensure	11/22/2011	11/21/2014
Suzanne Mary Trout	Approved for Licensure	8/1/2012	7/31/2015
Tamitha T Dinkins	Approved for Licensure	2/8/2012	2/7/2015
Thomas John Scott	Approved for Licensure	11/22/2011	11/21/2014
Timothy Joseph Drehkoff	Approved for Licensure	8/21/2013	8/20/2016
Wendy A. Hamilton	Approved for Licensure	9/14/2011	9/13/2014
William Larmour	Approved for Licensure	9/14/2011	9/13/2014
Zelletta Marie Wyatt	Approved for Licensure	4/24/2013	4/23/2016
George Ciechanowski	Inactive-Approved for Licensure	11/22/2011	9/13/2014
Robert D Williams	Inactive-Approved for Licensure	2/6/2014	11/7/2015
Erin M. McMenamin	License Renewed	5/23/2012	5/22/2015
Jesse Eugene Schell	License Renewed	1/18/2012	1/17/2015
Joshua Ryker Risley	Pending	8/5/2013	
Lisa Susanne Reilly	Renewal App Pending	5/28/2013	
Nicholas C. Kontonicolas	Renewal App Pending	5/28/2013	
<i>Principal</i>			
David G. Patent	Approved for Licensure	8/18/2011	8/17/2014
Joseph Richard Scibetta	Approved for Licensure	10/13/2011	10/12/2014
Alexander Brockway Potamkin	License Renewed	10/13/2011	10/12/2014
Alura L. Potamkin	License Renewed	10/13/2011	10/12/2014
Andrew G. Bluhm	License Renewed	10/13/2011	10/12/2014
Anna B. Wolf	License Renewed	10/13/2011	10/12/2014
Ayla Potamkin	License Renewed	10/13/2011	10/12/2014
Barbara A. Sprague	License Renewed	10/13/2011	10/12/2014
Cooper B. Bluhm	License Renewed	10/13/2011	10/12/2014
Daniel J. Keating	License Renewed	10/13/2011	10/12/2014
Emmett G. Bluhm	License Renewed	10/13/2011	10/12/2014
Gregory A. Carlin	License Renewed	10/13/2011	10/12/2014
Hudson J. Bluhm	License Renewed	10/13/2011	10/12/2014
James M. Wolf	License Renewed	10/13/2011	10/12/2014
Jerry Johnson	License Renewed	10/13/2011	10/12/2014
Leslie N. Bluhm	License Renewed	10/13/2011	10/12/2014
Lexie H. Potamkin	License Renewed	10/13/2011	10/12/2014
Meredith A. Bluhm-Wolf	License Renewed	10/13/2011	10/12/2014
Neil G. Bluhm	License Renewed	10/13/2011	10/12/2014
Nicholas B. Helfand	License Renewed	10/13/2011	10/12/2014
Richard A. Sprague	License Renewed	10/13/2011	10/12/2014
Robert M. Potamkin	License Renewed	10/13/2011	10/12/2014
Thomas A. Sprague	License Renewed	10/13/2011	10/12/2014
William G. Helfand	License Renewed	10/13/2011	10/12/2014
William H. Lamb	License Renewed	10/13/2011	10/12/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Principal Entity</i>			
High Penn Oversight GP, LLC	Approved for Licensure	10/13/2011	10/12/2014
High Penn Oversight, LP	Approved for Licensure	10/13/2011	10/12/2014
Rush Street Gaming Partners, LLC	Approved for Licensure	9/14/2011	9/13/2014
Rush Street Gaming, LLC	Approved for Licensure	9/14/2011	9/13/2014
LAMB Company, LLC	License Renewed	10/13/2011	10/12/2014
Lamb Partners	License Renewed	10/13/2011	10/12/2014
<i>Tower Entertainment, LLC</i>			
<i>Affiliate</i>			
GFIL Holdings, LLC	Pending	2/14/2013	
Isle of Capri Casinos, Inc.	Pending	2/14/2013	
Tower Gaming, LLC	Pending	11/13/2012	
<i>Facility-Category 2</i>			
Tower Entertainment, LLC	Pending	11/13/2012	
<i>Principal</i>			
Elizabeth Anne Tranchina	Approved for Licensure	1/8/2014	1/7/2017
Alan J. Glazer	Pending	2/15/2013	
Arnold Lee Block	Pending	2/15/2013	
Barton Ira Blatstein	Pending	11/13/2012	
Dale R. Black	Pending	2/15/2013	
Edmund L Quatmann Jr	Pending	2/15/2013	
James Benn Perry	Pending	2/15/2013	
Jeffrey D. Goldstein	Pending	2/15/2013	
Richard A. Goldstein	Pending	2/14/2013	
Robert S. Goldstein	Pending	2/15/2013	
Scott E. Schubert	Pending	2/14/2013	
Timothy A. Ilsley	Pending	2/14/2013	
Virginia M. McDowell	Pending	2/14/2013	
<i>Principal Entity</i>			
B.I. Isle Partnership, L.P.	Pending	2/15/2013	
Goldstein Group, Inc.	Pending	2/14/2013	
<i>Wynn PA, Inc.</i>			
<i>Principal</i>			
John Hagenbuch	Withdrawn	1/8/2014	
<i>Principal Entity</i>			
Marsico Capital Management, LLC	Notification Received	12/14/2012	
Waddell & Reed Investment Management Co; Ivy Investment Management Company	Notification Received	11/16/2012	

**Facility-Category 3 Application***Valley Forge Convention Center Partners, L.P.**Affiliate*

CMS Gaming GP, LLC	Approved for Licensure	4/28/2011	4/27/2014
CMS Gaming Partners Q, L.P.	Approved for Licensure	4/28/2011	4/27/2014
CMS VF GP, LLC	Approved for Licensure	4/28/2011	4/27/2014
CMS VF Partners, L.P.	Approved for Licensure	4/28/2011	4/27/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Key Employee</i>			
Alexis Luis Figueras	Approved for Licensure	4/11/2012	4/10/2015
Anthony Spagno	Approved for Licensure	11/20/2012	11/19/2015
Gilbert L. Morrissey III	Approved for Licensure	6/5/2013	6/4/2016
Jennifer Reese	Approved for Licensure	4/3/2013	4/2/2016
Leslie Silva	Approved for Licensure	4/3/2013	4/2/2016
Michael Joseph Gartner	Approved for Licensure	6/13/2012	6/12/2015
Michael Stephen Bowman	Approved for Licensure	11/20/2012	11/19/2015
Nicole Fawn Head	Approved for Licensure	6/5/2013	6/4/2016
Rosemarie Cope	Approved for Licensure	5/15/2013	5/14/2016
Van Q Chau	Approved for Licensure	10/9/2013	10/8/2016
Victoria L. Tilton	Approved for Licensure	7/10/2013	5/22/2015
William Francis Mikus	Approved for Licensure	6/13/2012	6/12/2015
Brian P. Reynolds	Inactive-Renewed	11/19/2012	8/17/2014
Normand J. Mullan	Inactive-Renewed	10/17/2013	4/2/2016
Jules Vorndran	Pending	7/5/2013	
Michael Rodriguez	Renewal App Pending	1/20/2012	
Joseph Mark Busby	Request for Withdrawal Pending	10/24/2012	
<i>Principal</i>			
Richard T. Aljian	Approved for Licensure	7/17/2013	7/16/2016
Tommy Rosenfeld	Approved for Licensure	8/18/2011	8/17/2014
William A Landman	Approved for Licensure	4/28/2011	4/27/2014
Barbara Evans	License Renewed	8/18/2011	8/17/2014
Ira M. Lubert	License Renewed	8/18/2011	8/17/2014
Jonathan Lubert	License Renewed	8/18/2011	8/17/2014
Kenneth Kochenour	License Renewed	8/18/2011	8/17/2014
Michael Heller	License Renewed	8/18/2011	8/17/2014
<i>Principal Entity</i>			
CANAM Enterprises, LLC	Approved for Licensure	8/18/2011	8/17/2014
CanAm PA GP V, LLC	Approved for Licensure	8/18/2011	8/17/2014
CanAm Pennsylvania Regional Center, LLC	Approved for Licensure	8/18/2011	8/17/2014
Carpenters Pension and Annuity Fund of Philadelphia and Vicinity	Approved for Licensure	5/25/2011	5/24/2014
CMS VRE II Partners	Approved for Licensure	4/28/2011	4/27/2014
ILVF Consulting GP, LLC	Approved for Licensure	9/12/2012	9/11/2015
ILVF Consulting, LP	Approved for Licensure	8/1/2012	7/31/2015
Pennsylvania Regional Center, LP V	Approved for Licensure	8/18/2011	8/17/2014
Valley Forge Colonial Limited Partnership	License Renewed	8/18/2011	8/17/2014
Valley Forge Convention Center Partners GP, LLC	License Renewed	8/18/2011	8/17/2014
VF Colonial GP, LLC	License Renewed	8/18/2011	8/17/2014
VF TLS Funding, LLC	Pending	10/30/2013	
<i>Woodlands Fayette, LLC</i>			
<i>Affiliate</i>			
2001 Irrevocable Trust for Margaret H. Magerko	Approved for Licensure	4/14/2011	4/13/2014
GFIL Holdings, LLC	Approved for Licensure	1/9/2013	1/8/2016
Isle of Capri Casinos, Inc.	Approved for Licensure	1/9/2013	1/8/2016
Nemacolin Woodlands, Inc.	Approved for Licensure	4/14/2011	4/13/2014

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
2001 Irrevocable Trust for Margaret H. Magerko	Renewal App Pending	2/19/2014	
Nemacolin Woodlands, Inc.	Renewal App Pending	2/19/2014	
<i>Key Employee</i>			
Amanda Marie Loveland	Approved for Licensure	4/24/2013	4/23/2016
Christopher Robin Schroder	Approved for Licensure	6/5/2013	6/4/2016
Danielle Marie Grimley	Approved for Licensure	6/5/2013	6/4/2016
James David Haston	Approved for Licensure	11/20/2013	11/19/2016
Jennifer Lynn Netherland	Approved for Licensure	9/18/2013	9/17/2016
Merryan G. Rutherford	Approved for Licensure	6/26/2013	6/25/2016
Michael Paul Giunti	Approved for Licensure	9/18/2013	9/17/2016
Michael Robert Prokop	Approved for Licensure	6/5/2013	6/4/2016
Richard Martin Laudon	Approved for Licensure	6/26/2013	6/25/2016
David B Davison	Inactive-Approved for Licensure	10/16/2013	8/17/2014
Mark Edward Starrett	Inactive-Approved for Licensure	9/30/2013	8/17/2014
Delora Reyes Winchell	Pending	5/30/2013	
Francis Paul Ciuffetelli	Pending	4/11/2013	
James Luden	Pending	4/23/2013	
Jason Douglas Brandl	Pending	4/18/2013	
Joseph Michael Neely	Pending	9/18/2013	
Leeza B. Patel-Malinowski	Pending	5/14/2013	
Patricia Lynn Kleuskens	Pending	4/23/2013	
Richard L Edmunds	Pending	10/16/2013	
Ronda Vanata	Pending	4/11/2013	
Roy Edwin Evans Jr	Pending	9/23/2013	
Stacey Ann Kehm	Pending	5/20/2013	
Stephen Lyon Orloff	Pending	4/18/2013	
Sarah Ann Fish	Request for Withdrawal Pending	2/12/2014	
<i>Principal</i>			
Alan J. Glazer	Approved for Licensure	1/9/2013	1/8/2016
Arnold Lee Block	Approved for Licensure	1/9/2013	1/8/2016
Cheri Lee Bomar	Approved for Licensure	4/14/2011	4/13/2014
Dale R. Black	Approved for Licensure	1/9/2013	1/8/2016
Douglas D. Burkhalter	Approved for Licensure	1/9/2013	1/8/2016
Edmund I. Quatmann Jr	Approved for Licensure	1/9/2013	1/8/2016
Elizabeth Anne Tranchina	Approved for Licensure	1/8/2014	1/7/2017
James Benn Perry	Approved for Licensure	1/9/2013	1/8/2016
Jeffrey D. Goldstein	Approved for Licensure	1/9/2013	1/8/2016
Joseph Alexander Hardy III	Approved for Licensure	4/14/2011	4/13/2014
Lee S. Wielansky	Approved for Licensure	1/9/2013	1/8/2016
Margaret Ann Magerko	Approved for Licensure	4/14/2011	4/13/2014
Peter J. Magerko	Approved for Licensure	4/14/2011	4/13/2014
Richard A. Goldstein	Approved for Licensure	1/9/2013	1/8/2016
Robert S. Goldstein	Approved for Licensure	1/9/2013	1/8/2016
Scott E. Schubert	Approved for Licensure	1/9/2013	1/8/2016
Timothy A. Ilsley	Approved for Licensure	1/9/2013	1/8/2016
Virginia M. McDowell	Approved for Licensure	1/9/2013	1/8/2016
Jeanne-Marie Wilkins	Pending	4/18/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Mary J. Britsch	Pending	5/20/2013	
Stacy Beth Dewalt	Pending	8/26/2013	
Cheri Lee Bomar	Renewal App Pending	2/19/2014	
Joseph Alexander Hardy III	Renewal App Pending	2/19/2014	
Margaret Ann Magerko	Renewal App Pending	2/19/2014	
Peter J. Magerko	Renewal App Pending	2/19/2014	
<i>Principal Entity</i>			
B.I. Isle Partnership, L.P.	Approved for Licensure	1/9/2013	1/8/2016
Goldstein Group, Inc.	Approved for Licensure	1/9/2013	1/8/2016
Addison Clark Management, L.L.C.	Notification Received	12/14/2012	
Thompson, Siegel & Walmsley LLC	Notification Received	8/5/2010	
<b>Slot Machine Manufacturer Application</b>			
<i>Ainsworth Game Technology Limited</i>			
<i>Key Employee</i>			
John Fredric Glaser	Approved for Licensure	2/29/2012	2/27/2015
<i>Principal</i>			
David Hugh Macintosh	Approved for Licensure	11/20/2013	11/19/2016
Michael Bruce Yates	Approved for Licensure	5/23/2012	5/22/2015
Daniel E. Gladstone	License Renewed	11/20/2013	11/19/2016
Graeme J. Campbell	License Renewed	11/20/2013	11/19/2016
Ian W. Cooper	License Renewed	11/20/2013	11/19/2016
Leonard H. Ainsworth	License Renewed	11/20/2013	11/19/2016
Margarete C. Ainsworth	License Renewed	11/20/2013	11/19/2016
Mark L. Ludski	License Renewed	11/20/2013	11/19/2016
Paul Y.S. Teng	License Renewed	11/20/2013	11/19/2016
Stewart L. Wallis	License Renewed	11/20/2013	11/19/2016
Vincenzo C Bruzzese	License Renewed	11/20/2013	11/19/2016
Colin John Henson	Pending	7/31/2013	
<i>Principal Entity</i>			
Associated World Investments Pty. Ltd.	License Renewed	11/20/2013	11/19/2016
Votrant No. 1019 Pty. Limited (Trustee for Braesyde Superannuation Fund)	License Renewed	11/20/2013	11/19/2016
<i>Slot Machine Manufacturer</i>			
Ainsworth Game Technology Limited	License Renewed	11/20/2013	11/19/2016
<i>Aristocrat Technologies Australia Pty. Limited</i>			
<i>Affiliate</i>			
Aristocrat Holdings Pty. Ltd	Renewal App Pending	3/12/2013	
Aristocrat Leisure Limited	Renewal App Pending	2/5/2013	
<i>Principal</i>			
David Craig Philip Banks	Approved for Licensure	4/11/2012	4/10/2015
Ian David Blackburne	Approved for Licensure	11/22/2011	11/21/2014
Lewis Gerald Flock	Approved for Licensure	4/11/2012	4/10/2015
Antonia Korsanos	Renewal App Pending	2/5/2013	
James R. Odell	Renewal App Pending	2/5/2013	
Paul L.H. Ainsworth	Renewal App Pending	2/5/2013	
Roger A. Davis	Renewal App Pending	2/5/2013	
Tracey L. Elkerton	Renewal App Pending	2/5/2013	



<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Principal Entity</i>			
AXA Asia Pacific Holdings Limited	Notification Received	6/9/2008	
Commonwealth Bank Of Australia	Notification Received	7/18/2008	
Concord Capital Limited	Notification Received	9/11/2008	
IIOF Holdings Ltd	Notification Received	12/14/2007	
Lezard Asset Management Pacific Co.	Notification Received	9/11/2008	
Maple-Brown Abbott Limited	Notification Received	8/13/2008	
National Bank of Australia	Notification Received	9/11/2008	
Sumitomo Mitsui Trust Holdings, Inc.	Notification Received	9/23/2011	
The Capital Group Companies, Inc.	Notification Received	7/18/2008	
Westpac Banking Corp.	Notification Received	4/22/2008	
Writeman Pty. Limited	Renewal App Pending	2/5/2013	
<i>Slot Machine Manufacturer</i>			
Aristocrat Technologies Australia Pty. Limited	Renewal App Pending	2/5/2013	
<i>Aruze Gaming America, Inc.</i>			
<i>Key Employee</i>			
Marek Ted Pluta	Pending	11/25/2013	
<i>Principal</i>			
Kazuo NMN Okada	Pending	9/21/2007	
Martha Patrica Schuessler	Pending	11/25/2013	
Richard Michael Pennington	Pending	2/4/2011	
Robert B. Ziems	Pending	3/12/2013	
Roy KelcyAlexander Allisson	Pending	11/25/2013	
Shingo NMN Shinozaki	Pending	11/25/2013	
Yoshiharu Kawaji	Pending	10/24/2008	
Yoshihito NMN Oike	Pending	11/25/2013	
<i>Slot Machine Manufacturer</i>			
Aruze Gaming America, Inc.	Pending	2/28/2006	
<i>Atlantic City Coin &amp; Slot Service Company, Inc.</i>			
<i>Key Employee</i>			
Anthony Joseph Sicari	Inactive-Approved for Licensure	12/12/2012	8/17/2014
<i>Ditronics Financial Services, LLC</i>			
<i>Affiliate</i>			
The Vasilakos Family Trust UDT 12/9/92	Pending	5/8/2013	
<i>Principal</i>			
George James Vasilakos	Pending	4/2/2013	
George Steven Vasilakos	Pending	4/2/2013	
Margaret Anna Vasilakos	Pending	4/2/2013	
Virginia Fetyko Vasilakos	Pending	5/8/2013	
<i>Slot Machine Manufacturer</i>			
Ditronics Financial Services, LLC	Pending	4/2/2013	
<i>Global Cash Access, Inc.</i>			
<i>Affiliate</i>			
Global Access Holdings, Inc.	Renewal App Pending	12/20/2013	
<i>Key Employee</i>			
Michael J. Aughney	License Renewed	1/8/2014	1/7/2017

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Principal</i>			
David Lopez	Approved for Licensure	9/18/2013	9/17/2016
David D. Johnson	Approved for Licensure	5/23/2012	5/22/2015
Mark Foster Labay	Approved for Licensure	11/8/2012	11/7/2015
Mary Elizabeth Higgins	Approved for Licensure	11/8/2012	11/7/2015
Michael D. Rumbolz	Approved for Licensure	5/23/2012	5/22/2015
David J. Lucchese	License Renewed	4/3/2013	4/2/2016
Randy Lee Taylor	Pending	3/25/2013	
Ronald Vincent Congemi	Pending	7/1/2013	
E. Miles Kilburn	Renewal App Pending	12/20/2013	
Fred C. Enlow	Renewal App Pending	12/20/2013	
Geoffrey Perona Judge	Renewal App Pending	12/20/2013	
<i>Principal Entity</i>			
BlackRock, Inc.	Notification Received	4/19/2010	
Columbia Management Investment Advisers, LLC	Notification Received	8/6/2012	
FMR Corp.	Notification Received	4/19/2010	
Huber Capital Management LLC	Notification Received	3/14/2012	
Opus Capital Group, LLC	Notification Received	6/20/2013	
Private Capital Management, L.P.	Notification Received	10/26/2011	
Summit Partners	Notification Received	4/6/2010	
The Vanguard Group, Inc	Notification Received	10/19/2012	
Thompson, Siegel & Walmsley LLC	Notification Received	8/5/2010	
Wells Capital Management, Incorporated	Notification Received	4/19/2010	
Wolf Opportunity Fund, Ltd.	Notification Received	4/29/2011	
<i>Slot Machine Manufacturer</i>			
Western Money Systems	Expired	2/23/2014	2/23/2014
Global Cash Access, Inc.	Renewal App Pending	12/20/2013	
<i>GTECH Canada ULC</i>			
<i>Affiliate</i>			
B&D Holding di Marco Drago e C.S.a.p.a.	Pending	10/5/2012	
Blu Acquario Prima S.p.A.	Pending	2/25/2013	
De Agostini S.p.A.	Renewal App Pending	8/28/2013	
GTECH S.p.A.	Renewal App Pending	8/28/2013	
<i>Principal</i>			
Carlo Enrico Ferrari Ardicini	Approved for Licensure	4/14/2011	4/13/2014
Alberto Boroli	Renewal App Pending	8/28/2013	
Alberto Ferdinando Maria Toffoletto	Renewal App Pending	8/28/2013	
Andrea Boroli	Renewal App Pending	1/4/2013	
Anthony L. Watson	Renewal App Pending	8/28/2013	
Chiara M.G. Boroli	Renewal App Pending	8/28/2013	
Giorgio G.C. Drago	Renewal App Pending	8/28/2013	
Lino Benassi	Renewal App Pending	8/28/2013	
Luke Kenneth Orchard	Renewal App Pending	10/24/2013	
Marco Boroli	Renewal App Pending	8/28/2013	
Marco Drago	Renewal App Pending	8/28/2013	
Marco Sala	Renewal App Pending	8/28/2013	
Paolo Boroli	Renewal App Pending	8/28/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Paolo Ceretti	Renewal App Pending	8/28/2013	
Pietro Boroli	Renewal App Pending	8/28/2013	
Rachel Barber	Renewal App Pending	9/6/2013	
Renzo Lorenzo Pellicoli	Renewal App Pending	8/28/2013	
Roberto Drago	Renewal App Pending	8/28/2013	
Victor Duarte	Renewal App Pending	8/28/2013	
<i>Principal Entity</i>			
DeA Partecipazioni, S.p.A.	Pending	2/7/2013	
<i>Slot Machine Manufacturer</i>			
GTECH Canada ULC	Renewal App Pending	8/28/2013	
<i>GTECH Corporation</i>			
<i>Affiliate</i>			
B&D Holding di Marco Drago e C.S.a.p.a.	Pending	10/5/2012	
Blu Acquario Prima S.p.A.	Pending	2/25/2013	
De Agostini S.p.A.	Renewal App Pending	8/28/2013	
GTECH Holdings Corporation	Renewal App Pending	8/28/2013	
GTECH S.p.A.	Renewal App Pending	8/28/2013	
Invest Games S.A.	Renewal App Pending	8/28/2013	
<i>Key Employee</i>			
Robin Drummond	Renewal App Pending	8/28/2013	
<i>Principal</i>			
Alberto Dessy	Approved for Licensure	10/9/2013	10/8/2016
Carlo Enrico Ferrari Ardicini	Approved for Licensure	4/14/2011	4/13/2014
Gianmario T. Da Ruos	Approved for Licensure	11/20/2013	11/19/2016
Matthew James Whalen	Approved for Licensure	6/5/2013	6/4/2016
Walter Giacomo Bugno	Approved for Licensure	12/6/2011	12/5/2014
Francesco Dominic Cecchini	Inactive-Approved for Licensure	10/30/2013	12/5/2014
Donald R. Sweitzer	License Renewed	10/9/2013	10/8/2016
Alberto Fornaro	Pending	2/1/2012	
Claudio Marco Demolli	Pending	12/19/2012	
Declan J. Harkin	Pending	10/10/2013	
Donatella Busso	Pending	8/10/2012	
Fabio Celadon	Pending	10/10/2013	
Francis P. Ward, Jr.	Pending	10/10/2013	
Paolo Tacchini	Pending	10/29/2013	
Renato Ascoli	Pending	6/13/2013	
Shawn Michelle Yetter	Pending	11/5/2013	
Alan T. Eland	Renewal App Pending	8/28/2013	
Alberto Boroli	Renewal App Pending	8/28/2013	
Alberto Ferdinando Maria Toffoletto	Renewal App Pending	9/27/2013	
Andrea Boroli	Renewal App Pending	1/4/2013	
Anthony L. Watson	Renewal App Pending	8/28/2013	
Chiara M.G. Boroli	Renewal App Pending	8/28/2013	
Giorgio G.C. Drago	Renewal App Pending	8/28/2013	
Jaymin B. Patel	Renewal App Pending	8/28/2013	
Lino Benassi	Renewal App Pending	8/28/2013	
Luke Kenneth Orchard	Renewal App Pending	10/29/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Marco Boroli	Renewal App Pending	8/28/2013	
Marco Drago	Renewal App Pending	8/28/2013	
Marco Sala	Renewal App Pending	8/28/2013	
Michael K. Prescott	Renewal App Pending	8/28/2013	
Paolo Boroli	Renewal App Pending	8/28/2013	
Paolo Ceretti	Renewal App Pending	8/28/2013	
Pietro Boroli	Renewal App Pending	8/28/2013	
Rachel Barber	Renewal App Pending	8/28/2013	
Renzo Lorenzo Pelliccioli	Renewal App Pending	8/28/2013	
Roberto Drago	Renewal App Pending	8/28/2013	
Victor Duarte	Renewal App Pending	8/28/2013	
<i>Principal Entity</i>			
FMR Corp	Notification Received	12/18/2007	
Mediobanca, SP	Notification Received	2/27/2008	
DeA Partecipazioni, S.p.A.	Pending	9/14/2011	
Investendo Due S.r.l.	Pending	10/9/2013	
Investendo Due S.r.l.	Pending	10/9/2013	
Investendo Due S.r.l.	Pending	10/9/2013	
<i>Slot Machine Manufacturer</i>			
GTECH Corporation	Renewal App Pending	8/28/2013	
<i>GTECH USA, LLC</i>			
<i>Affiliate</i>			
B&D Holding di Marco Drago e C.S.a.p.a.	Pending	10/5/2012	
Blu Acquario Prima S.p.A.	Pending	2/25/2013	
De Agostini S.p.A.	Renewal App Pending	8/28/2013	
GTECH S.p.A.	Renewal App Pending	8/28/2013	
<i>Key Employee</i>			
Michelle Lewis	License Renewed	8/21/2013	8/20/2016
<i>Principal</i>			
Carlo Enrico Ferrari Ardicini	Approved for Licensure	4/14/2011	4/13/2014
Alberto Boroli	Renewal App Pending	8/28/2013	
Alberto Ferdinando Maria Toffoletto	Renewal App Pending	8/28/2013	
Carlo Enrico Ferrari Ardicini	Renewal App Pending	2/19/2014	
Chiara M.G. Boroli	Renewal App Pending	8/28/2013	
Christine M. Masino	Renewal App Pending	9/3/2013	
Giorgio G.C. Drago	Renewal App Pending	8/28/2013	
Lino Benassi	Renewal App Pending	8/28/2013	
Luke Kenneth Orchard	Renewal App Pending	9/3/2013	
Marco Boroli	Renewal App Pending	8/28/2013	
Marco Drago	Renewal App Pending	8/28/2013	
Marco Sala	Renewal App Pending	8/28/2013	
Paolo Boroli	Renewal App Pending	8/28/2013	
Paolo Ceretti	Renewal App Pending	8/28/2013	
Pietro Boroli	Renewal App Pending	8/28/2013	
Renzo Lorenzo Pelliccioli	Renewal App Pending	8/28/2013	
Roberto Drago	Renewal App Pending	8/28/2013	
Victor Duarte	Renewal App Pending	9/5/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Principal Entity</i>			
DeA Partecipazioni, S.p.A.	Pending	9/14/2011	
<i>Slot Machine Manufacturer</i>			
GTECH USA, LLC	Renewal App Pending	9/3/2013	
<i>IGT</i>			
<i>Affiliate</i>			
International Game Technology	License Renewed	3/9/2011	3/8/2014
International Game Technology	Renewal App Pending	1/8/2014	
<i>Key Employee</i>			
Adam Michael Cascais	Approved for Licensure	11/20/2012	11/19/2015
Anthony E. Sofran	License Renewed	11/20/2012	11/19/2015
George P. Kerrigan	License Renewed	3/9/2011	3/8/2014
Kenneth E. Kachnic	License Renewed	11/20/2012	11/19/2015
Joseph Anton Sigrist	Pending	11/27/2013	
Andre Lewis Brunette	Renewal App Pending	1/16/2013	
Christopher Benten Howey	Request for Withdrawal Pending	11/7/2013	
<i>Principal</i>			
Darrell Thomas Rodriguez	Approved for Licensure	9/18/2013	9/17/2016
Eric A. Berg	Approved for Licensure	8/22/2012	8/21/2015
Janice Durbin Chaffin	Approved for Licensure	4/11/2012	4/10/2015
John Matthew Vandemore	Approved for Licensure	4/24/2013	4/23/2016
Paget L. Alves	Approved for Licensure	4/14/2011	4/13/2014
Philip Glen Satre	Approved for Licensure	3/9/2011	3/8/2014
Robert Carey Melendres	Approved for Licensure	3/9/2011	3/8/2014
Vincent Louis Sadusky	Approved for Licensure	2/8/2012	2/7/2015
Eric Paul Tom	License Renewed	5/23/2012	5/22/2015
Michelle A. Chatigny	License Renewed	3/9/2011	3/8/2014
Patti S. Hart	License Renewed	3/9/2011	3/8/2014
Eric F. Brown	Pending	9/30/2013	
Paul Clement Gracey Jr	Pending	11/26/2012	
Michelle A. Chatigny	Renewal App Pending	1/8/2014	
Patti S. Hart	Renewal App Pending	1/8/2014	
Philip Glen Satre	Renewal App Pending	1/8/2014	
<i>Principal Entity</i>			
American Century Mutual Funds, Inc.	Notification Received	5/10/2006	
BlackRock, Inc	Notification Received	2/5/2010	
Capital World Investors	Notification Received	2/25/2008	
Gates, Capital Management, Inc.	Notification Received	2/19/2014	
Private Capital Management, L.P.	Notification Received	8/3/2005	
Prudential Financial, Inc.	Notification Received	3/25/2013	
T. Rowe Price Associates, Inc.	Notification Received	2/7/2008	
The Vanguard Group, Inc.	Notification Received	3/2/2012	
<i>Slot Machine Manufacturer</i>			
IGT	License Renewed	3/9/2011	3/8/2014
IGT	Renewal App Pending	1/9/2014	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Table Game Manufacturer</i>			
IGT	License Renewed	3/9/2011	3/8/2014
IGT	Renewal App Pending	1/8/2014	
<i>Konami Gaming, Inc.</i>			
<i>Affiliate</i>			
Konami Corporation	License Renewed	12/20/2011	12/19/2014
Konami Corporation of America	License Renewed	12/20/2011	12/19/2014
Kozuki Capital Corporation	License Renewed	12/20/2011	12/19/2014
Kozuki Foundation	License Renewed	12/20/2011	12/19/2014
Kozuki Holding, B.V.	License Renewed	12/20/2011	12/19/2014
Stichting Administratiekantoor Kozuki Foundation d/b/a Kozuki Foundation	License Renewed	12/20/2011	12/19/2014
The Kozuki Trust	License Renewed	12/20/2011	12/19/2014
<i>Principal</i>			
Clark A. Warren	Approved for Licensure	10/30/2013	10/29/2016
Ross Angus O'Hanley	Approved for Licensure	12/20/2011	12/19/2014
Scott Jerald Richards	Approved for Licensure	12/20/2011	12/19/2014
Akira Gemma	License Renewed	12/20/2011	12/19/2014
Hiroyuki Mizuno	License Renewed	12/20/2011	12/19/2014
Kagemasa Kozuki	License Renewed	12/20/2011	12/19/2014
Kagetsugi Kozuki	License Renewed	12/20/2011	12/19/2014
Kimihiko Higashio	License Renewed	12/20/2011	12/19/2014
Noriaki Yamaguchi	License Renewed	12/20/2011	12/19/2014
Ryoichi Kimura	License Renewed	12/20/2011	12/19/2014
Satoshi Sakamoto	License Renewed	12/20/2011	12/19/2014
Stephen Sutherland	License Renewed	12/20/2011	12/19/2014
Takuya Kozuki	License Renewed	12/20/2011	12/19/2014
Thomas A. Jingoli	License Renewed	12/20/2011	12/19/2014
Thomas E. Soukup	License Renewed	12/20/2011	12/19/2014
Tomokazu Godai	License Renewed	12/20/2011	12/19/2014
Yoko Kozuki	License Renewed	12/20/2011	12/19/2014
Yuji Taniguchi	License Renewed	12/20/2011	12/19/2014
Samuel Frank Constantino	Pending	5/12/2011	
<i>Principal Entity</i>			
Mitsubishi UFJ Financial Group, Inc.	Notification Received	7/3/2012	
<i>Slot Machine Manufacturer</i>			
Konami Gaming, Inc.	License Renewed	12/20/2011	12/19/2014
<i>Table Game Manufacturer</i>			
Konami Gaming, Inc.	License Renewed	12/20/2011	12/19/2014
<i>Lightning Gaming, Inc.</i>			
<i>Key Employee</i>			
Christopher George Strano	Renewal App Pending	12/5/2012	
<i>Principal</i>			
Brian D. Haveson	Renewal App Pending	11/29/2011	
Donald R. Caldwell	Renewal App Pending	11/29/2011	
Frederick C. Tecce	Renewal App Pending	11/29/2011	

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<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Slot Machine Manufacturer</i> Lightning Gaming, Inc.	Renewal App Pending	11/29/2011	
<i>MicroFirst Associates, Inc.</i> <i>Key Employee</i> Ryan Paul Randazzo	Renewal App Pending	4/23/2013	
<i>Principal</i> John D. Scarpa	License Renewed	5/2/2012	5/1/2015
<i>Slot Machine Manufacturer</i> MicroFirst Associates, Inc.	License Renewed	5/2/2012	5/1/2015
<i>Multimedia Games, Inc.</i> <i>Affiliate</i> Multimedia Games Holding Company, Inc.	License Renewed	10/9/2013	10/8/2016
<i>Key Employee</i> Micki D. Roemer	Approved for Licensure	5/2/2012	5/1/2015
David C. Hartman	License Renewed	1/8/2014	1/7/2017
Philip Howard Sherwood	Pending	8/7/2012	
<i>Principal</i> Adam NMN Chibib	License Renewed	10/9/2013	10/8/2016
Joaquin Jesus Aviles	License Renewed	10/9/2013	10/8/2016
Justin Albert Orlando	License Renewed	10/9/2013	10/8/2016
Michael James Maples Sr	License Renewed	10/9/2013	10/8/2016
Patrick J. Ramsey	License Renewed	10/9/2013	10/8/2016
Robert Delaney Repass	License Renewed	10/9/2013	10/8/2016
Stephen James Greathouse	License Renewed	10/9/2013	10/8/2016
Todd Francis McTavish	Pending	2/15/2013	
<i>Principal Entity</i> BlackRock, Inc	Notification Received	3/15/2011	
Eagle Asset Management	Notification Received	3/6/2013	
Epoch Investment Partners, Inc.	Notification Received	3/30/2012	
Royce & Associates, LLC	Notification Received	1/6/2011	
The Baupost Group, L.L.C.	Notification Received	8/9/2011	
<i>Slot Machine Manufacturer</i> Multimedia Games, Inc.	License Renewed	10/9/2013	10/8/2016
<i>NRT Technology Corp.</i> <i>Affiliate</i> Dominet Corp.	Renewal App Pending	4/19/2013	
<i>Key Employee</i> Rosa Laricchia	Renewal App Pending	9/20/2012	
<i>Principal</i> Ji-In Shin	Inactive-Approved for Licensure	8/9/2013	7/10/2015
James E. Grundy	Renewal App Pending	4/1/2013	
John A. Dominelli	Renewal App Pending	4/1/2013	
Raffaele S. Lombardi	Renewal App Pending	4/1/2013	
<i>Slot Machine Manufacturer</i> NRT Technology Corp.	Renewal App Pending	4/19/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Progressive Gaming International Corporation</i>			
<i>Principal Entity</i>			
Delta Partners, LLC	Notification Received	11/2/2007	
Janus Capital Management, LLC	Notification Received	12/18/2008	
Matthes Capital Management, LLC	Notification Received	12/18/2008	
Silver Point Capital, L.P.	Notification Received	7/31/2007	
Third Point LLC	Notification Received	3/25/2008	
Weiss Multi-Strategy Advisers LLC	Notification Received	12/18/2008	
Wells Capital Management, Incorporated	Notification Received	10/10/2006	
William Blair & Company, LLC	Notification Received	1/25/2008	
<i>Scientific Games International, Inc.</i>			
<i>Affiliate</i>			
RLX Holdings Two LLC	Pending	11/20/2012	
MacAndrews & Forbes Holdings Inc.	Renewal App Pending	2/28/2013	
Scientific Games Corporation	Renewal App Pending	2/22/2013	
SGMS Acquisition Corporation	Renewal App Pending	2/28/2013	
SGMS Acquisition Two Corporation	Renewal App Pending	4/11/2013	
<i>Key Employee</i>			
Scott Stewart	Approved for Licensure	3/21/2012	3/20/2015
<i>Principal</i>			
Jeffrey Johnson	Approved for Licensure	11/20/2012	11/19/2015
Timothy Murphy	Approved for Licensure	4/24/2013	4/23/2016
Brooks Pierce	Pending	1/18/2013	
Frances Townsend	Pending	2/12/2014	
John Sarno	Pending	2/21/2013	
Paul Meister	Pending	8/23/2012	
Steven Fasman	Pending	11/1/2012	
Alison Horowitz	Renewal App Pending	2/28/2013	
Barry Schwartz	Renewal App Pending	2/28/2013	
Brennen Lawrence	Renewal App Pending	2/22/2013	
David Kennedy	Renewal App Pending	2/22/2013	
Floyd Clarke	Renewal App Pending	2/22/2013	
James Kennedy	Renewal App Pending	2/22/2013	
Jeffrey Lipkin	Renewal App Pending	2/22/2013	
Larry Potts	Renewal App Pending	2/22/2013	
Michael Borofsky	Renewal App Pending	2/22/2013	
Michael Regan	Renewal App Pending	2/22/2013	
Paul Savas	Renewal App Pending	2/22/2013	
Peter Cohen	Renewal App Pending	4/3/2013	
Philip Bauer	Renewal App Pending	2/22/2013	
Robert Becker	Renewal App Pending	3/11/2013	
Rodney Hill	Renewal App Pending	2/22/2013	
Ronald Perelman	Renewal App Pending	2/28/2013	
Steven Beason	Renewal App Pending	2/22/2013	
Steven Saferin	Renewal App Pending	2/22/2013	
William Huntley	Renewal App Pending	2/22/2013	
Allen Weil	Request for Withdrawal Pending	12/11/2013	



<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Principal Entity</i>			
BlackRock, Inc	Notification Received	1/24/2011	
Fine Capital Partners, L.P.	Notification Received	7/26/2012	
Schroder Investment Management North America	Notification Received	1/24/2011	
Wells Capital Management, Incorporated	Notification Received	1/14/2011	
<i>Slot Machine Manufacturer</i>			
Scientific Games International, Inc.	Renewal App Pending	2/22/2013	
<i>SHFL entertainment, Inc.</i>			
<i>Principal</i>			
Alfred Randall Thoman	Request to Surrender License	12/5/2013	7/16/2016
Daniel Michael Wade	Request to Surrender License	12/5/2013	2/7/2015
Eileen Fein Raney	Request to Surrender License	12/5/2013	7/16/2016
Garry W. Saunders	Request to Surrender License	12/5/2013	6/12/2015
John R. Bailey	Request to Surrender License	12/5/2013	6/12/2015
Linster Walter Fox	Request to Surrender License	12/5/2013	11/21/2014
Michael G. Isaacs	Request to Surrender License	12/5/2013	7/16/2016
<i>Principal Entity</i>			
Barclays Global Investors NA and Barclays Global Fund Advisors	Notification Received	4/4/2007	
Baron Capital Group, Inc.	Notification Received	4/10/2007	
BlackRock, Inc.	Notification Received	2/8/2010	
Citadel Limited Partnership	Notification Received	5/30/2007	
Columbia Wanger Asset Management, L.P.	Notification Received	4/13/2007	
Eagle Asset Management	Notification Received	1/8/2010	
EdgePoint Investment Group Inc.	Notification Received	2/22/2012	
FMR Corp.	Notification Received	5/10/2007	
Franklin Resources Inc.	Notification Received	2/22/2008	
Kayne Anderson Rudnick Investment Mgmt, LLC	Notification Received	4/13/2007	
OppenheimerFunds, Inc.	Notification Received	2/22/2008	
Private Capital Management, LP	Notification Received	4/23/2007	
Serengeti Asset Management LP	Notification Received	10/2/2008	
T. Rowe Price Associates, Inc.	Notification Received	7/1/2008	
The Bank of New York Mellon Corp.	Notification Received	2/22/2012	
The Vanguard Group, Inc.	Notification Received	2/22/2012	
Transamerica Investment Management, LLC	Notification Received	4/13/2007	
Wells Fargo and Company	Notification Received	1/27/2009	
William Blair & Company, L.L.C.	Notification Received	2/4/2008	
<i>Slot Machine Manufacturer</i>			
SHFL entertainment, Inc.	License Renewed	6/13/2012	6/12/2015
<i>Table Game Manufacturer</i>			
SHFL entertainment, Inc.	License Renewed	6/13/2012	6/12/2015
<i>WMS Gaming Inc.</i>			
<i>Affiliate</i>			
RLX Holdings Two LLC	Pending	1/13/2014	
MacAndrews & Forbes Holdings Inc.	Renewal App Pending	1/13/2014	
Scientific Games Corporation	Renewal App Pending	1/13/2014	
SGMS Acquisition Corporation	Renewal App Pending	1/13/2014	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
SGMS Acquisition Two Corporation	Renewal App Pending	1/13/2014	
WMS Industries, Inc.	Renewal App Pending	3/13/2013	
<i>Key Employee</i>			
Kevin M Brewster	Approved for Licensure	6/26/2013	6/25/2016
Louis J Dorbian	Approved for Licensure	4/24/2013	4/23/2016
Robert Reed	Approved for Licensure	4/24/2013	4/23/2016
Robert David Bone	Inactive-Approved for Licensure	12/30/2013	5/14/2016
David T Waffle Jr	Pending	1/13/2014	
Richard R. Riehm	Pending	10/3/2012	
Scott Richard Staby	Pending	3/28/2013	
Brian E. Clayton	Renewal App Pending	3/13/2013	
<i>Principal</i>			
Jeffrey Johnson	Approved for Licensure	11/20/2012	11/19/2015
Timothy Murphy	Approved for Licensure	4/24/2013	4/23/2016
Larry Pacey	License Renewed	6/26/2013	6/25/2016
Lisa DeJesus-Condon	License Renewed	6/26/2013	6/25/2016
Robert J. Bahash	License Renewed	10/30/2013	10/29/2016
Anatoly Belkin	Pending	6/5/2013	
Brooks Pierce	Pending	1/13/2014	
John P. McNicholas, Jr.	Pending	1/13/2014	
Matthew Howard Paull	Pending	4/4/2013	
Paul Meister	Pending	1/13/2014	
Steven Fasman	Pending	1/13/2014	
Alison Horowitz	Renewal App Pending	1/13/2014	
Barry Schwartz	Renewal App Pending	1/13/2014	
Brian R. Gamache	Renewal App Pending	3/13/2013	
David Kennedy	Renewal App Pending	1/13/2014	
Edward W. Rabin, Jr.	Renewal App Pending	3/13/2013	
Floyd Clarke	Renewal App Pending	1/13/2014	
Jeffrey Lipkin	Renewal App Pending	11/4/2013	
John Sarno	Renewal App Pending	11/4/2013	
Kathleen J. McJohn	Renewal App Pending	3/13/2013	
Larry Potts	Renewal App Pending	1/13/2014	
Michael Borofsky	Renewal App Pending	1/13/2014	
Michael Regan	Renewal App Pending	1/13/2014	
Orrin J. Edidin	Renewal App Pending	3/14/2013	
Paul Savas	Renewal App Pending	1/13/2014	
Peter Cohen	Renewal App Pending	1/13/2014	
Robert Becker	Renewal App Pending	1/13/2014	
Ronald Perelman	Renewal App Pending	1/13/2014	
Scott D. Schweinfurth	Renewal App Pending	3/13/2013	
Steven Beason	Renewal App Pending	1/13/2014	
William Huntley	Renewal App Pending	11/4/2013	
William J. Vareschi	Renewal App Pending	3/13/2013	
Kenneth Lochiatto	Request for Withdrawal Pending	1/6/2014	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Principal Entity</i>			
Artisan Partners Limited Partnership	Notification Received	1/9/2013	
Barclays Global Investors NA	Notification Received	4/20/2009	
BlackRock, Inc	Notification Received	3/16/2011	
Citadel Advisors LLC	Notification Received	4/20/2009	
FMR Corp.	Notification Received	2/23/2007	
Janus Captial Management, LLC	Notification Received	10/6/2011	
Kornitzer Capital Management	Notification Received	3/17/2008	
Kornitzer Capital Management	Notification Received	7/29/2009	
T. Rowe Price	Notification Received	4/5/2007	
The Vanguard Group, Inc	Notification Received	1/7/2013	
Turner Investment Partners, Inc.	Notification Received	4/6/2007	
WestChester Capital Management, LLC	Notification Received	10/2/2013	
<i>Slot Machine Manufacturer</i>			
WMS Gaming Inc.	Renewal App Pending	3/13/2013	
<b>Slot Machine Manufacturer Designee Application</b>			
<i>Innovative Business Concepts, Inc.</i>			
<i>Principal</i>			
Bonnie Jenel McCann	Pending	7/16/2013	
Jennifer Pauline Briggs	Pending	7/16/2013	
<i>Slot Machine Manufacturer Designee</i>			
Innovative Business Concepts, Inc.	Pending	7/16/2013	
<i>NRT Technologies, Inc.</i>			
<i>Affiliate</i>			
Dominet Corp.	Pending	5/31/2013	
NRT Technology Corp.	Pending	5/31/2013	
<i>Principal</i>			
John A. Dominelli	Pending	5/31/2013	
<i>Slot Machine Manufacturer Designee</i>			
NRT Technologies, Inc.	Pending	5/30/2013	
<b>Slot Machine Supplier Application</b>			
<i>Advanced Gaming Associates, LLC</i>			
<i>Principal</i>			
Anthony R. Tomasello, Jr.	License Renewed	10/10/2012	10/9/2015
<i>Slot Machine Supplier</i>			
Advanced Gaming Associates, LLC	License Renewed	10/10/2012	10/9/2015
<i>Happ Controls, Inc.</i>			
<i>Affiliate</i>			
ACON Suzo-Happ Investments, LP	Pending	1/11/2013	
ACON Suzo-Happ Management, LLC	Pending	12/3/2012	
ACON Suzo-Happ, LLC	Pending	12/3/2012	
Happ Acquisition, Inc.	Pending	12/19/2012	
<i>Principal</i>			
Bernard Aronson	Pending	10/3/2012	
Frank Lee Happ	Pending	6/10/2011	
James Brendel	Pending	9/7/2011	
James Norton	Pending	4/23/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
John Underwood	Pending	4/23/2013	
Jonathan Ginns	Pending	10/3/2012	
Kenneth Brotman	Pending	10/3/2012	
Matthew Ray Brown	Pending	11/15/2012	
Randall A. Fine	Pending	10/16/2012	
Suma Kulkarni	Pending	10/16/2012	
<i>Principal Entity</i>			
Happ Controls II, LLC	Pending	1/7/2013	
<i>Slot Machine Supplier</i>			
Happ Controls, Inc.	Pending	6/10/2011	
<i>KGM Gaming, LLC</i>			
<i>Key Employee</i>			
Eric P. Schulman	Approved for Licensure	1/29/2013	1/28/2016
Joshua Robert Faish	Approved for Licensure	11/8/2012	11/7/2015
<i>Principal</i>			
Jason E. Cohen	License Renewed	11/8/2012	11/7/2015
Howard J. Weiss	Renewal App Pending	8/29/2013	
Jason M. Peters	Renewal App Pending	8/29/2013	
Michael A. Frattone	Renewal App Pending	10/8/2013	
<i>Slot Machine Supplier</i>			
KGM Gaming, LLC	Renewal App Pending	8/29/2013	
<i>Modern Gaming Pennsylvania, LLC</i>			
<i>Key Employee</i>			
Brian David Hartmann	License Renewed	7/11/2012	7/10/2015
<i>Principal</i>			
Jason Roy DeGrandmaison	Renewal App Pending	12/12/2013	
Michael T. Tessmer	Renewal App Pending	12/12/2013	
<i>Slot Machine Supplier</i>			
Modern Gaming Pennsylvania, LLC	Renewal App Pending	12/12/2013	
<i>TDN Money Systems</i>			
<i>Principal</i>			
Edward Joseph Hannon Jr	License Renewed	10/13/2011	10/12/2014
Richard Carmen Orlando	License Renewed	10/13/2011	10/12/2014
<i>Slot Machine Supplier</i>			
TDN Money Systems	License Renewed	10/13/2011	10/12/2014
<i>Table Game Supplier</i>			
TDN Money Systems	License Renewed	10/13/2011	10/12/2014
<b>Table Game Manufacturer Application</b>			
<i>Angel Playing Cards Mfg Co., Ltd.</i>			
<i>Principal</i>			
Takayyoshi Tsuji	Pending	1/29/2013	
Yasushi Shigeta	Pending	1/29/2013	
Yuji Hirano	Pending	1/29/2013	
<i>Table Game Manufacturer</i>			
Angel Playing Cards Mfg Co., Ltd.	Conditional	1/29/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>Aristocrat Technologies, Incorporated</i>			
<i>Affiliate</i>			
Aristocrat Leisure Limited	Pending	2/5/2013	
Aristocrat International Pty. Ltd.	Renewal App Pending	3/12/2013	
<i>Key Employee</i>			
Robert A. Perry	Approved for Licensure	7/20/2011	7/19/2014
Stephen Frank Castine	License Renewed	4/24/2013	4/23/2016
Kelly L. Shaw	Renewal App Pending	2/5/2013	
<i>Principal</i>			
Mark Richard Dunn	Approved for Licensure	11/8/2012	11/7/2015
Richard Jay Schneider	Approved for Licensure	11/8/2012	11/7/2015
Constance Purcell James	Pending	12/2/2013	
Antonia Korsanos	Renewal App Pending	3/12/2013	
James R. Odell	Renewal App Pending	2/5/2013	
Kathleen A. Worley	Renewal App Pending	2/5/2013	
Paul L.H. Ainsworth	Renewal App Pending	2/5/2013	
Roger A. Davis	Renewal App Pending	2/5/2013	
Tracey L. Elkerton	Renewal App Pending	2/5/2013	
Atul Bali	Request for Withdrawal Pending	2/25/2014	
Seamus M. McGill	Withdrawn	1/8/2014	
<i>Principal Entity</i>			
Capital Research and Management Company	Notification Received	7/30/2007	
Ellerston Capital Limited	Notification Received	6/24/2013	
National Australia Bank Limited	Notification Received	7/13/2012	
Writeman Pty. Limited	Renewal App Pending	2/5/2013	
<i>Slot Machine Manufacturer</i>			
Aristocrat Technologies, Incorporated	Renewal App Pending	2/5/2013	
<i>Table Game Manufacturer</i>			
Aristocrat Technologies, Incorporated	License Renewed	12/20/2011	12/19/2014
Aristocrat Technologies, Incorporated	Renewal App Pending	2/5/2013	
<i>Bally Gaming, Inc.</i>			
<i>Affiliate</i>			
Alliance Holding Company	License Renewed	5/25/2011	5/24/2014
Bally Gaming International, Inc.	License Renewed	5/25/2011	5/24/2014
Bally Technologies, Inc.	License Renewed	5/25/2011	5/24/2014
<i>Key Employee</i>			
Robert Joseph Parente	Approved for Licensure	12/20/2011	12/19/2014
Deron James Hunsberger	Inactive-Approved for Licensure	1/31/2014	5/24/2014
Brian R. Pierce	License Renewed	9/18/2013	9/17/2016
Gerald J. McGowan	License Renewed	9/18/2013	9/17/2016
Peter J. Wichterman	License Renewed	9/18/2013	9/17/2016
Stanley J. Kozlowski	License Renewed	9/18/2013	9/17/2016
Thomas Reilly	License Renewed	9/18/2013	9/17/2016
Thomas M. Santoro	License Renewed	9/18/2013	9/17/2016
<i>Principal</i>			
Derik Jon Mooberry	Approved for Licensure	12/20/2011	12/19/2014
Josephine Linden	Approved for Licensure	9/18/2013	9/17/2016

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Kathryn Sarah Lever	Approved for Licensure	7/17/2013	7/16/2016
Nathan John Wadds	Approved for Licensure	2/8/2012	2/7/2015
Walter Eldon Eisele	Approved for Licensure	10/13/2011	10/12/2014
William McKenna	Approved for Licensure	4/24/2013	4/23/2016
David B. Robbins	License Renewed	5/25/2011	5/24/2014
Kevin L. Verner	License Renewed	5/25/2011	5/24/2014
Marc P. Comella	License Renewed	5/25/2011	5/24/2014
Mark D. Lerner	License Renewed	5/25/2011	5/24/2014
Michael J. Mitchell	License Renewed	5/25/2011	5/24/2014
Neil Davidson	License Renewed	5/25/2011	5/24/2014
Ramesh Srinivasan	License Renewed	5/25/2011	5/24/2014
Richard M. Hadrill	License Renewed	5/25/2011	5/24/2014
Robert L. Guido	License Renewed	5/25/2011	5/24/2014
Roger M Snow	License Renewed	6/13/2012	6/12/2015
Tina M. Kilmer	License Renewed	5/25/2011	5/24/2014
<i>Principal Entity</i>			
BlackRock, Inc	Notification Received	2/5/2010	
Columbia Management Investment Advisers, LLC	Notification Received	4/7/2011	
Columbia Wanger Asset Management, L.P.	Notification Received	5/10/2006	
Eagle Asset Management	Notification Received	8/10/2009	
FMR Corp.	Notification Received	3/23/2007	
Fred Alger Management, Inc	Notification Received	10/19/2007	
Highline Capital Management	Notification Received	12/11/2007	
Lazard Asset Management, LLC	Notification Received	5/10/2006	
Neuberger Berman Group LLC	Notification Received	3/4/2013	
Penn Capital Management	Notification Received	7/1/2008	
Private Capital Management, L.P.	Notification Received	5/10/2006	
S.A.C. Capital Advisors, LLC and others	Notification Received	2/26/2008	
The Vanguard Group, Inc.	Notification Received	5/29/2012	
Wellington Management Company	Notification Received	12/8/2009	
<i>Slot Machine Manufacturer</i>			
Bally Gaming, Inc.	License Renewed	5/25/2011	5/24/2014
<i>Table Game Manufacturer</i>			
Bally Gaming, Inc.	License Renewed	5/25/2011	5/24/2014
<i>CountR GmbH</i>			
<i>Principal</i>			
Domink Dieter Johannes Winau	Pending	7/27/2012	
Rainer Helmut Seyer	Pending	7/27/2012	
<i>Table Game Manufacturer</i>			
CountR GmbH	Pending	7/27/2012	
<i>DEQ Systems Corp.</i>			
<i>Principal</i>			
Alexandre Philippe Lattes	Renewal App Pending	10/8/2013	
David Jacques	Renewal App Pending	10/8/2013	
Earle Gerard Hall	Renewal App Pending	10/15/2013	
Francois Proulx	Renewal App Pending	10/8/2013	
Genevieve Cossette	Renewal App Pending	10/8/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Herve Francois Eschasseriau	Renewal App Pending	10/8/2013	
Joseph Michael Telesmanic	Renewal App Pending	10/8/2013	
<i>Principal Entity</i>			
Caisse De Depot Et Placement Du Quebec	Notification Received	9/11/2013	
Pyramis Global Advisors, LLC (PGALLC) [Asset Mgmt Co to Fidelity Invmts]	Notification Received	6/12/2012	
<i>Table Game Manufacturer</i>			
DEQ Systems Corp.	Renewal App Pending	10/8/2013	
<i>Elektroncek d.d.</i>			
<i>Affiliate</i>			
Elektroncek Group B.V.	License Renewed	2/29/2012	2/28/2015
<i>Principal</i>			
Petra Vidmar	Approved for Licensure	2/29/2012	2/28/2015
Joze Pececnik	License Renewed	2/29/2012	2/28/2015
Rok Uhan	License Renewed	2/29/2012	2/28/2015
Tomaz Zvipelj	License Renewed	2/29/2012	2/28/2015
<i>Table Game Manufacturer</i>			
Elektroncek d.d.	License Renewed	2/29/2012	2/28/2015
<i>Gemaco, Inc</i>			
<i>Affiliate</i>			
GemGroup, Inc	License Renewed	11/8/2012	11/7/2015
<i>Key Employee</i>			
Brandon Lee Green	Pending	1/14/2014	
<i>Principal</i>			
Danny Ray Carpenter	License Renewed	11/8/2012	11/7/2015
Diana Kaye Summers	License Renewed	11/8/2012	11/7/2015
Jason Allen Fitzhugh	License Renewed	11/8/2012	11/7/2015
Leesa Ann Nichols	License Renewed	11/8/2012	11/7/2015
Paul Desmond Quinlan	License Renewed	11/8/2012	11/7/2015
<i>Table Game Manufacturer</i>			
Gemaco, Inc	License Renewed	11/8/2012	11/7/2015
<i>Genesis Gaming Solutions, Inc.</i>			
<i>Principal</i>			
Alton Eric Schoppe	Pending	12/30/2013	
John William Knust Jr	Pending	12/30/2013	
Randall Lee Knust	Pending	12/30/2013	
Richard Patrick Garza	Pending	12/30/2013	
<i>Table Game Manufacturer</i>			
Genesis Gaming Solutions, Inc.	Pending	12/23/2013	
<i>Giesecke &amp; Devrient America, Inc.</i>			
<i>Affiliate</i>			
Giesecke & Devrient GmbH	Pending	11/18/2011	
<i>Key Employee</i>			
Paul Alger Cragin	Pending	1/3/2012	
<i>Principal</i>			
Celia Jutta Eva Maria von Mitschke-Collande	Pending	4/29/2013	
Gabriel Markus Adam Maria von Mitschke-Collande	Pending	4/29/2013	

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Hans Wolfgang Kunz	Pending	2/12/2013	
John Scott Marquardt	Pending	7/7/2011	
Kevin John Fitzgerald	Pending	1/18/2012	
Marian Christoph Siegfried Adam von Mitschke-Collande	Pending	4/29/2013	
Sylvius Ludwig Adam Maria von Mitschke-Collande	Pending	4/29/2013	
Verena von Mitschke-Collande	Pending	1/3/2012	
<i>Table Game Manufacturer</i>			
Giesecke & Devrient America, Inc.	Request to Surrender License	1/7/2014	
<i>GPI Mexicana S.A. de C.V.</i>			
<i>Affiliate</i>			
Gaming Partners International Corporation	License Renewed	7/17/2013	7/16/2016
Gaming Partners International USA, Inc.	License Renewed	7/17/2013	7/16/2016
Holding Wilson S.A.	License Renewed	7/17/2013	7/16/2016
<i>Principal</i>			
Alain Marc Thieffry	License Renewed	7/17/2013	7/16/2016
Charles Robert Henry	License Renewed	7/17/2013	7/16/2016
Elisabeth Elaine Carrette	License Renewed	7/17/2013	7/16/2016
Eric Paul Endy	License Renewed	7/17/2013	7/16/2016
Franciso Javier Moreno Sanchez	License Renewed	7/17/2013	7/16/2016
Gerard Pierre Charlier	License Renewed	7/17/2013	7/16/2016
Gregory Scott Gronau	License Renewed	7/17/2013	7/16/2016
Jean-Francois Lendais	License Renewed	7/17/2013	7/16/2016
Martin Alan Berkowitz	License Renewed	7/17/2013	7/16/2016
Robert John Kelly	License Renewed	7/17/2013	7/16/2016
Michael David Mann	Pending	11/4/2013	
Gerald William Koslow	Request to Surrender License	10/7/2013	7/16/2016
Laura Louise McAllister Cox	Request to Surrender License	12/31/2013	7/16/2016
<i>Principal Entity</i>			
VN Capital Management, LLC	Notification Received	7/22/2013	
<i>Table Game Manufacturer</i>			
GPI Mexicana S.A. de C.V.	License Renewed	7/17/2013	7/16/2016
<i>National Table Games</i>			
<i>Principal</i>			
Thomas Christian Anthony Schlumbrecht	Pending	8/5/2013	
<i>Table Game Manufacturer</i>			
National Table Games	Pending	8/5/2013	
<i>South Jersey Precision Tool &amp; Mold, Inc.</i>			
<i>Principal</i>			
June Jaraslawa Rone	License Renewed	11/8/2012	11/7/2015
Robert Rone	License Renewed	11/8/2012	11/7/2015
Victor Rone	License Renewed	11/8/2012	11/7/2015
Wayne Reeves	License Renewed	11/8/2012	11/7/2015
<i>Table Game Manufacturer</i>			
South Jersey Precision Tool & Mold, Inc.	License Renewed	11/8/2012	11/7/2015



<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
<i>TCS John Huxley America, Inc.</i>			
<i>Affiliate</i>			
Crib Goch Investment Limited	License Renewed	10/17/2012	6/4/2016
Pata Pata AB	License Renewed	6/5/2013	6/4/2016
TCS John Huxley Europe Limited	License Renewed	6/5/2013	6/4/2016
Victoria Holdings Limited	License Renewed	6/5/2013	6/4/2016
<i>Key Employee</i>			
Ronald Douglas Coiro Jr	Inactive-Approved for Licensure	2/18/2014	12/19/2014
<i>Principal</i>			
Catherine Ann Burns	Approved for Licensure	6/5/2013	6/4/2016
Bradley John Broderick	License Renewed	6/5/2013	6/4/2016
Justin Matthew Findlay	License Renewed	6/5/2013	6/4/2016
Michael Bertil Knutsson	License Renewed	6/5/2013	6/4/2016
Tristan Nenne Sjoberg	License Renewed	6/5/2013	6/4/2016
Eric Poulton	Pending	6/7/2013	
Todd Paulden Cravens	Pending	6/24/2013	
<i>Table Game Manufacturer</i>			
TCS John Huxley America, Inc.	License Renewed	6/5/2013	6/4/2016
<i>TCS John Huxley Europe Limited</i>			
<i>Affiliate</i>			
Crib Goch Investment Limited	License Renewed	6/5/2013	6/4/2016
Pata Pata AB	License Renewed	6/5/2013	6/4/2016
TCS John Huxley America, Inc.	License Renewed	6/5/2013	6/4/2016
Victoria Holdings Limited	License Renewed	6/5/2013	6/4/2016
<i>Principal</i>			
Catherine Ann Burns	Approved for Licensure	6/5/2013	6/4/2016
Michael Bertil Knutsson	License Renewed	6/5/2013	6/4/2016
Tristan Nenne Sjoberg	License Renewed	6/5/2013	6/4/2016
Eric Poulton	Pending	6/7/2013	
<i>Table Game Manufacturer</i>			
TCS John Huxley Europe Limited	License Renewed	6/5/2013	6/4/2016
<i>Tech Art, Inc.</i>			
<i>Principal</i>			
Arthur Clemont Miller	License Renewed	1/9/2013	1/8/2016
Bruce Howard Kusens	License Renewed	1/9/2013	1/8/2016
Gary Alan Miller	License Renewed	1/9/2013	1/8/2016
Joseph William Miller	License Renewed	1/9/2013	1/8/2016
Marsha Sofer Miller	License Renewed	1/9/2013	1/8/2016
Ronald Lewis Miller	License Renewed	1/9/2013	1/8/2016
Russell Dean Isaacs	License Renewed	1/9/2013	1/8/2016
Robert Frank DelRossi	Pending	7/5/2013	
<i>Table Game Manufacturer</i>			
Tech Art, Inc.	License Renewed	1/9/2013	1/8/2016
<i>The United States Playing Card Company</i>			
<i>Affiliate</i>			
Bicycle Holding, Inc.	License Renewed	5/15/2013	5/14/2016
Jarden Corporation	License Renewed	5/15/2013	5/14/2016

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
USPC Holding Inc.	License Renewed	5/15/2013	5/14/2016
<i>Key Employee</i>			
Patricia Ann Hom	Approved for Licensure	11/22/2011	11/21/2014
<i>Principal</i>			
James LeRoy Cunningham	Approved for Licensure	5/15/2013	5/14/2016
Marc Alan Hill	Approved for Licensure	2/8/2012	2/7/2015
Richard Todd Sansone	Approved for Licensure	4/11/2012	4/10/2015
Ian Guy Handley Ashken	License Renewed	5/15/2013	5/14/2016
James Daryl Owen	License Renewed	5/15/2013	5/14/2016
James Eric Lillie	License Renewed	5/15/2013	5/14/2016
John Edward Capps	License Renewed	5/15/2013	5/14/2016
Martin Ellis Franklin	License Renewed	5/15/2013	5/14/2016
Michael William Slaughter	Pending	5/23/2013	
<i>Principal Entity</i>			
BlackRock, Inc	Notification Received	3/4/2011	
College Retirement Equities Fund - Stock Account	Notification Received	5/13/2011	
FMR Corp.	Notification Received	6/5/2012	
Horizon Asset Management, Inc.	Notification Received	3/7/2011	
J.P. Morgan Investment Management Inc.	Notification Received	4/22/2013	
Wellington Management Company	Notification Received	4/13/2011	
<i>Table Game Manufacturer</i>			
The United States Playing Card Company	License Renewed	5/15/2013	5/14/2016
<b>Table Game Manufacturer Designee Application</b>			
<i>Angel Playing Cards U.S.A. Inc.</i>			
<i>Principal</i>			
Kyotaro Morihisa	Pending	1/29/2013	
Norio Yoshimura	Pending	8/6/2013	
Takayyoshi Tsuji	Pending	1/29/2013	
Yasushi Shigeta	Pending	1/29/2013	
Yuji Hirano	Pending	1/29/2013	
<i>Table Game Manufacturer Designee</i>			
Angel Playing Cards U.S.A. Inc.	Conditional License Issued	1/29/2013	
<i>Gaming Partners International USA, Inc.</i>			
<i>Affiliate</i>			
Gaming Partners International Corporation	License Renewed	7/17/2013	7/16/2016
Holding Wilson S.A.	License Renewed	7/17/2013	7/16/2016
Exalis Investments	Pending	2/25/2014	
Hestia Developpment et Croissance	Pending	2/25/2014	
<i>Key Employee</i>			
Robert Andrew Ford	Approved for Licensure	1/17/2013	1/17/2015
Robert Meeks Jackson Jr	Approved for Licensure	7/17/2013	7/16/2016
<i>Principal</i>			
Alain Marc Thieffry	License Renewed	7/17/2013	7/16/2016
Charles Robert Henry	License Renewed	7/17/2013	7/16/2016
Elisabeth Elaine Carrette	License Renewed	7/17/2013	7/16/2016
Eric Paul Endy	License Renewed	7/17/2013	7/16/2016
Franciso Javier Moreno Sanchez	License Renewed	7/17/2013	7/16/2016

<i>Applicant Name</i>	<i>Application Status</i>	<i>Application Status Date</i>	<i>Expiration Date</i>
Gerard Pierre Charlier	License Renewed	7/17/2013	7/16/2016
Gregory Scott Gronau	License Renewed	7/17/2013	7/16/2016
Jean-Francois Lendais	License Renewed	7/17/2013	7/16/2016
Martin Alan Berkowitz	License Renewed	7/17/2013	7/16/2016
Robert John Kelly	License Renewed	7/17/2013	7/16/2016
Michael David Mann	Pending	11/1/2013	
Laura Louise McAllister Cox	Request to Surrender License	12/31/2013	7/16/2016
<i>Principal Entity</i>			
VN Capital Management, LLC	Notification Received	7/22/2013	
<i>Table Game Manufacturer Designee</i>			
Gaming Partners International USA, Inc.	License Renewed	7/17/2013	7/16/2016
<i>Interblock USA L.C.</i>			
<i>Affiliate</i>			
Elektroncek d.d.	Approved for Licensure	2/29/2012	2/28/2015
Elektroncek Group B.V.	Approved for Licensure	2/29/2012	2/28/2015
<i>Key Employee</i>			
Anthony Laielli	Pending	4/2/2013	
<i>Principal</i>			
Joze Pececnik	Approved for Licensure	2/29/2012	2/28/2015
Petra Vidmar	Approved for Licensure	2/29/2012	2/28/2015
Rok Uhan	Approved for Licensure	2/29/2012	2/28/2015
Thomas Joseph O'Brien	Approved for Licensure	12/12/2012	12/11/2015
Tomaz Zvipelj	Approved for Licensure	2/29/2012	2/28/2015
Thomas Joseph O'Brien	Renewal App Pending	10/16/2013	
<i>Table Game Manufacturer Designee</i>			
Interblock USA L.C.	Renewal App Pending	10/10/2013	

[Pa.B. Doc. No. 14-564. Filed for public inspection March 14, 2014, 9:00 a.m.]

## PENNSYLVANIA PUBLIC UTILITY COMMISSION

### Natural Gas Service

**A-2014-2408064. Leatherstocking Gas Company, LLC.** Application of Leatherstocking Gas Company, LLC for approval to supply natural gas service to the public in Susquehanna County in the Township of Dimock.

Formal protests and petitions to intervene must be filed in accordance with 52 Pa. Code (relating to public utilities). Filings must be made with the Secretary of the Pennsylvania Public Utility Commission, P. O. Box 3265, Harrisburg, PA 17105-3265, with a copy served on the applicant, on or before March 31, 2014. The documents filed in support of the application are available for inspection and copying at the Office of the Secretary between the 8 a.m. and 4:30 p.m., Monday through Friday, on the Pennsylvania Public Utility Commission's web site at [www.puc.state.pa.us](http://www.puc.state.pa.us), and at the applicant's business address.

*Applicant:* Leatherstocking Gas Company, LLC

*Through and By Counsel:* Thomas J. Sniscak, Esquire, William E. Lehman, Esquire, Hawke, McKeon & Sniscak, LLP, 100 North Tenth Street, P. O. Box 1778, Harrisburg, PA 17105-1178

ROSEMARY CHIAVETTA,  
*Secretary*

[Pa.B. Doc. No. 14-565. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Service of Notice of Motor Carrier Applications

The following temporary authority and/or permanent authority applications for the right to render service as a common carrier or contract carrier in this Commonwealth have been filed with the Pennsylvania Public Utility Commission. Formal protests and petitions to intervene must be filed in accordance with 52 Pa. Code (relating to public utilities). A protest shall indicate whether it applies to the temporary authority application, the permanent authority application, or both. Filings must be made with the Secretary, Pennsylvania Public Utility Commission, P. O. Box 3265, Harrisburg, PA 17105-3265, with a copy served on the applicant by March 31, 2014. Docu-

ments filed in support of the applications are available for inspection and copying at the Office of the Secretary between 8 a.m. and 4:30 p.m., Monday through Friday, and at the business address of the respective applicant.

**Applications of the following for approval to begin operating as common carriers for transportation of persons as described under each application.**

**(Revised) A-2013-2379871. Griffith Transportation, Inc.** (221 Pelesky Road, Boswell, Somerset County, PA 15531) persons in paratransit service, from points in the Counties of Cambria and Somerset, to points in Pennsylvania, and return. *Attorney:* Scott P. Bitner, P. O. Box 431, Somerset, PA 15501-0431.

**A-2013-2388651. Alfred Knight, Jr., t/a Knight Life Limousine Service** (805 West 26th Street, Erie, Erie County, PA 16508) in group and party service, in vehicles seating 11 to 15 passengers, including the driver, from points in Erie County, to points in Pennsylvania, and return; excluding areas under the jurisdiction of the Philadelphia Parking Authority.

**A-2013-2392782. JRS Transportation Services, LLC** (12 Kennedy Street, Bradford, McKean County, PA 16701) in paratransit service, from points in Bradford, McKean County, to points in Pennsylvania, and return.

**A-2014-2400867. Cranberry Taxi, Inc., t/a Veteran's Taxi** (910 Sheraton Drive, Mars, Allegheny County, PA 16046) in call or demand service in the Counties of Dauphin and Lebanon. *Attorney:* William Gray, 310 Grant Street, Suite 2310, Pittsburgh, PA 15219-2383.

**A-2014-2401261. Sky Line Car Service, LLC** (2077 Sierra Road, Plymouth Meeting, Montgomery County, PA 19462) in limousine service, from points in the Municipality of Plymouth Meeting and the Township of Plymouth, both in Montgomery County, to points in Pennsylvania, and return; excluding areas under the jurisdiction of the Philadelphia Parking Authority.

**A-2014-2402502. Kevin M. Bertram, t/a America's Car Service** (899 East Prospect Street, Apt B., York, York County, PA 17403) in call or demand service, in the City of Reading, Berks County and in Spring Township, Centre County.

**Application of the following for approval of the beginning of the exercise of the right and privilege of operating motor vehicles as common carriers for the transportation of household goods as described under the application.**

**A-2014-2401884. Walter J. Jackson, III, t/a Jackson's Moving** (316 Glendale Drive, Shiremanstown, PA 17011) for the right to begin to transport, as a common carrier, by motor vehicle, household goods in use, from points in the Counties of Erie, Crawford, Warren, McKean, Potter, Tioga, Bradford, Susquehanna, Wayne, Mercer, Venango, Forest, Elk, Cameron, Clinton, Lycoming, Sullivan, Wyoming, Lackawanna, Pike, Lawrence, Butler, Clarion, Jefferson, Clearfield, Centre, Union, Montour, Columbia, Luzerne, Monroe, North Uمبرland, Snyder, Schuylkill, Lehigh, Beaver, Armstrong, Indiana, Cambria, Blair, Huntingdon, Perry, Dauphin, Mifflin, Juniata, Lebanon, Berks, Bucks, Montgomery, Philadelphia, Delaware, Chester, Lancaster, York, Adams, Franklin, Cumberland, Fulton, Bedford, Somerset, Fayette, Greene, Washington, Allegheny and Westmoreland to points in Pennsylvania and vice-versa.

**Application of the following for approval of the beginning of the exercise of the right and privilege of operating motor vehicles as common carriers for the transportation of household goods by transfer of rights as described under the application.**

**A-2014-2400731. Legacy Enterprise Group, LLC, d/b/a Anchor Moving and Storage** (353 Crider Avenue, Moorestown, NJ 08057) for the right to begin to transport, as a common carrier, by motor vehicle, household goods in use, which is to be a transfer of all the rights authorized under the Certificate of Public Convenience issued at A-00109401 on March 27, 1991, to American Carriers Moving & Storage, Inc.

**Applications of the following for approval to begin operating as contract carriers for transportation of persons as described under each application.**

**A-2014-2400105. Jennifer Menichini, d/b/a Keystone Adult Day Care** (100 Narrows Road, Route 11, Larksville, PA 18651) for the right to begin to transport as a contract carrier for the Office of Developmental Programs, by motor vehicle, persons in paratransit service, between points in the County of Luzerne.

**A-2014-2400657. Veteran Transportation Management, LLC** (801 Bingham Street, Pittsburgh, PA 15203) for the right to begin to transport, as a contract carrier, by motor vehicle, persons between points in Pennsylvania. *Attorney:* William A. Gray, Esquire, Vuono & Gray, LLC, 310 Grant Street, Suite 2310, Pittsburgh, PA 15219-2383.

ROSEMARY CHIAVETTA,  
*Secretary*

[Pa.B. Doc. No. 14-566. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Water Service**

**A-2014-2408033. Pennsylvania-American Water Company.** Application of Pennsylvania-American Water Company for approval to offer, render, furnish or supply water service to the public in a portion of Lancaster Township, Butler County.

Formal protests and petitions to intervene must be filed in accordance with 52 Pa. Code (relating to public utilities). Filings must be made with the Secretary of the Pennsylvania Public Utility Commission, P. O. Box 3265, Harrisburg, PA 17105-3265, with a copy served on the applicant, on or before March 31, 2014. The documents filed in support of the application are available for inspection and copying at the Office of the Secretary between 8 a.m. and 4:30 p.m., Monday through Friday, on the Pennsylvania Public Utility Commission's web site at [www.puc.state.pa.us](http://www.puc.state.pa.us), and at the applicant's business address.

*Applicant:* Pennsylvania American Water Company

*Through and By Counsel:* Velma A. Redmond, Esquire, Susan Simms Marsh, Esquire, Seth A. Mendelsohn, Esquire, 800 West Hersheypark Drive, Hershey, PA 17033

ROSEMARY CHIAVETTA,  
*Secretary*

[Pa.B. Doc. No. 14-567. Filed for public inspection March 14, 2014, 9:00 a.m.]

## STATE BOARD OF MEDICINE

### Bureau of Professional and Occupational Affairs v. Aurea Guevara, MD; Doc. No. 0878-49-2012

On December 10, 2013, Aurea Guevara, MD, Pennsylvania license no. MD025746L, of Homestead, FL, was revoked based on her license being disciplined by the proper licensing authority of another state.

Individuals may obtain a copy of the final order by writing to Wesley J. Rish, Board Counsel, State Board of Medicine, P. O. Box 2649, Harrisburg, PA 17105-2649.

This final order represents the State Board of Medicine's (Board) final decision in this matter. It may be appealed to the Commonwealth Court of Pennsylvania by the filing of a petition for review with that court in accordance with the Pennsylvania Rules of Appellate Procedure. Individuals who take an appeal to the Commonwealth Court must serve the Board with a copy of their petition for review. The Board contact for receiving service of the appeals is the previously-named Board counsel.

ANDREW J. BEHNKE, MD,  
*Chairperson*

[Pa.B. Doc. No. 14-568. Filed for public inspection March 14, 2014, 9:00 a.m.]

## STATE BOARD OF NURSING

### Bureau of Professional and Occupational Affairs v. Raenette Marie Shilala, LPN; Doc. No. 1195-51-13

On November 7, 2013, Raenette Marie Shilala, LPN, license no. PN271152, last known of Dubois, Clearfield County and Wilkes-Barre and Kingston, Luzerne County, was indefinitely suspended retroactive to September 10, 2013, and ordered to pay the cost of investigation of \$800, based on her being unable to practice with reasonable skill and safety to patients by reason of mental or physical illness or condition or physiological dependence upon alcohol, hallucinogenic or narcotic drugs or other drugs which tend to impair judgment or coordination, so long as the dependence shall continue.

Individuals may obtain a copy of the adjudication by writing to Judith Pachter Schulder, Board Counsel, State Board of Nursing, P. O. Box 2649, Harrisburg, PA 17105-2649.

This final order represents the State Board of Nursing's (Board) final decision in this matter. It may be appealed to the Commonwealth Court of Pennsylvania by the filing of a petition for review with that court in accordance with the Pennsylvania Rules of Appellate Procedure. Individuals who take an appeal to the Commonwealth Court must serve the Board with a copy of their petition for review. The Board contact for receiving service of the appeals is the previously-named Board counsel.

ANN M. COUGHLIN, MBA, MSN, RN,  
*Chairperson*

[Pa.B. Doc. No. 14-569. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Bureau of Professional and Occupational Affairs v. Rebecca Siceloff, LPN; Doc. No. 1783-51-11

On October 29, 2013, Rebecca Siceloff, LPN, license no. PN256937L, last known of Punxsutawney, Jefferson County, was revoked, based on her having been convicted of theft by unlawful taking, a crime of moral turpitude.

Individuals may obtain a copy of the adjudication by writing to Judith Pachter Schulder, Board Counsel, State Board of Nursing, P. O. Box 2649, Harrisburg, PA 17105-2649.

This final order represents the State Board of Nursing's (Board) final decision in this matter. It may be appealed to the Commonwealth Court of Pennsylvania by the filing of a petition for review with that court in accordance with the Pennsylvania Rules of Appellate Procedure. Individuals who take an appeal to the Commonwealth Court must serve the Board with a copy of their petition for review. The Board contact for receiving service of the appeals is the previously-named Board counsel.

ANN M. COUGHLIN, MBA, MSN, RN,  
*Chairperson*

[Pa.B. Doc. No. 14-570. Filed for public inspection March 14, 2014, 9:00 a.m.]

### Bureau of Professional and Occupational Affairs v. Theresa Marie Vanbuskirk; Doc. No. 1745-51-12

On September 13, 2013, Theresa Marie Vanbuskirk, license no. PN095772L, last known of Bath, Northampton County, was indefinitely suspended until her Virginia license is fully reinstated and assessed a \$1,000 civil penalty, based on her being unable to practice with reasonable skill and safety to patients by reason of mental or physical illness or condition or physiological dependence upon alcohol, hallucinogenic or narcotic drugs or other drugs which tend to impair judgment or coordination, so long as the dependence shall continue and failing to report the Virginia discipline to the State Board of Nursing.

Individuals may obtain a copy of the adjudication by writing to Judith Pachter Schulder, Board Counsel, State Board of Nursing, P. O. Box 2649, Harrisburg, PA 17105-2649.

This final order represents the State Board of Nursing's (Board) final decision in this matter. It may be appealed to the Commonwealth Court of Pennsylvania by the filing of a petition for review with that court in accordance with the Pennsylvania Rules of Appellate Procedure. Individuals who take an appeal to the Commonwealth Court must serve the Board with a copy of their petition for review. The Board contact for receiving service of the appeals is the previously-named Board counsel.

ANN M. COUGHLIN, MBA, MSN, RN,  
*Chairperson*

[Pa.B. Doc. No. 14-571. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Bureau of Professional and Occupational Affairs v. Heather Lynne Wood; Doc. No. 2105-51-11**

On September 13, 2013, Heather Lynne Wood, license no. RN590372, last known of Chandler, AZ, was revoked, based on having received disciplinary action by the proper licensing authority in another state.

Individuals may obtain a copy of the adjudication by writing to Judith Pachter Schulder, Board Counsel, State Board of Nursing, P. O. Box 2649, Harrisburg, PA 17105-2649.

This final order represents the State Board of Nursing's (Board) final decision in this matter. It may be appealed to the Commonwealth Court of Pennsylvania by the filing of a petition for review with that court in accordance with the Pennsylvania Rules of Appellate Procedure. Individuals who take an appeal to the Commonwealth Court must serve the Board with a copy of their petition for review. The Board contact for receiving service of the appeals is the previously-named Board counsel.

ANN M. COUGHLIN, MBA, MSN, RN,  
*Chairperson*

[Pa.B. Doc. No. 14-572. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Commonwealth of Pennsylvania, Bureau of Professional and Occupational Affairs v. Alpha Sun Wilkinson, RN; File No. 13-51-07362; Doc. No. 1329-51-13**

On September 11, 2013, the Commonwealth of Pennsylvania, Department of State, Bureau of Professional and Occupational Affairs, instituted a formal administrative action against you by filing an Order to Show Cause, before the State Board of Nursing, alleging that you have violated certain provisions of the Pennsylvania Professional Nursing Law, Act of May 22, 1951, P.L. 317, ("Act"). Pursuant to 1 Pa. Code § 33.31 and Rule 430 of the Pennsylvania Rules of Civil Procedure, 231 Pa. Code Rule 430, providing for service of process upon you by publication.

**Notice**

Formal disciplinary action has been filed against you. You may lose your license, certificate, registration or permit to practice your profession or occupation. You may be subject to civil penalties of up to \$10,000 for each violation, and the imposition of costs of investigation.

If you wish to defend against the charges in the attached Order to Show Cause or to present evidence to mitigate any penalty that may be imposed, the procedures for doing so are explained in the Order to Show Cause. You may obtain a copy of the Order to Show Cause from the Prothonotary for the Department of State, 2601 North Third Street, P. O. Box 2649, Harrisburg, PA 17105, telephone number, (717) 772-2686.

You have the right to retain an attorney. Although you may represent yourself without an attorney, you are advised to seek the help of an attorney. You also have the right to have an interpreter provided should you request one.

All proceedings are conducted under the Administrative Agency Law and the General Rules of Administrative Practice and Procedures.

You are directed to respond to the charges by filing a written answer within thirty (30) days of this NOTICE. IF YOU DO NOT FILE AN ANSWER, DISCIPLINARY ACTION MAY BE TAKEN AGAINST YOU WITHOUT A HEARING. To file your answer, you must bring or send an original and three (3) copies of your answer and any pleadings or other documents related to this matter to the following address:

Prothonotary  
Department of State  
2601 North Third Street  
P. O. Box 2649  
Harrisburg, PA 17105

You must also send a separate copy of your answer and any other pleadings or documents related to this case to the prosecuting attorney named in the Order to Show Cause.

ANN M. COUGHLIN, MBA, MSN, RN,  
*Chairperson*

[Pa.B. Doc. No. 14-573. Filed for public inspection March 14, 2014, 9:00 a.m.]

**Commonwealth of Pennsylvania, Bureau of Professional and Occupational Affairs v. Holly Christine Steele, LPN; File No. 13-51-05947; Doc. No. 1658-51-13**

On November 7, 2013, the Commonwealth of Pennsylvania, Department of State, Bureau of Professional and Occupational Affairs, instituted a formal administrative action against you by filing an Order to Show Cause, before the State Board of Nursing, alleging that you have violated certain provisions of the Pennsylvania Practical Nursing Law, Act of March 2, 1956, P.L. 1211, ("Act"). Pursuant to 1 Pa. Code § 33.31 and Pa.R.C.P. Rule 430 providing for service of process upon you by publication.

**Notice**

Formal disciplinary action has been filed against you. You may lose your nursing license, certificate, registration or permit to practice your profession or occupation. You may be subject to civil penalties of up to \$10,000 for each violation, and the imposition of costs of investigation.

If you wish to defend against the charges in the attached Order to Show Cause or to present evidence to mitigate any penalty that may be imposed, the procedures for doing so are explained in the Order to Show Cause. You may obtain a copy of the Order to Show Cause from the Prothonotary for the Department of State, 2601 North Third Street, P. O. Box 2649, Harrisburg, PA 17105, telephone number, (717) 772-2686.

You have the right to retain an attorney. Although you may represent yourself without an attorney, you are advised to seek the help of an attorney. You also have the right to have an interpreter provided should you request one.

All proceedings are conducted under the Administrative Agency Law and the General Rules of Administrative Practice and Procedures.

You are directed to respond to the charges by filing a written answer within thirty (30) days of this NOTICE. IF YOU DO NOT FILE AN ANSWER, DISCIPLINARY ACTION MAY BE TAKEN AGAINST YOU WITHOUT A HEARING. To file your answer, you must bring or send an original and three copies of your answer and any pleadings or other documents related to this matter to the following address:

Prothonotary  
Department of State  
2601 North Third Street  
P. O. Box 2649  
Harrisburg, PA 17105

You must also send a separate copy of your answer and any other pleadings or documents related to this case to the prosecuting attorney named in the Order to Show Cause.

ANN M. COUGHLIN, MBA, MSN, RN,  
*Chairperson*

[Pa.B. Doc. No. 14-574. Filed for public inspection March 14, 2014, 9:00 a.m.]

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# NOTICES

## COMMONWEALTH FINANCING AUTHORITY

### Financial Statements

The Commonwealth Financing Authority gives notice of the publication of its 2006, 2007, 2008, 2009, 2010, 2011, 2012 and 2013 financial statements as required by the act of April 1, 2004 (P. L. 163, No. 22), codified at 64 Pa.C.S. § 1511(g) (relating to authority).

Further information can be obtained from the Commonwealth Financing Authority, Commonwealth Keystone Building, 4th Floor, 400 North Street, Harrisburg, PA 17120, (800) 379-7448.

C. ALAN WALKER,  
*Chairperson*

**COMMONWEALTH FINANCING AUTHORITY**  
(Component Unit of Commonwealth of Pennsylvania)  
Harrisburg, Pennsylvania

**FINANCIAL STATEMENTS**  
June 30, 2006

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### Independent Auditor's Report

To the Board of Directors of the  
Commonwealth Financing Authority  
(Component Unit of Commonwealth of Pennsylvania)

We have audited the accompanying statement of net assets of the Commonwealth Financing Authority ("Authority") as of June 30, 2006, and the related statements of revenues, expenses, and changes in net assets and cash flows for the period April 1, 2004 (date of formation) through June 30, 2006. These financial statements are the responsibility of the Authority's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

As discussed in the Summary of Significant Accounting Policies the financial statements present only financial information about the Commonwealth Financing Authority and are not intended to present fairly the financial position of the Commonwealth of Pennsylvania and the results of its operations and cash flows of its proprietary and similar trust fund types in conformity with accounting principles generally accepted in the United States of America.

The Authority is a component unit of the Commonwealth of Pennsylvania ("Commonwealth"). As disclosed in the Summary of Significant Accounting Policies of the financial statements, the Authority has extensive transactions and relationships with certain Commonwealth affiliated agencies. The financial position and results of operations of the Authority may not be indicative of that which would have been obtained had the Authority operated independently.

In our opinion, the financial statements referred to above present fairly the financial position of the Authority, and the results of its operations and cash flows in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 21, 2006 on our consideration of the Authority's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The Management's Discussion and Analysis as referenced in the table of contents is not a required part of the basic financial statements but is supplemental information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

*Clifton Henderson LLP*

Harrisburg, Pennsylvania  
September 21, 2006

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2006**

The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter "GASB 34"), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the period April 1, 2004 (date of formation) through June 30, 2006. Please read it in conjunction with the Authority's financial statements that follow this section.

**FINANCIAL HIGHLIGHTS**

- The period ended June 30, 2006 was the initial period of the Authority's operation.
- During the period ended June 30, 2006 the Authority received bond proceeds of \$375.5 million to fund its operations and to provide grants, loans and loan guarantees under established financing programs.
- During the period ended June 30, 2006, the Authority approved \$245,817,102 in loans, \$28,500,000 in venture capital, \$6,750,000 in loan guarantees, and \$151,291,788 in grants. The Authority's programs support economic development and expansion within the Commonwealth of Pennsylvania.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a statement of net assets; a statement of revenues, expenses, and changes in fund net assets; a statement of cash flows; and notes to the financial statements.

The Statement of Net Assets presents the financial position of the Authority on a full accrual historical cost basis. The Statement of Net Assets presents information on all of the Authority's assets and liabilities, with the difference reported as net assets. Over time, increases and decreases in net assets are one indicator of whether the financial position of the Authority is improving or deteriorating.

While the Statement of Net Assets provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Assets presents the results of the business-type activities over the course of the fiscal year and information as to how the net assets changed during the year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**MANAGEMENT'S DISCUSSION AND ANALYSIS**  
**June 30, 2006**

timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipts and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

**FINANCIAL ANALYSIS**

This is the first year that the Authority is presenting its financial statements; it has no prior years to provide comparative data. In future years when prior year information is available, a comparative analysis of financial data will be included. Financial statements and other selected information serve as the key financial data and indicators for management, monitoring and planning.

**Condensed Statement of Net Assets**

	<b>June 30, 2006</b>
Current assets	\$ 321,187,709
Long-term assets	38,482,356
<b>Total assets</b>	<b>\$ 359,670,065</b>
Current liabilities	\$ 13,551,143
Long-term liabilities	369,252,955
Total liabilities	382,804,098
Net assets	
Unrestricted (deficit)	(23,134,033)
<b>Total net assets</b>	<b>\$ (23,134,033)</b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2006**

**Condensed Statement of Revenues, Expenses, and Changes in Fund Net Assets**

	<b>Period Ended June 30, 2006</b>
Operating revenues	\$ 5,472,601
Operating expenses	(9,821,668)
Provision for loan losses	(808,226)
Nonoperating revenues/(expenses) - net	(17,976,740)
<b>Increase in net assets</b>	<b><u>\$ (23,134,033)</u></b>

As shown in the table above, operating revenues consist mostly of interest earnings. Nonoperating revenues and expenses consist mainly of a Transfer to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program (\$15 million).

**Long-Term Debt**

During the current audit period, the Authority issued two revenue bonds totaling \$375 million to provide funds for loan disbursements, investments in venture capital and grant expenditures. This is the first indebtedness incurred by the Authority. In addition, the Authority entered into a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENT OF NET ASSETS**  
**June 30, 2006**

**ASSETS**

Current assets:	
Cash and cash equivalents	\$ 315,911,068
Receivables (net):	
Loans	997,830
Accrued interest	55,680
Penalties/late fees	728
Other assets	<u>4,222,403</u>
Total current assets	321,187,709
Long-term assets:	
Long-term portion of loans receivable (net)	<u>38,482,356</u>
<b>TOTAL ASSETS</b>	<b><u><u>\$ 359,670,065</u></u></b>

**LIABILITIES**

Current liabilities:	
Current portion of long-term debt	\$ 10,280,000
Accrued interest payable	2,976,740
Accounts payable and accrued expenses	20,498
Due to primary governments - DCED	<u>273,905</u>
Total current liabilities	13,551,143
Non-current liabilities:	
Long-term debt, net of current portion and unamortized bond premium	<u>369,252,955</u>
Total liabilities	<u>382,804,098</u>
<b>NET ASSETS</b>	
Unrestricted (deficit)	<u>(23,134,033)</u>
<b>TOTAL NET ASSETS</b>	<b><u><u>\$ (23,134,033)</u></u></b>

These financial statements should be read only in connection  
with the accompanying summary of significant accounting policies  
and notes to financial statements.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS**  
**The Period April 1, 2004 to June 30, 2006**

<b>OPERATING INCOME</b>	
Interest on loans	\$ 117,238
Interest on investments	5,322,967
Penalty/late fee	728
Commitment and application fee	<u>31,668</u>
Total operating income	<u>5,472,601</u>
<b>OPERATING EXPENSE</b>	
Administrative/operating expense	1,756,126
Grant expense - Business in Our Sites	5,217,887
Grant expense - First Industries	<u>2,847,655</u>
Total operating expenses	<u>9,821,668</u>
Net operating loss before provision for loan losses	(4,349,067)
<b>PROVISION FOR LOAN LOSSES</b>	<u>808,226</u>
Net operating loss after provision for loan losses	<u>(5,157,293)</u>
<b>NON-OPERATING INCOME (EXPENSE)</b>	
Transfers in from primary government	5,064,189
Interest on bonds	(8,040,929)
Transfers to primary government - MELF	<u>(15,000,000)</u>
Total non-operating loss	<u>(17,976,740)</u>
Net loss	(23,134,033)
<b>NET ASSETS, BEGINNING OF PERIOD</b>	<u>-</u>
<b>NET ASSETS, END OF PERIOD</b>	<u><u>\$ (23,134,033)</u></u>

These financial statements should be read only in connection  
with the accompanying summary of significant accounting policies  
and notes to financial statements.



**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENT OF CASH FLOWS  
The Period April 1, 2004 to June 30, 2006**

<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>	
Cash received from interest and fees on loans	\$ 93,226
Cash received from interest on investments	5,322,967
Cash paid for operating expenses	(1,461,723)
Cash paid for grant expenses	(8,065,542)
Net cash used in operating activities	<u>(4,111,072)</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>	
Principal receipt on loans	122,886
Investment in loans	(32,911,298)
Investment in venture capital	(7,500,000)
Transfer to primary government	(15,000,000)
Net cash used in investing activities	<u>(55,288,412)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>	
Proceeds from bonds payable, net	375,310,552
Commonwealth appropriation	5,064,189
Interest on bonds payable	(5,064,189)
Net cash provided by noncapital financing activities	<u>375,310,552</u>
<b>NET INCREASE IN CASH</b>	315,911,068
<b>CASH, BEGINNING</b>	<u>-</u>
<b>CASH, END OF YEAR</b>	<u>\$ 315,911,068</u>
<b>RECONCILIATION OF NET OPERATING LOSS AFTER PROVISION FOR LOAN LOSSES TO CASH USED IN OPERATING ACTIVITIES</b>	
Net operating loss after provision for loan losses	\$ (5,157,293)
Adjustments to reconcile net loss to net cash provided by operating activities:	
Provision for loan losses	808,226
Effects of changes in operating assets and liabilities:	
Interest receivables	(55,680)
Other assets	(728)
Accounts payable and accrued expenses	294,403
<b>NET CASH USED IN OPERATING ACTIVITIES</b>	<u>\$ (4,111,072)</u>

These financial statements should be read only in connection  
with the accompanying summary of significant accounting policies  
and notes to financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES  
June 30, 2006**

The Commonwealth Financing Authority (“Authority”) is a body corporate and politic duly organized by the Commonwealth of Pennsylvania (“Commonwealth”) incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (“Act”), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania communities, the development of a stable tax base within Pennsylvania Communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth of Pennsylvania.

The legislation creating the Authority as well as program specific guidelines establish certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- TIF Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania Companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES  
June 30, 2006**

**REPORTING ENTITY**

The Authority has adopted the provisions of Section 2100 of the Codification of Governmental Accounting and Financial Reporting Standards for the criteria used to evaluate organizations, activities and functions that should be included in the Authority's financial statements. The basic criteria is the exercise of oversight responsibility over such organizations, activities and functions. The Authority has not identified any entities which should be subject to evaluation for inclusion in the Authority's reporting entity.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition, the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

**MEASUREMENT FOCUS, BASIS OF ACCOUNTING AND FINANCIAL STATEMENT PRESENTATION**

The Authority's financial statements are presented on the full accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. Under this basis of accounting, revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of the related cash flows. The Authority applies Governmental Accounting Standards Board (GASB) pronouncements as well as Financial Accounting Standards Board (FASB) statements and interpretations, and the Accounting Principles Board (APB) of the Committee of Accounting Procedures issued on or before November 30, 1989, unless those pronouncements conflict with or contradict GASB pronouncements.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the cost (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination of revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The accounting and financial reporting treatment applied to the Authority is determined by its measurement focus. The transactions of the Authority are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets and all liabilities associated with the operations are included on the balance sheet. Net assets represent total assets net of total liabilities.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES  
June 30, 2006**

**CASH AND CASH EQUIVALENTS**

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit with a maturity of three months or less.

**ALLOWANCE FOR LOAN LOSSES**

The allowance for loan losses is a reserve account for possible future loan losses. Loan losses and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month end. The provision for loan losses was based on comparison with other Authorities of the Commonwealth with similar operations and loan portfolio.

**USE OF ESTIMATES IN PREPARING FINANCIAL STATEMENTS**

The preparation of financial statements requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

**BOND PREMIUM AND DISCOUNT**

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued. Due to the recent issuance of the bonds, no amortization was taken in the current period.

This information is an integral part of the  
accompanying financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2006**

**NOTE 1 – FINANCIAL SUPPORT**

The Authority has a net asset deficit of \$20,151,293 as of June 30, 2006. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority is committed to providing part of their bond proceeds to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributes to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, these factors listed above, do not raise doubt as to the Authority's ability to meet obligations when due.

**NOTE 2 – DEPOSITS****Custodial Credit Risk - Deposits**

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2006, the Authority's bank balance was exposed to custodial credit risk as follows:

FDIC Insured	\$ 200,000
Uninsured and collateral held by pledging bank's trust department not in the Authority's name	<u>315,711,068</u>
<b>Total</b>	<b><u>\$ 315,911,068</u></b>

**NOTE 3 – LOANS RECEIVABLE**

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

At June 30, 2006 the outstanding balance of loans receivable was as follows:

	<u>Current Portion</u>	<u>Long-term Portion</u>	<u>Total</u>
Loans receivable	\$ 1,018,257	\$ 31,770,155	\$ 32,788,412
Venture Capital Investment loans	-	7,500,000	7,500,000
Allowance for loan losses	<u>(20,427)</u>	<u>(787,799)</u>	<u>(808,226)</u>
<b>Loan receivable - net</b>	<b><u>\$ 997,830</u></b>	<b><u>\$ 38,482,356</u></b>	<b><u>\$ 39,480,186</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2006**

**NOTE 4 – BONDS PAYABLE**

Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federacy taxable revenue bonds, Series B in April 2006 at 4.5% - 5.6% interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	\$ 187,500,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federacy taxable revenue bonds, Series B in November 2005 at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	<u>187,500,000</u>
	375,000,000
Less current portion	(10,280,000)
Unamortized bond premium	<u>4,532,955</u>
<b>Long-term debt, net of current portion and unamortized bond premium</b>	<b><u>\$ 369,252,955</u></b>

Bond principal requirements subsequent to June 30, 2006 are as follows:

<b>For the Year Ended June 30,</b>	<b>Principal Maturities</b>	<b>Interest</b>
2007	\$ 10,280,000	\$ 21,105,925
2008	12,000,000	19,376,518
2009	12,635,000	18,744,076
2010	13,305,000	18,074,687
2011	14,015,000	17,364,080
2012-2016	82,230,000	74,663,407
2017-2021	107,225,000	49,669,202
2022-2026	<u>123,310,000</u>	<u>17,877,822</u>
<b>Total</b>	<b><u>\$375,000,000</u></b>	<b><u>\$236,875,717</u></b>

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2006**

**NOTE 4 – BONDS PAYABLE (CONTINUED)**

The Authority, with the Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

**NOTE 5 – RELATED PARTY TRANSACTIONS**

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) to provide administrative and operational support services for the Authority. The Authority employs no personnel and owns no capital assets; all employees performing services for the Authority are DCED employees. As such under the memorandum of understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal year ended June 30, 2006 the services provided by DCED to Authority and recorded as Administrative/Operating expenses totaled \$1,756,126.

During the fiscal year ended June 30, 2006, the Authority received \$5,064,189 in transfers from the Commonwealth to pay debt service with respect to the Revenue Bond. See Note 3 for details with respect to the Revenue Bonds.

**NOTE 6 – COMMITMENTS AND CONTINGENCIES**

The Authority, through various economic development programs, provided loan guarantees as follows:

First industries loan guarantees	\$ 1,375,500
Tax increment financing guarantees	5,000,000
Second stage loan guarantees	<u>375,000</u>
<b>Total loan guarantees</b>	<b><u>\$ 6,750,500</u></b>

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2006**

**NOTE 6 – COMMITMENTS AND CONTINGENCIES (CONTINUED)**

The Authority has not been called upon, with respect to any loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, no liability has been reflected in the Authority's financial statements for loan guarantees.

Through the various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, investments in venture capital and grants of \$212,905,804 and \$21,000,000 and \$143,226,246, respectively, which have not been disbursed as of June 30, 2006.

This information is an integral part of the  
accompanying financial statements.





**Independent Auditor's Report on Internal Control Over Financial  
Reporting and on Compliance and Other Matters Based on an  
Audit of Financial Statements Performed in  
Accordance with *Government Auditing Standards***

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the basic financial statements of Commonwealth Financing Authority (the Authority) as of and for the period April 1, 2004 (date of formation) through June 30, 2006 and have issued our report thereon dated September 21, 2006. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

**Internal Control Over Financial Reporting**

In planning and performing our audit, we considered the Authority's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinion on the financial statements and not to provide an opinion on the internal control over financial reporting. Our consideration of the internal control over financial reporting would not necessarily disclose all matters in the internal control that might be material weaknesses. A material weakness is a condition in which the design or operation of one or more of the internal control components does not reduce to a relatively low level the risk that misstatements caused by error or fraud in amounts that would be material in relation to the financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over financial reporting and its operation that we consider to be material weaknesses. However, we noted other matters involving the internal control over financial reporting that we have reported to management in a separate letter dated September 21, 2006.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the Authority's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the Board of Directors, management and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

*Clifton Henderson LLP*

Harrisburg, Pennsylvania  
September 21, 2006

COMMONWEALTH FINANCING AUTHORITY  
(Component Unit of Commonwealth of Pennsylvania)  
Harrisburg, Pennsylvania

FINANCIAL STATEMENTS  
June 30, 2007 and 2006

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### Independent Auditor's Report

To the Board of Directors of the  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the accompanying statements of net assets of the Commonwealth Financing Authority ("Authority") as of June 30, 2007 and 2006, and the related statements of revenues, expenses, and changes in net assets and cash flows for the years ended June 30, 2007 and 2006. These financial statements are the responsibility of the Authority's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

As discussed in the Notes, the financial statements present only financial information about the Commonwealth Financing Authority and are not intended to present fairly the financial position of the Commonwealth of Pennsylvania and the results of its operations and cash flows of its proprietary and similar trust fund types in conformity with accounting principles generally accepted in the United States of America.

The Authority is a component unit of the Commonwealth of Pennsylvania ("Commonwealth"). As disclosed in Note 1 of the financial statements, the Authority has extensive transactions and relationships with certain Commonwealth affiliated agencies. The financial position and results of operations of the Authority may not be indicative of that which would have been obtained had the Authority operated independently.

In our opinion, the financial statements referred to above present fairly the financial position of the Authority, and the results of its operations and cash flows in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 12, 2007 on our consideration of the Authority's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The Management's Discussion and Analysis as referenced in the table of contents is not a required part of the basic financial statements but is supplemental information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

*Clifton Gunderson LLP*

Harrisburg, Pennsylvania  
September 12, 2007

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2007 and 2006**

The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter "GASB 34"), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2007 and 2006. Please read it in conjunction with the Authority's financial statements that follow this section.

**FINANCIAL HIGHLIGHTS**

- During the fiscal year ending June 30, 2007, the Authority executed its third \$187.5 million bond issue to fund projects approved for grants, loans, and venture capital investments under established financing programs. Since inception, the Authority has awarded \$891 million to assist 598 economic development projects across the Commonwealth. This investment will leverage more than \$2.7 billion in private investment.
- The Authority board approved an investment strategy to guide the investment of bond proceeds and payments received from approved loan and venture capital investment projects.
- The Authority opened for business the final two of eight programs under its jurisdiction, the Building PA Program and the Venture Guarantee Program and approved investments and guarantees for fund managers.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a statement of net assets; a statement of revenues, expenses, and changes in net assets; a statement of cash flows; and notes to the financial statements.

The Statement of Net Assets presents the financial position of the Authority on a full accrual historical cost basis. The Statement of Net Assets also presents information on all of the Authority's assets and liabilities, with the difference reported as net assets. Over time, increases and decreases in net assets are one indicator of whether the financial position of the Authority is improving or deteriorating.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2007 and 2006**

While the Statement of Net Assets provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Assets presents the results of the business-type activities over the course of the fiscal year and information as to how the net assets changed during the year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipts and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

**FINANCIAL ANALYSIS**

<b>Condensed Statements of Net Assets</b>		
	<b>2007</b>	<b>2006</b>
Current assets	\$ 343,892,109	\$ 321,187,709
Long-term assets	<u>122,545,599</u>	<u>38,482,356</u>
Total assets	<u>466,437,708</u>	<u>359,670,065</u>
Current liabilities	20,890,603	13,551,143
Long-term liabilities	<u>538,315,943</u>	<u>369,252,955</u>
Total liabilities	<u>559,206,546</u>	<u>382,804,098</u>
Net assets		
Unrestricted (deficit)	<u>(92,768,838)</u>	<u>(23,134,033)</u>
<b>Total net assets (deficit)</b>	<u><b>\$ (92,768,838)</b></u>	<u><b>\$ (23,134,033)</b></u>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2007 and 2006**

**Condensed Statements of Revenues, Expenses, and Changes in Fund Net Assets**

	<u>2007</u>	<u>2006</u>
Operating revenues	\$ 18,048,722	\$ 5,472,601
Operating expenses	(35,956,634)	(9,821,668)
Provision for loan losses	(1,774,253)	(808,226)
Nonoperating expenses - net	<u>(49,952,640)</u>	<u>(17,976,740)</u>
<b>Decrease in net assets</b>	<b><u>\$ (69,634,805)</u></b>	<b><u>\$ (23,134,033)</u></b>

As shown in the table above, operating revenues consist mostly of interest earnings. Nonoperating revenues and expenses consist mainly of a Transfer to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program in the amount of \$60 million and \$15 million for 2007 and 2006, respectively.

**Long-Term Debt**

During the current audit period, the Authority issued one revenue bond totaling \$187,500,000 to provide funds for loan disbursements, investments in venture capital and grant expenditures. In the prior year, the Authority issued two revenue bonds totaling \$375 million. In addition, the Authority entered into a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.



FINANCIAL STATEMENTS

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF NET ASSETS  
June 30, 2007 and 2006**

	<u>2007</u>	<u>2006</u>
<b>ASSETS</b>		
Current assets:		
Cash and cash equivalents	\$ 335,333,775	\$ 315,911,068
Receivables (net):		
Loans	2,367,072	997,830
Accrued interest	326,279	55,680
Penalties/late fees	8,343	728
Other assets	<u>5,856,640</u>	<u>4,222,403</u>
Total current assets	343,892,109	321,187,709
Long-term assets:		
Long-term portion of loans receivable (net)	<u>122,545,599</u>	<u>38,482,356</u>
Total assets	<u>466,437,708</u>	<u>359,670,065</u>
<b>LIABILITIES</b>		
Current liabilities:		
Current portion of long-term debt	\$ 18,115,000	\$ 10,280,000
Accrued interest payable	2,410,245	2,976,740
Accounts payable and accrued expenses	6,046	20,498
Due to primary governments - DCED	<u>359,312</u>	<u>273,905</u>
Total current liabilities	20,890,603	13,551,143
Non-current liabilities:		
Long-term debt, net of current portion and unamortized bond premium	<u>538,315,943</u>	<u>369,252,955</u>
Total liabilities	<u>559,206,546</u>	<u>382,804,098</u>
<b>NET ASSETS</b>		
Unrestricted (deficit)	<u>(92,768,838)</u>	<u>(23,134,033)</u>
<b>TOTAL NET ASSETS (DEFICIT)</b>	<u>\$ (92,768,838)</u>	<u>\$ (23,134,033)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS**  
**Years Ended June 30, 2007 and 2006**

	<u>2007</u>	<u>2006</u>
<b>OPERATING INCOME</b>		
Interest on loans	\$ 1,258,197	\$ 117,238
Interest on investments	15,809,023	5,322,967
Penalties/late fees	7,615	728
Commitment and application fee	<u>973,887</u>	<u>31,668</u>
Total operating income	<u>18,048,722</u>	<u>5,472,601</u>
<b>OPERATING EXPENSE</b>		
Administrative/operating expense	2,426,663	1,756,126
Grant expense - Business in Our Sites	30,175,469	5,217,887
Grant expense - First Industries	<u>3,354,502</u>	<u>2,847,655</u>
Total operating expenses	<u>35,956,634</u>	<u>9,821,668</u>
Net operating loss before provision for loan losses	(17,907,912)	(4,349,067)
<b>PROVISION FOR LOAN LOSSES</b>	<u>1,774,253</u>	<u>808,226</u>
Net operating loss after provision for loan losses	<u>(19,682,165)</u>	<u>(5,157,293)</u>
<b>NON-OPERATING INCOME (EXPENSE)</b>		
Transfers in from primary government	35,468,689	5,064,189
Interest on bonds	(24,623,173)	(8,040,929)
Amortization of bond premium	322,012	-
Amortization of bond issuance costs	(346,144)	-
Transfers to primary government - MELF	(60,000,000)	(15,000,000)
Other	<u>(774,024)</u>	<u>-</u>
Total non-operating loss	<u>(49,952,640)</u>	<u>(17,976,740)</u>
Net loss	(69,634,805)	(23,134,033)
<b>NET ASSETS, BEGINNING OF PERIOD</b>	<u>(23,134,033)</u>	<u>-</u>
<b>NET ASSETS, END OF PERIOD</b>	<u>\$ (92,768,838)</u>	<u>\$ (23,134,033)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF CASH FLOWS  
Years Ended June 30, 2007 and 2006**

	<u>2007</u>	<u>2006</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Cash received from interest and fees on loans	\$ 1,961,485	\$ 93,226
Cash received from interest on investments	15,809,023	5,322,967
Cash paid for operating expenses	(2,355,708)	(1,461,723)
Cash paid for grant expenses	<u>(33,529,971)</u>	<u>(8,065,542)</u>
Net cash used in operating activities	<u>(18,115,171)</u>	<u>(4,111,072)</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Principal receipt on loans	2,314,166	122,886
Investment in loans	(78,294,928)	(32,911,298)
Investment in venture capital	(12,000,000)	(7,500,000)
Transfer to primary government	<u>(60,000,000)</u>	<u>(15,000,000)</u>
Net cash used in investing activities	<u>(147,980,762)</u>	<u>(55,288,412)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>		
Proceeds from bonds payable, net	185,519,619	375,310,552
Commonwealth appropriation	35,468,689	5,064,189
Principal payments on bonds	(10,280,000)	-
Interest on bonds payable	<u>(25,189,668)</u>	<u>(5,064,189)</u>
Net cash provided by noncapital financing activities	<u>185,518,640</u>	<u>375,310,552</u>
<b>NET INCREASE IN CASH</b>	19,422,707	315,911,068
<b>CASH, BEGINNING</b>	<u>315,911,068</u>	<u>-</u>
<b>CASH, END OF YEAR</b>	<u>\$ 335,333,775</u>	<u>\$ 315,911,068</u>
<b>RECONCILIATION OF NET OPERATING LOSS AFTER PROVISION FOR LOAN LOSSES TO CASH USED IN OPERATING ACTIVITIES</b>		
Net operating loss after provision for loan losses	\$ (19,682,165)	\$ (5,157,293)
Adjustments to reconcile net operating loss to net cash used in operating activities:		
Provision for loan losses	1,774,253	808,226
Effects of changes in operating assets and liabilities:		
Interest receivables	(270,599)	(55,680)
Penalties/late fees	(7,615)	(728)
Accounts payable and accrued expenses	<u>70,955</u>	<u>294,403</u>
<b>NET CASH USED IN OPERATING ACTIVITIES</b>	<u>\$ (18,115,171)</u>	<u>\$ (4,111,072)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2007 and 2006**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The Commonwealth Financing Authority ("Authority") is a body corporate and politic duly organized by the Commonwealth of Pennsylvania ("Commonwealth") incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 ("Act"), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania Communities, the development of a stable tax base within Pennsylvania Communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth of Pennsylvania.

The legislation creating the Authority as well as program specific guidelines establish certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- TIF Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania Companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2007 and 2006**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Reporting Entity**

The Authority has adopted the provisions of Section 2100 of the Codification of Governmental Accounting and Financial Reporting Standards for the criteria used to evaluate organizations, activities and functions that should be included in the Authority's financial statements. The basic criteria is the exercise of oversight responsibility over such organizations, activities and functions. The Authority has not identified any entities which should be subject to evaluation for inclusion in the Authority's reporting entity.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition, the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

**Measurement Focus, Basis of Accounting and Financial Statement Presentation**

The Authority's financial statements are presented on the full accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. Under this basis of accounting, revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of the related cash flows. The Authority applies Governmental Accounting Standards Board (GASB) pronouncements as well as Financial Accounting Standards Board (FASB) statements and interpretations, and the Accounting Principles Board (APB) of the Committee of Accounting Procedures issued on or before November 30, 1989, unless those pronouncements conflict with or contradict GASB pronouncements.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the cost (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination of revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The accounting and financial reporting treatment applied to the Authority is determined by its measurement focus. The transactions of the Authority are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets and all liabilities associated with the operations are included on the balance sheet. Net assets represent total assets net of total liabilities.

**Cash and Cash Equivalents**

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit with a maturity of three months or less at the date of purchase.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2007 and 2006**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Allowance for Loan Losses**

The allowance for loan losses is a reserve account for possible future loan losses. Loan losses and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end. The provision for loan losses was based on comparison with other Authorities of the Commonwealth with similar operations and loan portfolio.

**Loan Origination Fees and Costs**

The Authority recognizes loan origination fees and costs in accordance with Statement of Financial Accounting Standards No. 91 ("SFAS No. 91"), *Accounting for Nonrefundable Fees and Costs Associated with Originating or Acquiring Loans and Initial Direct Costs of Leases*. For the years ended June 30, 2007 and 2006, \$774,024 and \$0, respectively, of net deferred fees are included in loans receivable.

**Use of Estimates in Preparing Financial Statements**

The preparation of financial statements requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

**Bond Premium and Discount**

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued.

**NOTE 2 – FINANCIAL SUPPORT**

The Authority has a net asset deficit of \$91,966,254 and \$23,134,033 as of June 30, 2007 and 2006, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of their bond proceeds to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributes to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, these factors listed above, do not raise doubt as to the Authority's ability to meet obligations when due.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2007 and 2006**

**NOTE 3 – DEPOSITS****Custodial Credit Risk**

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2007 and 2006, the Authority's bank balance was exposed to custodial credit risk as follows:

	<u>2007</u>	<u>2006</u>
FDIC Insured	\$ 100,000	\$ 200,000
Uninsured and collateral held by pledging bank's trust department not in the Authority's name	<u>335,233,775</u>	<u>315,711,068</u>
<b>Total</b>	<b><u>\$ 335,333,775</u></b>	<b><u>\$ 315,911,068</u></b>

**NOTE 4 – LOANS RECEIVABLE**

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

At June 30, 2007 and 2006, the outstanding balance of loans receivable was as follows:

	<u>2007</u>		
	<u>Current Portion</u>	<u>Long-term Portion</u>	<u>Total</u>
Loans receivable	\$ 2,469,848	\$ 111,299,326	\$ 113,769,174
Venture Capital Investment loans	-	14,500,000	14,500,000
Deferred loan origination fees - net	(53,379)	(720,645)	(774,024)
Allowance for loan losses	<u>(49,397)</u>	<u>(2,533,082)</u>	<u>(2,582,479)</u>
<b>Loan receivable - net</b>	<b><u>\$ 2,367,072</u></b>	<b><u>\$ 122,545,599</u></b>	<b><u>\$ 124,912,671</u></b>
	<u>2006</u>		
Loans receivable	\$ 1,018,257	\$ 31,770,155	\$ 32,788,412
Venture Capital Investment loans	-	7,500,000	7,500,000
Allowance for loan losses	<u>(20,427)</u>	<u>(787,799)</u>	<u>(808,226)</u>
<b>Loan receivable - net</b>	<b><u>\$ 997,830</u></b>	<b><u>\$ 38,482,356</u></b>	<b><u>\$ 39,480,186</u></b>

An analysis of the allowance for loan losses for the years ended June 30, 2007 and 2006 is as follows:

	<u>2007</u>	<u>2006</u>
Balance, beginning of year	\$ 808,226	\$ -
Provision for potential losses	<u>1,774,253</u>	<u>808,226</u>
<b>Balance, end of year</b>	<b><u>\$ 2,582,479</u></b>	<b><u>\$ 808,226</u></b>



**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2007 and 2006**

**NOTE 5 – BONDS PAYABLE**

	<u>2007</u>	<u>2006</u>
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C in November 2006 at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	\$ 187,500,000	\$ -
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federally taxable revenue bonds, Series B in April 2006 at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	183,285,000	187,500,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B in November 2005 at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	<u>181,435,000</u>	<u>187,500,000</u>
	552,220,000	375,000,000
Less current portion	(18,115,000)	(10,280,000)
Unamortized bond premium	<u>4,210,943</u>	<u>4,532,955</u>
<b>Long-term debt, net of current portion and unamortized bond premium</b>	<b><u>\$ 538,315,943</u></b>	<b><u>\$ 369,252,955</u></b>

Bond principal requirements subsequent to June 30, 2007 are as follows:

	<u>Principal Maturities</u>	<u>Interest</u>
<b>For the Year Ended June 30,</b>		
2008	\$ 18,115,000	\$ 28,922,940
2009	19,055,000	27,986,705
2010	20,045,000	26,998,370
2011	21,095,000	25,952,920
2012	22,195,000	24,850,346
2013-2017	129,785,000	105,477,256
2018-2022	168,275,000	67,037,578
2023-2027	<u>153,655,000</u>	<u>18,927,322</u>
<b>Total</b>	<b><u>\$ 552,220,000</u></b>	<b><u>\$ 326,153,437</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2007 and 2006**

**NOTE 5 – BONDS PAYABLE (CONTINUED)**

The Authority, with the Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

**NOTE 6 – RELATED PARTY TRANSACTIONS**

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) to provide administrative and operational support services for the Authority. The Authority employs one personnel and owns no capital assets; the remaining employees performing services for the Authority are DCED employees. As such under the memorandum of understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal year ended June 30, 2007 and 2006, the services provided by DCED to the Authority and recorded as Administrative/Operating expenses totaled \$2,426,663 and \$1,756,126, respectively.

During the fiscal year ended June 30, 2007 and 2006, the Authority received \$35,468,689 and \$5,064,189, respectively, in transfers from the Commonwealth to pay debt service with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.

**NOTE 7 – COMMITMENTS AND CONTINGENCIES**

The Authority, through various economic development programs, provided loan guarantees as follows:

	<b>2007</b>	<b>2006</b>
First industries loan guarantees	\$ 9,220,250	\$ 1,375,500
Tax increment financing guarantees	15,000,000	5,000,000
Second stage loan guarantees	2,660,000	375,000
Venture capital guarantees	172,500,000	-
<b>Total loan guarantees</b>	<b>\$ 199,380,250</b>	<b>\$ 6,750,500</b>

The Authority has not been called upon, with respect to any loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, no liability has been reflected in the Authority's financial statements for loan guarantees.

Through the various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, investments in venture capital and grants of \$300,107,152, \$27,750,000 and \$176,374,715, respectively, which have not been disbursed as of June 30, 2007.



**Independent Auditor's Report on Internal Control Over Financial  
Reporting and on Compliance and Other Matters Based on an  
Audit of Financial Statements Performed in  
Accordance with *Government Auditing Standards***

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the basic financial statements of the Commonwealth Financing Authority ("Authority") as of and for the years ended June 30, 2007 and 2006, and have issued our report thereon dated September 12, 2007. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

**Internal Control Over Financial Reporting**

In planning and performing our audit, we considered the Authority's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the entity's internal control over financial reporting.

A control deficiency exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect misstatements on a timely basis. A significant deficiency is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected by the entity's internal control.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected by the entity's internal control.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the Authority's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the Board of Directors, management and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

*Clifton Gunderson LLP*

Harrisburg, Pennsylvania  
September 12, 2007

COMMONWEALTH FINANCING AUTHORITY  
(Component Unit of Commonwealth of Pennsylvania)  
Harrisburg, Pennsylvania

FINANCIAL STATEMENTS  
June 30, 2008 and 2007

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### Independent Auditor's Report

To the Board of Directors of the  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the accompanying statements of net assets of the Commonwealth Financing Authority ("Authority") as of June 30, 2008 and 2007, and the related statements of revenues, expenses, and changes in net assets and cash flows for the years ended June 30, 2008 and 2007. These financial statements are the responsibility of the Authority's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

As discussed in the Notes, the financial statements present only financial information about the Commonwealth Financing Authority and are not intended to present fairly the financial position of the Commonwealth of Pennsylvania and the results of its operations and cash flows of its proprietary and similar trust fund types in conformity with accounting principles generally accepted in the United States of America.

The Authority is a component unit of the Commonwealth of Pennsylvania ("Commonwealth"). As disclosed in Note 1 of the financial statements, the Authority has extensive transactions and relationships with certain Commonwealth affiliated agencies. The financial position and results of operations of the Authority may not be indicative of that which would have been obtained had the Authority operated independently.

In our opinion, the financial statements referred to above present fairly the financial position of the Authority, and the results of its operations and cash flows in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated August 29, 2008 on our consideration of the Authority's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The Management's Discussion and Analysis as referenced in the Table of Contents is not a required part of the basic financial statements but is supplemental information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

*Clifton Henderson LLP*

Harrisburg, Pennsylvania  
August 29, 2008

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2008 and 2007**

The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter "GASB 34"), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2008 and 2007. Please read it in conjunction with the Authority's financial statements that follow this section.

**FINANCIAL HIGHLIGHTS**

- During the fiscal year ending June 30, 2008, the Authority executed its fourth bond issue in the amount of \$187.5 million to fund projects approved for grants, loans, and venture capital investments under established financing programs. Since inception, the Authority has awarded over \$1 billion to assist 729 economic development projects across the Commonwealth. This investment will leverage more than \$3.2 billion in private investment.
- The economic impact of these economic development projects, many of which are still in planning and early construction phases, already has created more than 7,200 new jobs and almost \$1 billion in private investment.
- The Authority entered into a \$50 million revolving credit agreement with Dexia Bank to ensure sufficient funds are available for demands made on the loan guarantee programs.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a Statement of Net Assets; a Statement of Revenues, Expenses, and Changes in Net Assets; a Statement of Cash Flows; and notes to the Financial Statements.

The Statement of Net Assets presents the financial position of the Authority on a full accrual historical cost basis. The Statements of Net Assets also presents information on all of the Authority's assets and liabilities, with the difference reported as net assets. Over time, increases and decreases in net assets are one indicator of whether the financial position of the Authority is improving or deteriorating.



**COMMONWEALTH FINANCING AUTHORITY**  
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**MANAGEMENT'S DISCUSSION AND ANALYSIS**  
**June 30, 2008 and 2007**

While the Statement of Net Assets provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Assets presents the results of the business-type activities over the course of the fiscal year and information as to how the net assets changed during the year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipts and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

**FINANCIAL ANALYSIS**

**Condensed Statements of Net Assets**

	<u>2008</u>	<u>2007</u>	<u>2006</u>
Current assets	\$ 448,882,160	\$ 343,892,109	\$ 321,187,709
Long-term assets	<u>184,532,028</u>	<u>122,545,599</u>	<u>38,482,356</u>
Total assets	<u>633,414,188</u>	<u>466,437,708</u>	<u>359,670,065</u>
Current liabilities	29,135,723	20,890,603	13,551,143
Long-term liabilities	<u>702,026,980</u>	<u>538,315,943</u>	<u>369,252,955</u>
Total liabilities	<u>731,162,703</u>	<u>559,206,546</u>	<u>382,804,098</u>
Net assets			
Unrestricted (deficit)	<u>(97,748,515)</u>	<u>(92,768,838)</u>	<u>(23,134,033)</u>
<b>Total net assets (deficit)</b>	<b><u>\$ (97,748,515)</u></b>	<b><u>\$ (92,768,838)</u></b>	<b><u>\$ (23,134,033)</u></b>

The Authority issued bonds totaling \$187.5 million for both 2008 and 2007, which caused an increase in total liabilities of \$172.0 and \$176.4 at June 30, 2008 and 2007, respectively. Due to the issuance of bonds, the Authority has been able to increase the amount of loan originations over the past two years, causing an increase in total assets of \$167.0 and \$106.8 as of June 30, 2008 and 2007, respectively. Due to the nature of the loans, some of which require drawdowns, funding not immediately disbursed upon Board approval is held as cash and cash equivalents.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2008 and 2007**

**Condensed Statements of Revenues, Expenses, and Changes in Fund Net Assets**

	<u>2008</u>	<u>2007</u>	<u>2006</u>
Operating income	\$ 16,398,583	\$ 18,048,722	\$ 5,472,601
Operating expenses	(35,525,735)	(35,956,634)	(9,821,668)
Provision for loan losses	(1,307,417)	(1,774,253)	(808,226)
Nonoperating expenses - net	<u>15,454,892</u>	<u>(49,952,640)</u>	<u>(17,976,740)</u>
<b>Decrease in net assets</b>	<u>\$ (4,979,677)</u>	<u>\$ (69,634,805)</u>	<u>\$ (23,134,033)</u>

The Authority continues to operate with a net asset deficit, partly due to its economic development mission, which includes granting money to applicants for planning and construction projects. In the prior year, the Authority incurred significant non-operating expenses due to the transfer to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program in the amount of \$60 million for 2007. There were no transfers to the Commonwealth under this program for 2008.

**Long-Term Debt**

During the current audit period, the Authority issued one revenue bond totaling \$187.5 million to provide funds for loan disbursements, investments in venture capital and grant expenditures. Since inception, the Authority has issued four revenue bonds totaling \$750 million. The Authority has a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

FINANCIAL STATEMENTS

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF NET ASSETS**  
**June 30, 2008 and 2007**

	<u>2008</u>	<u>2007</u>
<b>ASSETS</b>		
Current assets:		
Cash and cash equivalents	\$ 435,076,058	\$ 335,333,775
Receivables (net):		
Loans	5,653,990	2,367,072
Accrued interest	280,723	326,279
Penalties/late fees	1,989	8,343
Other assets	<u>7,869,400</u>	<u>5,856,640</u>
 Total current assets	 448,882,160	 343,892,109
Long-term assets:		
Long-term portion of loans receivable (net)	<u>184,532,028</u>	<u>122,545,599</u>
 Total assets	 <u>633,414,188</u>	 <u>466,437,708</u>
<b>LIABILITIES</b>		
Current liabilities:		
Current portion of long-term debt	23,505,000	18,115,000
Accrued interest payable	5,124,764	2,410,245
Accounts payable and accrued expenses	41,413	6,046
Due to primary governments - DCED	<u>464,546</u>	<u>359,312</u>
 Total current liabilities	 29,135,723	 20,890,603
Non-current liabilities:		
Long-term debt, net of current portion and unamortized bond premium	<u>702,026,980</u>	<u>538,315,943</u>
 Total liabilities	 <u>731,162,703</u>	 <u>559,206,546</u>
<b>NET ASSETS</b>		
Unrestricted (deficit)	<u>(97,748,515)</u>	<u>(92,768,838)</u>
 <b>TOTAL NET ASSETS (DEFICIT)</b>	 <u>\$ (97,748,515)</u>	 <u>\$ (92,768,838)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS**  
**Years Ended June 30, 2008 and 2007**

	<u>2008</u>	<u>2007</u>
<b>OPERATING INCOME</b>		
Interest on loans	\$ 2,369,357	\$ 1,258,197
Interest on investments	13,910,201	15,809,023
Fee income	<u>119,025</u>	<u>981,502</u>
Total operating income	<u>16,398,583</u>	<u>18,048,722</u>
<b>OPERATING EXPENSES</b>		
Administrative/operating expense	2,178,895	2,426,663
Grant expense - Business in Our Sites	31,961,556	30,175,469
Grant expense - First Industries	<u>1,385,284</u>	<u>3,354,502</u>
Total operating expenses	<u>35,525,735</u>	<u>35,956,634</u>
Net operating loss before provision for loan losses	(19,127,152)	(17,907,912)
<b>PROVISION FOR LOAN LOSSES</b>	<u>1,307,417</u>	<u>1,774,253</u>
Net operating loss after provision for loan losses	<u>(20,434,569)</u>	<u>(19,682,165)</u>
<b>NON-OPERATING INCOME (EXPENSE)</b>		
Transfers in from primary government	47,037,935	35,468,689
Interest on bonds	(31,637,458)	(24,623,173)
Amortization of bond premium	226,360	322,012
Amortization of bond issuance costs	(408,978)	(346,144)
Transfers to primary government - MELF	-	(60,000,000)
Other	<u>237,033</u>	<u>(774,024)</u>
Total non-operating income (expense)	<u>15,454,892</u>	<u>(49,952,640)</u>
Net loss	(4,979,677)	(69,634,805)
<b>NET ASSETS, BEGINNING OF PERIOD</b>	<u>(92,768,838)</u>	<u>(23,134,033)</u>
<b>NET ASSETS, END OF PERIOD</b>	<u>\$ (97,748,515)</u>	<u>\$ (92,768,838)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF CASH FLOWS**  
**Years Ended June 30, 2008 and 2007**

	<u>2008</u>	<u>2007</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Cash received from interest and fees on loans	\$ 2,540,292	\$ 1,961,485
Cash received from interest on investments	13,910,201	15,809,023
Cash paid for operating expenses	(2,038,294)	(2,355,708)
Cash paid for grant expenses	<u>(33,346,840)</u>	<u>(33,529,971)</u>
Net cash and cash equivalents used in operating activities	<u>(18,934,641)</u>	<u>(18,115,171)</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Principal receipt on loans	5,119,169	2,314,166
Investment in loans	(63,812,898)	(78,294,928)
Investment in venture capital	(7,650,000)	(12,000,000)
Transfer to primary government	<u>-</u>	<u>(60,000,000)</u>
Net cash and cash equivalents used in investing activities	<u>(66,343,729)</u>	<u>(147,980,762)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>		
Proceeds from bonds payable, net	185,020,657	185,519,619
Commonwealth appropriation	47,037,935	35,468,689
Principal payments on bonds	(18,115,000)	(10,280,000)
Interest on bonds payable	<u>(28,922,939)</u>	<u>(25,189,668)</u>
Net cash and cash equivalents provided by noncapital financing activities	<u>185,020,653</u>	<u>185,518,640</u>
<b>NET INCREASE IN CASH AND CASH EQUIVALENTS</b>	99,742,283	19,422,707
<b>CASH AND CASH EQUIVALENTS, BEGINNING</b>	<u>335,333,775</u>	<u>315,911,068</u>
<b>CASH AND CASH EQUIVALENTS, END OF YEAR</b>	<u>\$ 435,076,058</u>	<u>\$ 335,333,775</u>
<b>RECONCILIATION OF NET OPERATING LOSS AFTER PROVISION FOR LOAN LOSSES TO CASH USED IN OPERATING ACTIVITIES</b>		
Net operating loss after provision for loan losses	\$ (20,434,569)	\$ (19,682,165)
Adjustments to reconcile net operating loss to net cash used in operating activities:		
Provision for loan losses	1,307,417	1,774,253
Effects of changes in operating assets and liabilities:		
Interest receivables	45,556	(270,599)
Penalties/late fees	6,354	(7,615)
Accounts payable and accrued expenses and due to primary governments - DCED	<u>140,601</u>	<u>70,955</u>
<b>NET CASH AND CASH EQUIVALENTS USED IN OPERATING ACTIVITIES</b>	<u>\$ (18,934,641)</u>	<u>\$ (18,115,171)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2008 and 2007**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The Commonwealth Financing Authority (“Authority”) is a body corporate and politic duly organized by the Commonwealth of Pennsylvania (“Commonwealth”) incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (“Act”), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania Communities, the development of a stable tax base within Pennsylvania Communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth of Pennsylvania.

The legislation creating the Authority as well as program specific guidelines establish certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- TIF Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania Companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2008 and 2007**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Reporting Entity**

The Authority has adopted the provisions of Section 2100 of the Codification of Governmental Accounting and Financial Reporting Standards for the criteria used to evaluate organizations, activities and functions that should be included in the Authority's financial statements. The basic criteria is the exercise of oversight responsibility over such organizations, activities and functions. The Authority has not identified any entities which should be subject to evaluation for inclusion in the Authority's reporting entity.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition, the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

**Measurement Focus, Basis of Accounting and Financial Statement Presentation**

The Authority's financial statements are presented on the full accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. Under this basis of accounting, revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of the related cash flows. The Authority applies Governmental Accounting Standards Board (GASB) pronouncements as well as Financial Accounting Standards Board (FASB) statements and interpretations, and the Accounting Principles Board (APB) of the Committee of Accounting Procedures issued on or before November 30, 1989, unless those pronouncements conflict with or contradict GASB pronouncements.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the cost (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination of revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The accounting and financial reporting treatment applied to the Authority is determined by its measurement focus. The transactions of the Authority are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets and all liabilities associated with the operations are included on the balance sheet. Net assets represent total assets net of total liabilities.

**Cash and Cash Equivalents**

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit with a maturity of three months or less at the date of purchase.



**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2008 and 2007**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Allowance for Loan Losses**

The allowance for loan losses is a reserve account for possible future loan losses. Loan losses and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end. The provision for loan losses was based on comparison with other Authorities of the Commonwealth with similar operations and loan portfolio.

**Loan Origination Fees and Costs**

The Authority recognizes loan origination fees and costs in accordance with Statement of Financial Accounting Standards No. 91 ("SFAS No. 91"), *Accounting for Nonrefundable Fees and Costs Associated with Originating or Acquiring Loans and Initial Direct Costs of Leases*. For the years ended June 30, 2008 and 2007, \$536,991 and \$774,024, respectively, of net deferred fees are included in loans receivable.

**Use of Estimates in Preparing Financial Statements**

The preparation of financial statements requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

**Reclassifications**

For comparative purposes, prior year's financial statements have been reclassified to conform to report classifications of the current year. The reclassifications had no effect on net assets.

**Bond Premium and Discount**

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued.

**NOTE 2 – FINANCIAL SUPPORT**

The Authority has a net asset deficit of \$97,748,515 and \$92,768,838 as of June 30, 2008 and 2007, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of their bond proceeds in prior years to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributes to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, these factors listed above, do not raise doubt as to the Authority's ability to meet obligations when due.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2008 and 2007**

**NOTE 3 – DEPOSITS****Custodial Credit Risk**

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2008 and 2007, the Authority's bank balance was exposed to custodial credit risk as follows:

	<u>2008</u>	<u>2007</u>
FDIC Insured	\$ 100,000	\$ 100,000
Uninsured and collateral held by pledging bank's trust department not in the Authority's name	<u>434,976,058</u>	<u>335,233,775</u>
<b>Total</b>	<b><u>\$ 435,076,058</u></b>	<b><u>\$ 335,333,775</u></b>

Additionally, due to the short-term maturity and types of investments, there is limited interest rate risk.

**NOTE 4 – LOANS RECEIVABLE**

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

At June 30, 2008 and 2007, the outstanding balance of loans receivable was as follows:

	<u>2008</u>		
	<u>Current Portion</u>	<u>Long-term Portion</u>	<u>Total</u>
Loans receivable	\$ 5,810,920	\$166,651,985	\$172,462,905
Venture Capital Investment loans	-	22,150,000	22,150,000
Deferred loan origination fees - net	(40,712)	(496,279)	(536,991)
Allowance for loan losses	<u>(116,218)</u>	<u>(3,773,678)</u>	<u>(3,889,896)</u>
<b>Loan receivable - net</b>	<b><u>\$ 5,653,990</u></b>	<b><u>\$184,532,028</u></b>	<b><u>\$190,186,018</u></b>
	<u>2007</u>		
Loans receivable	\$ 2,469,848	\$111,299,326	\$113,769,174
Venture Capital Investment loans	-	14,500,000	14,500,000
Deferred loan origination fees - net	(53,379)	(720,645)	(774,024)
Allowance for loan losses	<u>(49,397)</u>	<u>(2,533,082)</u>	<u>(2,582,479)</u>
<b>Loan receivable - net</b>	<b><u>\$ 2,367,072</u></b>	<b><u>\$122,545,599</u></b>	<b><u>\$124,912,671</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2008 and 2007**

**NOTE 4 – LOANS RECEIVABLE (CONTINUED)**

An analysis of the allowance for loan losses for the years ended June 30, 2008 and 2007 is as follows:

	<u>2008</u>	<u>2007</u>
Balance, beginning of year	\$ 2,582,479	\$ 808,226
Change in provision for potential losses	<u>1,307,417</u>	<u>1,774,253</u>
<b>Balance, end of year</b>	<b><u>\$ 3,889,896</u></b>	<b><u>\$ 2,582,479</u></b>

**NOTE 5 – BONDS PAYABLE**

	<u>2008</u>	<u>2007</u>
Series 2008 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series A at 3.1% -5.2%, interest payable semi-annually and principal payable annually through June 1, 2027.	\$187,500,000	\$ -
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C in November 2006 at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	181,385,000	187,500,000
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federally taxable revenue bonds, Series B in April 2006 at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	177,640,000	183,285,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B in November 2005 at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	<u>175,080,000</u>	<u>181,435,000</u>
	721,605,000	552,220,000
Less current portion	(23,505,000)	(18,115,000)
Unamortized bond premium	<u>3,926,980</u>	<u>4,210,943</u>
<b>Long-term debt, net of current portion and unamortized bond premium</b>	<b><u>\$702,026,980</u></b>	<b><u>\$538,315,943</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2008 and 2007**

**NOTE 5 – BONDS PAYABLE (CONTINUED)**

Bond principal requirements subsequent to June 30, 2008 are as follows:

<b>For the Year Ended June 30,</b>	<b>Principal Maturities</b>	<b>Interest</b>
2008	\$ 23,505,000	\$ 39,916,755
2009	26,645,000	36,777,389
2010	27,920,000	35,508,199
2011	29,280,000	34,142,180
2012	30,740,000	32,678,571
2013-2017	179,235,000	137,908,841
2018-2022	232,780,000	84,382,611
2023-2027	171,500,000	19,458,278
<b>Total</b>	<b><u>\$ 721,605,000</u></b>	<b><u>\$ 420,772,824</u></b>

The Authority, with the Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

**NOTE 6 – RELATED PARTY TRANSACTIONS**

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) to provide administrative and operational support services for the Authority. The Authority employs one personnel and owns no capital assets; the remaining employees performing services for the Authority are DCED employees. As such under the Memorandum of Understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal year ended June 30, 2008 and 2007, the services provided by DCED to the Authority and recorded as Administrative/Operating expenses totaled \$2,178,895 and \$2,426,663, respectively.

During the fiscal year ended June 30, 2008 and 2007, the Authority received \$47,037,935 and \$35,468,689, respectively, in transfers from the Commonwealth to pay debt service with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2008 and 2007**

**NOTE 7 – LINE OF CREDIT**

The Authority has available a secured line of credit with a bank, which, under a revolving credit agreement, is limited to borrowings of \$50,000,000. Under the revolving credit agreement, interest shall accrue on the aggregate unpaid principal amount outstanding on the draws. As of June 30, 2008 and 2007, no funds were drawn under the revolving credit agreement.

**NOTE 8 – COMMITMENTS AND CONTINGENCIES**

The Authority, through various economic development programs, provided loan guarantees as follows:

	<u>2008</u>	<u>2007</u>
First Industries loan guarantees	\$ 18,140,750	\$ 9,220,250
Tax increment financing guarantees	30,000,000	15,000,000
Second stage loan guarantees	2,785,000	2,660,000
Venture capital guarantees	<u>197,500,000</u>	<u>172,500,000</u>
<b>Total loan guarantees</b>	<u><b>\$248,425,750</b></u>	<u><b>\$199,380,250</b></u>

The Authority has not been called upon, with respect to any loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, no liability has been reflected in the Authority's financial statements for loan guarantees.

Through the various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, investments in venture capital and grants of \$181,973,899, \$27,500,000 and \$39,398,626, respectively, which have not been disbursed as of June 30, 2008.

This information is an integral part of the accompanying financial statements.



**Independent Auditor's Report on Internal Control Over Financial Reporting  
and on Compliance and Other Matters Based on an Audit of Financial Statements  
Performed in Accordance with *Government Auditing Standards***

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the basic financial statements of the Commonwealth Financing Authority ("Authority") as of and for the years ended June 30, 2008, and have issued our report thereon dated August 29, 2008. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

***Internal Control Over Financial Reporting***

In planning and performing our audit, we considered the Authority's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the entity's internal control over financial reporting.

Our consideration of internal control over financial reporting was for the limited purpose described in the preceding paragraph and would not necessarily identify all deficiencies in internal control over financial reporting that might be significant deficiencies or material weaknesses. However, as discussed below, we identified certain deficiencies in internal control over financial reporting that we consider to be significant deficiencies.

A control deficiency exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect misstatements on a timely basis. A significant deficiency is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected by the entity's internal control. We consider the deficiency described below to be a significant deficiency in internal control over financial reporting.

During the course of the audit, we discovered several misstatements, that combined had a material effect on the Authority's financial statements. Specifically, adjustments were made to properly record issuance costs and bond premium for the 2008 bond issuance and to correct errors made in recording the accrued interest income for loans and accrued interest expense for bonds payable at year-end. We recommend that management establish procedures for review and approval of journal entries for accuracy and completeness in the recording of month-end accruals and all components of a bond issuance.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected by the entity's internal control.

Our consideration of the internal control over financial reporting was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in the internal control that might be significant deficiencies and, accordingly, would not necessarily disclose all significant deficiencies that are also considered to be material weaknesses. However, we believe that the significant deficiency described above is not a material weakness.

#### ***Compliance and Other Matters***

As part of obtaining reasonable assurance about whether the Authority's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the audit committee, management and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

*Clifton Henderson LLP*

Harrisburg, Pennsylvania  
August 29, 2008

**COMMONWEALTH FINANCING AUTHORITY**  
 (Component Unit of the Commonwealth of Pennsylvania)  
 Harrisburg, Pennsylvania

**FINANCIAL STATEMENTS**  
 June 30, 2009 and 2008

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### Independent Auditor's Report

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the accompanying statements of net assets of the Commonwealth Financing Authority (Authority), a component unit of the Commonwealth of Pennsylvania, as of June 30, 2009 and 2008, and the related statements of revenues, expenses, and changes in net assets and cash flows for the years then ended, which collectively comprise the Authority's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the Authority's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

As discussed in the Notes, the financial statements present only financial information about the Commonwealth Financing Authority and are not intended to present fairly the financial position of the Commonwealth of Pennsylvania and the results of its operations and cash flows of its proprietary and similar trust fund types in conformity with accounting principles generally accepted in the United States of America.

The Authority is a component unit of the Commonwealth of Pennsylvania (Commonwealth). As disclosed in Note 1 of the financial statements, the Authority has extensive transactions and relationships with certain Commonwealth affiliated agencies. The financial position and results of operations of the Authority may not be indicative of that which would have been obtained had the Authority operated independently.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Authority, and the results of its operations and cash flows in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 8, 2009 on our consideration of the Authority's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The Management's Discussion and Analysis as referenced in the Table of Contents is not a required part of the basic financial statements but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

*Clifton Gunderson LLP*

Harrisburg, Pennsylvania  
September 8, 2009

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2009 and 2008**

The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter GASB 34), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2009 and 2008. Please read it in conjunction with the Authority's financial statements that follow this section.

**OPERATIONAL HIGHLIGHTS**

The Authority implemented two major legislative initiatives approved by the General Assembly in July 2008. Three new grant programs to repair high hazard unsafe dams, construct flood control projects, and repair water and sewer systems began accepting applications in December 2008. 774 applications requesting over \$3 billion were received for consideration under the \$800 million H2O PA programs. The Authority also began accepting applications under four new programs to promote alternative energy production, energy conservation, and manufacturing of alternative energy equipment in the Commonwealth. The Authority will raise \$500 million through bond sales to fund the new energy programs.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a Statement of Net Assets; a Statement of Revenues, Expenses, and Changes in Net Assets; a Statement of Cash Flows; and Notes to the Financial Statements.

The Statement of Net Assets presents the financial position of the Authority on a full accrual historical cost basis. The Statement of Net Assets also presents information on all of the Authority's assets and liabilities, with the difference reported as net assets. Over time, increases and decreases in net assets are one indicator of whether the financial position of the Authority is improving or deteriorating.

While the Statement of Net Assets provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Assets presents the results of the business-type activities over the course of the fiscal year and information as to how the net assets changed during the year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**MANAGEMENT'S DISCUSSION AND ANALYSIS**  
**June 30, 2009 and 2008**

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipt and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

**FINANCIAL ANALYSIS**

**Condensed Statements of Net Assets**

	2009	2008	2007
<b>Assets:</b>			
Current assets	\$ 483,900,761	\$ 448,882,160	\$ 343,892,109
Long-term assets	<u>239,787,756</u>	<u>184,532,028</u>	<u>122,545,599</u>
Total assets	<u>723,688,517</u>	<u>633,414,188</u>	<u>466,437,708</u>
<b>Liabilities:</b>			
Current liabilities	30,501,487	29,135,723	20,890,603
Long-term liabilities	<u>773,952,402</u>	<u>702,026,980</u>	<u>538,315,943</u>
Total liabilities	<u>804,453,889</u>	<u>731,162,703</u>	<u>559,206,546</u>
<b>Total net deficit – unrestricted</b>	<u>\$ (80,765,372)</u>	<u>\$ (97,748,515)</u>	<u>\$ (92,768,838)</u>

The Authority issued bonds totaling \$100 million and \$187.5 million in 2009 and 2008, respectively, which caused an increase in total liabilities of \$73 million and \$172 million at June 30, 2009 and 2008, respectively. Due to the issuance of bonds, the Authority has been able to increase the amount of loan originations over the past two years, causing an increase in total assets of \$90 million and \$167 million as of June 30, 2009 and 2008, respectively. Due to the nature of the loans, some of which require drawdowns, funding not immediately disbursed upon Board approval is held as cash and cash equivalents.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2009 and 2008**

**Condensed Statements of Revenues, Expenses, and Changes in Net Assets**

	<u>2009</u>	<u>2008</u>	<u>2007</u>
Operating income	\$ 11,614,029	\$ 16,398,583	\$ 18,048,722
Operating expenses	(18,734,695)	(35,525,735)	(35,956,634)
Provision for loan losses	(1,177,504)	(1,307,417)	(1,774,253)
Nonoperating income (expense) - net	<u>25,281,313</u>	<u>15,454,892</u>	<u>(49,952,640)</u>
<b>Increase (decrease) in net assets</b>	<u>\$ 16,983,143</u>	<u>\$ (4,979,677)</u>	<u>\$ (69,634,805)</u>

**Long-Term Debt**

During 2009, the Authority issued one revenue bond totaling \$100 million to provide funds for loan disbursements and grant expenditures under Alternative Energy programs. Since inception, the Authority has issued five revenue bonds totaling \$850 million. The Authority has a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

FINANCIAL STATEMENTS

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF NET ASSETS**  
**June 30, 2009 and 2008**

	<u>2009</u>	<u>2008</u>
<b>ASSETS</b>		
Current assets:		
Cash and cash equivalents	\$ 466,995,050	\$ 435,076,058
Receivables (net):		
Loans	8,092,104	5,653,990
Accrued interest	530,832	280,723
Penalties/late fees	4,053	1,989
Other assets	<u>8,278,722</u>	<u>7,869,400</u>
Total current assets	483,900,761	448,882,160
Long-term assets:		
Long-term portion of loans receivable (net)	<u>239,787,756</u>	<u>184,532,028</u>
Total assets	<u>723,688,517</u>	<u>633,414,188</u>
<b>LIABILITIES</b>		
Current liabilities:		
Current portion of long-term debt	26,645,000	23,505,000
Accrued interest payable	3,414,469	5,124,764
Accounts payable and accrued expenses	-	41,413
Due to primary governments - DCED	<u>442,018</u>	<u>464,546</u>
Total current liabilities	30,501,487	29,135,723
Non-current liabilities:		
Long-term debt, net of current portion and unamortized bond premium and discount	<u>773,952,402</u>	<u>702,026,980</u>
Total liabilities	<u>804,453,889</u>	<u>731,162,703</u>
<b>TOTAL NET DEFICIT - UNRESTRICTED</b>	<u>\$ (80,765,372)</u>	<u>\$ (97,748,515)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS**  
**Years Ended June 30, 2009 and 2008**

	<u>2009</u>	<u>2008</u>
<b>OPERATING INCOME</b>		
Interest on loans	\$ 3,979,784	\$ 2,369,357
Interest on investments	7,104,622	13,910,201
Fee income	279,623	119,025
Interest from venture capital loan	<u>250,000</u>	<u>-</u>
Total operating income	<u>11,614,029</u>	<u>16,398,583</u>
<b>OPERATING EXPENSES</b>		
Administrative/operating expense	2,145,097	2,178,895
Grant expense - Business in Our Sites	15,601,132	31,961,556
Grant expense - First Industries	<u>988,466</u>	<u>1,385,284</u>
Total operating expenses	<u>18,734,695</u>	<u>35,525,735</u>
Net operating loss before provision for loan losses	(7,120,666)	(19,127,152)
<b>PROVISION FOR LOAN LOSSES</b>	<u>1,177,504</u>	<u>1,307,417</u>
Net operating loss	<u>(8,298,170)</u>	<u>(20,434,569)</u>
<b>NONOPERATING INCOME (EXPENSE)</b>		
Transfers in from primary government	63,421,755	47,037,935
Interest on bonds	(38,206,461)	(31,637,458)
Amortization of bond premium	221,031	226,360
Amortization of bond issuance costs	(443,797)	(408,978)
Other	<u>288,785</u>	<u>237,033</u>
Total nonoperating income	<u>25,281,313</u>	<u>15,454,892</u>
Change in net assets	16,983,143	(4,979,677)
<b>NET ASSETS, BEGINNING OF PERIOD</b>	<u>(97,748,515)</u>	<u>(92,768,838)</u>
<b>NET ASSETS, END OF PERIOD</b>	<u>\$ (80,765,372)</u>	<u>\$ (97,748,515)</u>

The accompanying notes are an integral part of the financial statements.



**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF CASH FLOWS**  
**Years Ended June 30, 2009 and 2008**

	<u>2009</u>	<u>2008</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Cash received from interest and fees on loans	\$ 4,257,234	\$ 2,540,292
Cash received from interest on investments	7,104,622	13,910,201
Cash paid for operating expenses	(2,209,038)	(2,038,294)
Cash paid for grant expenses	<u>(16,589,598)</u>	<u>(33,346,840)</u>
Net cash and cash equivalents used in operating activities	<u>(7,436,780)</u>	<u>(18,934,641)</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Principal receipt on loans	6,197,927	5,119,169
Investment in loans	(54,005,487)	(63,812,898)
Investment in venture capital	<u>(10,775,000)</u>	<u>(7,650,000)</u>
Net cash and cash equivalents used in investing activities	<u>(58,582,560)</u>	<u>(66,343,729)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>		
Proceeds from bonds payable	97,938,333	185,020,657
Commonwealth appropriation	63,421,755	47,037,935
Principal payments on bonds	(23,505,000)	(18,115,000)
Interest on bonds payable	<u>(39,916,756)</u>	<u>(28,922,939)</u>
Net cash and cash equivalents provided by noncapital financing activities	<u>97,938,332</u>	<u>185,020,653</u>
<b>NET INCREASE IN CASH AND CASH EQUIVALENTS</b>	31,918,992	99,742,283
<b>CASH AND CASH EQUIVALENTS, BEGINNING</b>	<u>435,076,058</u>	<u>335,333,775</u>
<b>CASH AND CASH EQUIVALENTS, END OF YEAR</b>	<u>\$ 466,995,050</u>	<u>\$ 435,076,058</u>
<b>RECONCILIATION OF NET OPERATING LOSS AFTER PROVISION FOR LOAN LOSSES TO CASH AND CASH EQUIVALENTS USED IN OPERATING ACTIVITIES</b>		
Net operating loss	\$ (8,298,170)	\$ (20,434,569)
Adjustments to reconcile net operating loss to net cash and cash equivalents used in operating activities:		
Provision for loan losses	1,177,504	1,307,417
Effects of changes in operating assets and liabilities:		
Interest receivables	(250,109)	45,556
Penalties/late fees	(2,064)	6,354
Accounts payable and accrued expenses and due to primary governments - DCED	<u>(63,941)</u>	<u>140,601</u>
<b>NET CASH AND CASH EQUIVALENTS USED IN OPERATING ACTIVITIES</b>	<u>\$ (7,436,780)</u>	<u>\$ (18,934,641)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2009 and 2008**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The Commonwealth Financing Authority (Authority) is a body corporate and politic duly organized by the Commonwealth of Pennsylvania (Commonwealth) incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (Act), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the use of alternative and clean energy, the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania communities, the development of a stable tax base within Pennsylvania communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth.

The legislation creating the Authority as well as program specific guidelines establishes certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- TIF Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.
- H<sub>2</sub>O PA Program: provides for single-year or multi-year grants to municipalities or municipal authorities to assist with the construction of flood control projects, drinking water, sanitary sewer and storm sewer projects, and the repair of high hazard unsafe dams.
- Solar Energy Program: provides financial assistance in the form of grant and loan funds to promote the generation and use of solar energy and the manufacture or assembly of solar equipment.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2009 and 2008**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

- Renewable Energy Program: provides financial assistance in the form of grant and loan funds to promote the use of wind and geothermal energy.
- Alternative and Clean Energy Program: provides grant and loan funds to encourage the implementation of alternative energy production projects and clean energy projects.
- High performance Buildings: provides grants and loans for the construction of energy efficient buildings.

**Reporting Entity**

The Authority has adopted the provisions of Section 2100 of the Codification of Governmental Accounting and Financial Reporting Standards for the criteria used to evaluate organizations, activities and functions that should be included in the Authority's financial statements. The basic criteria are the exercise of oversight responsibility over such organizations, activities and functions. The Authority has not identified any entities which should be subject to evaluation for inclusion in the Authority's reporting entity.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition, the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

**Measurement Focus, Basis of Accounting and Financial Statement Presentation**

The Authority's financial statements are presented on the full accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. Under this basis of accounting, revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of the related cash flows. The Authority applies Governmental Accounting Standards Board (GASB) pronouncements as well as Financial Accounting Standards Board (FASB) statements and interpretations, and the Accounting Principles Board (APB) of the Committee of Accounting Procedures issued on or before November 30, 1989, unless those pronouncements conflict with or contradict GASB pronouncements.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the cost (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination of revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2009 and 2008**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Measurement Focus, Basis of Accounting and Financial Statement Presentation**  
(Continued)

The accounting and financial reporting treatment applied to the Authority is determined by its measurement focus. The transactions of the Authority are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets and all liabilities associated with the operations are included on the balance sheet. Net assets represent total assets net of total liabilities.

**Cash and Cash Equivalents**

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit with a maturity of three months or less at the date of purchase.

**Allowance for Loan Losses**

The allowance for loan losses is a reserve account for possible future loan losses. Loan losses and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end. The provision for loan losses was based on comparison with other Authorities of the Commonwealth with similar operations and loan portfolio.

**Interest Income**

Interest income on investment securities and loans are recorded when earned.

Uncollectible interest on loans that are contractually past due is charged off, or an allowance is established based on management's periodic evaluations. The allowance is established by a charge-to-interest income equal to all previously accrued, and income is subsequently recognized only to the extent that cash payments are received until, in management's judgment, the borrower's ability to make period interest and principal payments is back to normal.

In addition to fixed interest arrangements, some loans contain provisions which provide lump sum interest payments based upon certain conditions being met. This additional income is recognized when earned.

**Loan Origination Fees and Costs**

The Authority recognizes loan origination fees and costs in accordance with Statement of Financial Accounting Standards No. 91 (SFAS No. 91), *Accounting for Nonrefundable Fees and Costs Associated with Originating or Acquiring Loans and Initial Direct Costs of Leases*. For the years ended June 30, 2009 and 2008, \$248,320 and \$536,991, respectively, of net deferred fees are included in loans receivable.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2009 and 2008**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Use of Estimates in Preparing Financial Statements**

The preparation of financial statements requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

**Reclassifications**

For comparative purposes, the prior year's financial statements have been reclassified to conform to report classifications of the current year. The reclassifications had no effect on net assets.

**Bond Premium and Discount**

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued.

**NOTE 2 – FINANCIAL SUPPORT**

The Authority has a net asset deficit of \$80,765,372 and \$97,748,515 as of June 30, 2009 and 2008, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of their bond proceeds in prior years to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributed to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, these factors listed above do not raise doubt as to the Authority's ability to meet obligations when due.

**NOTE 3 – DEPOSITS**

**Custodial Credit Risk**

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2009 and 2008, the Authority's bank balance was exposed to custodial credit risk as follows:

	<u>2009</u>	<u>2008</u>
FDIC Insured	\$ 250,000	\$ 100,000
Uninsured and collateral held by pledging bank's trust department not in the Authority's name	<u>466,063,768</u>	<u>433,784,201</u>
<b>Total</b>	<u>\$ 466,313,768</u>	<u>\$ 433,884,201</u>

Additionally, due to the short-term maturity and types of investments, there is limited interest rate risk.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2009 and 2008**

**NOTE 4 – LOANS RECEIVABLE**

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

At June 30, 2009 and 2008, the outstanding balance of loans receivable was as follows:

	<b>2009</b>		
	<b>Current Portion</b>	<b>Long-term Portion</b>	<b>Total</b>
Loans receivable	\$ 8,285,866	\$ 211,984,714	\$ 220,270,580
Venture Capital Investment loans	-	32,925,000	32,925,000
Deferred loan origination fees - net	(28,045)	(220,275)	(248,320)
Allowance for loan losses	<u>(165,717)</u>	<u>(4,901,683)</u>	<u>(5,067,400)</u>
<b>Loan receivable - net</b>	<b><u>\$ 8,092,104</u></b>	<b><u>\$ 239,787,756</u></b>	<b><u>\$ 247,879,860</u></b>
	<b>2008</b>		
Loans receivable	\$ 5,810,920	\$ 166,651,985	\$ 172,462,905
Venture Capital Investment loans	-	22,150,000	22,150,000
Deferred loan origination fees - net	(40,712)	(496,279)	(536,991)
Allowance for loan losses	<u>(116,218)</u>	<u>(3,773,678)</u>	<u>(3,889,896)</u>
<b>Loan receivable - net</b>	<b><u>\$ 5,653,990</u></b>	<b><u>\$ 184,532,028</u></b>	<b><u>\$ 190,186,018</u></b>

An analysis of the allowance for loan losses for the years ended June 30, 2009 and 2008 is as follows:

	<b>2009</b>	<b>2008</b>
Balance, beginning of year	\$ 3,889,896	\$ 2,582,479
Change in provision for potential losses	<u>1,177,504</u>	<u>1,307,417</u>
<b>Balance, end of year</b>	<b><u>\$ 5,067,400</u></b>	<b><u>\$ 3,889,896</u></b>

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**NOTES TO FINANCIAL STATEMENTS**  
**June 30, 2009 and 2008**

**NOTE 5 – BONDS PAYABLE**

	<u>2009</u>	<u>2008</u>
Series 2009 Revenue Bonds, issued \$50,000,000 fixed rate, federal taxable revenue bonds, Series A and \$50,000,000 fixed rate, tax-exempt revenue bonds, Series B at 3.0% - 6.4%, interest payable semi-annually and principal payable annually through June 1, 2031.	\$ 100,000,000	\$ -
Series 2008 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series A at 3.1% -5.2%, interest payable semi-annually and principal payable annually through June 1, 2027.	183,050,000	187,500,000
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	174,965,000	181,385,000
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	171,675,000	177,640,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	<u>168,410,000</u>	<u>175,080,000</u>
	798,100,000	721,605,000
Less current portion	(26,645,000)	(23,505,000)
Unamortized bond premium	3,701,371	3,926,980
Unamortized bond discount	<u>(1,203,969)</u>	<u>-</u>
<b>Long-term debt, net of current portion and unamortized bond premium</b>	<b><u>\$ 773,952,402</u></b>	<b><u>\$ 702,026,980</u></b>

**Changes in long-term liabilities**

<u>Governmental Activities</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Deductions</u>	<u>Ending Balance</u>	<u>Due Within One Year</u>
Economic revenue bonds	\$ 721,605,000	\$ 100,000,000	\$ 23,505,000	\$ 798,100,000	\$ 26,645,000
Bond premium	3,926,980	-	225,609	3,701,371	-
Bond discount	<u>-</u>	<u>(1,208,547)</u>	<u>(4,578)</u>	<u>(1,203,969)</u>	<u>-</u>
<b>Total</b>	<b><u>\$ 725,531,980</u></b>	<b><u>\$ 98,791,453</u></b>	<b><u>\$ 23,726,031</u></b>	<b><u>\$ 800,597,402</u></b>	<b><u>\$ 26,645,000</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2009 and 2008**

**NOTE 5 – BONDS PAYABLE (CONTINUED)**

Bond principal requirements subsequent to June 30, 2009 are as follows:

<b>For the Year Ended June 30,</b>	<b>Principal Maturities</b>	<b>Interest</b>
2010	\$ 26,645,000	\$ 42,144,501
2011	30,715,000	40,633,292
2012	32,155,000	39,184,122
2013	33,725,000	37,610,229
2014	35,410,000	35,930,029
2015-2019	206,840,000	149,904,095
2020-2024	269,485,000	87,268,610
2025-2029	148,400,000	18,714,318
2030-2031	<u>14,725,000</u>	<u>1,113,250</u>
<b>Total</b>	<b><u>\$ 798,100,000</u></b>	<b><u>\$ 452,502,446</u></b>

The Authority, with the Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

**NOTE 6 – RELATED PARTY TRANSACTIONS**

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) to provide administrative and operational support services for the Authority. The Authority owns no capital assets; the employees performing services for the Authority are DCED employees. As such, under the Memorandum of Understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal years ended June 30, 2009 and 2008, the services provided by DCED to the Authority and recorded as Administrative/Operating expenses totaled \$2,145,097 and \$2,178,895, respectively.

During the fiscal years ended June 30, 2009 and 2008, the Authority received \$63,421,755 and \$47,037,935, respectively, in transfers from the Commonwealth to pay debt service with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.



**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2009 and 2008**

**NOTE 7 – LINE OF CREDIT**

The Authority has available a secured line of credit with a bank, which, under a revolving credit agreement, is limited to borrowings of \$50,000,000. Under the revolving credit agreement, interest shall accrue on the aggregate unpaid principal amount outstanding on the draws. As of June 30, 2009 and 2008, no funds were drawn under the revolving credit agreement. As of June 30, 2009, the line of credit was terminated.

**NOTE 8 – COMMITMENTS AND CONTINGENCIES**

The Authority, through various economic development programs, provided loan guarantees as follows:

	<u>2009</u>	<u>2008</u>
First Industries loan guarantees	\$ 18,340,250	\$ 18,140,750
Tax increment financing guarantees	44,911,970	30,000,000
Second stage loan guarantees	2,035,000	2,785,000
Venture capital guarantees	<u>190,000,000</u>	<u>197,500,000</u>
<b>Total loan guarantees</b>	<u>\$ 255,287,220</u>	<u>\$248,425,750</u>

The Authority has not been called upon, with respect to any loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, no liability has been reflected in the Authority's financial statements for loan guarantees.

Through the various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, investments in venture capital and grants of \$223,206,530, \$2,725,000 and \$83,541,697, respectively, which have not been disbursed as of June 30, 2009.

This information is an integral part of the accompanying financial statements.



**Independent Auditor's Report on Internal Control Over Financial Reporting  
and on Compliance and Other Matters Based on an Audit of Financial Statements  
Performed in Accordance with *Government Auditing Standards***

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the basic financial statements of the Commonwealth Financing Authority (Authority) as of and for the year ended June 30, 2009, and have issued our report thereon dated September 8, 2009. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

***Internal Control Over Financial Reporting***

In planning and performing our audit, we considered the Authority's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control over financial reporting.

A control deficiency exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect misstatements on a timely basis. A significant deficiency is a control deficiency, or combination of control deficiencies, that adversely affects the entity's ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the entity's financial statements that is more than inconsequential will not be prevented or detected by the entity's internal control.

A material weakness is a significant deficiency, or combination of significant deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected by the entity's internal control.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in internal control that might be significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

***Compliance and Other Matters***

As part of obtaining reasonable assurance about whether the Authority's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

We noted certain matters that we reported to management of the Authority in a separate letter dated September 8, 2009.

This report is intended solely for the information and use of the Board of Directors, management and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

*Clifton Gunderson LLP*

Harrisburg, Pennsylvania  
September 8, 2009

**COMMONWEALTH FINANCING AUTHORITY**  
 (Component Unit of the Commonwealth of Pennsylvania)  
 Harrisburg, Pennsylvania

**FINANCIAL STATEMENTS**  
 June 30, 2010 and 2009

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### Independent Auditor's Report

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the accompanying statements of net assets of the Commonwealth Financing Authority (the Authority), a component unit of the Commonwealth of Pennsylvania, as of June 30, 2010 and 2009, and the related statements of revenues, expenses, and changes in net assets and cash flows for the years then ended, which collectively comprise the Authority's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the Authority's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

As discussed in Note 1, the financial statements present only financial information about the Commonwealth Financing Authority and are not intended to present fairly the financial position of the Commonwealth of Pennsylvania and the results of its operations and cash flows of its proprietary and similar trust fund types in conformity with accounting principles generally accepted in the United States of America.

The Authority is a component unit of the Commonwealth of Pennsylvania (the Commonwealth). As disclosed in Note 1 of the financial statements, the Authority has extensive transactions and relationships with certain Commonwealth affiliated agencies. The financial position and results of operations of the Authority may not be indicative of that which would have been obtained had the Authority operated independently.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Authority, and the results of its operations and cash flows in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 8, 2010 on our consideration of the Authority's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

The Management's Discussion and Analysis as referenced in the Table of Contents is not a required part of the basic financial statements but is supplementary information required by accounting principles generally accepted in the United States of America. We have applied certain limited procedures, which consisted principally of inquiries of management regarding the methods of measurement and presentation of the required supplementary information. However, we did not audit the information and express no opinion on it.

*Clifton Gunderson LLP*

Lancaster, Pennsylvania  
September 15, 2010

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2010 and 2009**

The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter GASB 34), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2010 and 2009. Please read it in conjunction with the Authority's financial statements that follow this section.

**OPERATIONAL HIGHLIGHTS**

The Authority deployed investments into two major legislative initiatives this Fiscal Year. By approving a combined \$95.7 million in grant, loan and loan guarantee funding assistance into alternative energy projects, the Authority accelerated the use of alternative and clean energy in the Commonwealth. Applicants received assistance under four energy programs, which include the Solar Energy Program, Renewable Energy Program, Alternative & Clean Energy Program and the High Performance Building Program.

The Authority provided \$551 million in funding, which consists of grants for the construction and upgrading of drinking water, sanitary sewer and storm sewer systems. In raising capital for this H<sub>2</sub>O initiative, the Authority issued Build America Bonds which will save over \$46 million in debt service over the life of the bonds.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a Statement of Net Assets; a Statement of Revenues, Expenses, and Changes in Net Assets; a Statement of Cash Flows; and Notes to the Financial Statements.

The Statement of Net Assets presents the financial position of the Authority on a full accrual historical cost basis. The Statement of Net Assets also presents information on all of the Authority's assets and liabilities, with the difference reported as net assets. Over time, increases and decreases in net assets are one indicator of whether the financial position of the Authority is improving or deteriorating.

While the Statement of Net Assets provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Assets presents the results of the business-type activities over the course of the fiscal year and information as to how the net assets changed during the year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2010 and 2009**

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipt and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

**FINANCIAL ANALYSIS**

**Condensed Statements of Net Assets**

	<u>2010</u>	<u>2009</u>	<u>2008</u>
<b>Assets:</b>			
Current assets	\$ 750,222,910	\$ 483,900,761	\$ 448,882,160
Long-term assets	<u>287,632,709</u>	<u>239,787,756</u>	<u>184,532,028</u>
Total assets	<u>1,037,855,619</u>	<u>723,688,517</u>	<u>633,414,188</u>
<b>Liabilities:</b>			
Current liabilities	42,198,516	30,501,487	29,135,723
Long-term liabilities	<u>1,282,704,529</u>	<u>773,952,402</u>	<u>702,026,980</u>
Total liabilities	<u>1,324,903,045</u>	<u>804,453,889</u>	<u>731,162,703</u>
<b>Total net deficit - unrestricted</b>	<u>\$ (287,047,426)</u>	<u>\$ (80,765,372)</u>	<u>\$ (97,748,515)</u>

The Authority issued bonds totaling \$542 million and \$100 million in 2010 and 2009, respectively, which caused an increase in total liabilities of \$520 million and \$73 million at June 30, 2010 and 2009, respectively. Due to the issuance of bonds, the Authority has been able to increase the amount of loan originations over the past two years, causing an increase in total assets of \$314 million and \$90 million as of June 30, 2010 and 2009, respectively. Due to the nature of the loans, some of which require drawdowns, funding not immediately disbursed upon Board approval is held as cash and cash equivalents.

The significant increase in the total net deficit is attributable to \$123 million in Authority assets disbursed as grant proceeds under the H<sub>2</sub>O initiative, \$85 million in assets that were transferred to the Department of Environmental Protection and \$13 million in assets transferred to the Ben Franklin Technology Development Partners. The transfer of bond proceeds to these Governmental entities was prescribed by legislation. Management acknowledges but is not concerned with the annual net asset deficit. As an authority under which economic stimulus programs are established, grants and transfers to other governmental entities are essential to achieve its mission. The Authority has a service agreement with the Commonwealth of Pennsylvania in which the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations to assist the Authority in funding the deficit.



**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
June 30, 2010 and 2009**

**Condensed Statements of Revenues, Expenses, and Changes in Net Assets**

	<u>2010</u>	<u>2009</u>	<u>2008</u>
Operating income	\$ 8,091,436	\$ 11,614,029	\$ 16,398,583
Operating expenses	(138,624,287)	(18,734,695)	(35,525,735)
Provision for loan losses	(1,093,798)	(1,177,504)	(1,307,417)
Nonoperating income (expense), net	<u>(74,655,405)</u>	<u>25,281,313</u>	<u>15,454,892</u>
<b>Increase (decrease) in net asset</b>	<u>\$ (206,282,054)</u>	<u>\$ 16,983,143</u>	<u>\$ (4,979,677)</u>

Operating expenses increased by approximately \$120 million in FY 2010 and decreased by approximately \$17 million in FY 2009 due to the timing of grant payments. The Authority established 7 new programs related to H<sub>2</sub>O and Alternative Energy initiatives at the end of FY 2009 that provided grants that were disbursed in FY 2010. Under the H<sub>2</sub>O program, the Authority received and reviewed over 800 applications for funding assistance.

For the year ended June 30, 2010, nonoperating income decreased by approximately \$100 million over FY 2009 due to the transfer of \$98 million in bond proceeds to other governmental entities within the Commonwealth and a \$20 million increase in bond interest payments. This was offset by an increase in the Commonwealth appropriation of \$18 million for debt service payments.

**Long-Term Debt**

During 2010, the Authority issued revenue bonds for \$142 million to provide funds for loan disbursements and grant expenditures under Alternative Energy programs. In addition, the Authority issued \$400 million in Build America Bonds to provide for grant funding for flood control, repairs to dams and water and sewer projects. Since inception, the Authority has issued seven revenue bonds totaling \$1.392 billion. The Authority has a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

FINANCIAL STATEMENTS

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF NET ASSETS  
June 30, 2010 and 2009**

	<u>2010</u>	<u>2009</u>
<b>ASSETS</b>		
Current assets:		
Cash and cash equivalents	\$ 722,767,227	\$ 466,995,050
Receivables (net):		
Loans	14,553,346	8,092,104
Accrued interest	994,617	530,832
Penalties/late fees	7,881	4,053
Unamortized bond costs, net	<u>11,899,839</u>	<u>8,278,722</u>
Total current assets	750,222,910	483,900,761
Long-term assets:		
Long-term portion of loans receivable (net)	<u>287,632,709</u>	<u>239,787,756</u>
Total assets	<u>1,037,855,619</u>	<u>723,688,517</u>
<b>LIABILITIES</b>		
Current liabilities:		
Current portion of long-term debt	34,210,000	26,645,000
Accrued interest payable	6,842,177	3,414,469
Loan escrow deposit	388,080	-
Accounts payable and accrued expenses	159,508	-
Due to primary governments - DCED	<u>598,751</u>	<u>442,018</u>
Total current liabilities	42,198,516	30,501,487
Non-current liabilities:		
Long-term debt, net of current portion and unamortized bond premium and discount	<u>1,282,704,529</u>	<u>773,952,402</u>
Total liabilities	<u>1,324,903,045</u>	<u>804,453,889</u>
<b>TOTAL NET DEFICIT - UNRESTRICTED</b>	<u>\$ (287,047,426)</u>	<u>\$ (80,765,372)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY**  
**(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)**  
**STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET ASSETS**  
**Years Ended June 30, 2010 and 2009**

	<u>2010</u>	<u>2009</u>
<b>OPERATING INCOME</b>		
Interest on loans	\$ 5,138,479	\$ 3,979,784
Interest on investments	2,286,686	7,104,622
Fee income	621,182	279,623
Interest from venture capital loan	<u>45,089</u>	<u>250,000</u>
 Total operating income	 <u>8,091,436</u>	 <u>11,614,029</u>
<b>OPERATING EXPENSES</b>		
Administrative/operating expense	2,650,469	2,145,097
Grant expense - Business in Our Sites	11,295,858	15,601,132
Grant expense - First Industries	495,964	988,466
Grant expense - Solar Energy	937,826	-
Grant expense - Water and Sewer	122,963,532	-
Grant expense - Alternative and Clean Energy	168,564	-
Loan guarantee expense	<u>112,074</u>	<u>-</u>
 Total operating expenses	 <u>138,624,287</u>	 <u>18,734,695</u>
 Net operating loss before provision for loan losses	 (130,532,851)	 (7,120,666)
<b>PROVISION FOR LOAN LOSSES</b>	<u>1,093,798</u>	<u>1,177,504</u>
 Net operating loss	 <u>(131,626,649)</u>	 <u>(8,298,170)</u>
<b>NONOPERATING INCOME (EXPENSE)</b>		
Transfers in from primary government	81,654,535	63,421,755
Interest on bonds	(58,447,233)	(38,206,461)
Amortization of bond premium	174,982	221,031
Amortization of bond issuance costs	(545,267)	(443,797)
Transfers to primary government	(98,000,000)	-
Other	<u>507,578</u>	<u>288,785</u>
 Total nonoperating income (expense)	 <u>(74,655,405)</u>	 <u>25,281,313</u>
 Change in net assets	 (206,282,054)	 16,983,143
<b>NET DEFICIT, BEGINNING OF PERIOD</b>	<u>(80,765,372)</u>	<u>(97,748,515)</u>
<b>NET DEFICIT, END OF PERIOD</b>	<u>\$ (287,047,426)</u>	<u>\$ (80,765,372)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF CASH FLOWS  
Years Ended June 30, 2010 and 2009**

	<u>2010</u>	<u>2009</u>
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Cash received from interest and fees on loans	\$ 5,337,137	\$ 4,257,234
Cash received from interest on investments	2,286,686	7,104,622
Cash paid for operating expenses	(2,334,228)	(2,209,038)
Cash paid for grant expenses	(135,861,744)	(16,589,598)
Cash paid for loan guarantees	(112,074)	-
Net cash used in operating activities	<u>(130,684,223)</u>	<u>(7,436,780)</u>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Principal receipt on loans	18,330,460	6,197,927
Investment in loans	(69,834,794)	(54,005,487)
Investment in venture capital	<u>(3,000,000)</u>	<u>(10,775,000)</u>
Net cash and cash equivalents used in investing activities	<u>(54,504,334)</u>	<u>(58,582,560)</u>
<b>CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES</b>		
Proceeds from bonds payable	538,970,724	97,938,333
Transfer to primary government from bond proceeds	(98,000,000)	-
Commonwealth appropriation	81,654,535	63,421,755
Principal payments on bonds	(26,645,000)	(23,505,000)
Interest on bonds payable	<u>(55,019,525)</u>	<u>(39,916,756)</u>
Net cash provided by noncapital financing activities	<u>440,960,734</u>	<u>97,938,332</u>
<b>NET INCREASE IN CASH AND CASH EQUIVALENTS</b>	255,772,177	31,918,992
<b>CASH AND CASH EQUIVALENTS, BEGINNING</b>	<u>466,995,050</u>	<u>435,076,058</u>
<b>CASH AND CASH EQUIVALENTS, END OF YEAR</b>	<u>\$ 722,767,227</u>	<u>\$ 466,995,050</u>
<b>RECONCILIATION OF NET OPERATING LOSS TO CASH AND CASH EQUIVALENTS USED IN OPERATING ACTIVITIES</b>		
Net operating loss	\$ (131,626,649)	\$ (8,298,170)
Adjustments to reconcile net operating loss to net cash and cash equivalents used in operating activities:		
Provision for loan losses	1,093,798	1,177,504
Effects of changes in operating assets and liabilities:		
Accrued interest receivable	(463,785)	(250,109)
Penalties/late fees	(3,828)	(2,064)
Accounts payable and accrued expenses and due to primary governments - DCED	<u>316,241</u>	<u>(63,941)</u>
<b>NET CASH AND CASH EQUIVALENTS USED IN OPERATING ACTIVITIES</b>	<u>\$ (130,684,223)</u>	<u>\$ (7,436,780)</u>

The accompanying notes are an integral part of the financial statements.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The Commonwealth Financing Authority (the Authority) is a body corporate and politic duly organized by the Commonwealth of Pennsylvania (the Commonwealth) incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (Act), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the use of alternative and clean energy, the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania communities, the development of a stable tax base within Pennsylvania communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth.

The legislation creating the Authority as well as program specific guidelines establishes certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- TIF Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.
- H<sub>2</sub>O PA Program (Water and Sewer): provides for single-year or multi-year grants to municipalities or municipal authorities to assist with the construction of flood control projects, drinking water, sanitary sewer and storm sewer projects, and the repair of high hazard unsafe dams.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

- Solar Energy Program: provides financial assistance in the form of grant and loan funds to promote the generation and use of solar energy and the manufacture or assembly of solar equipment.
- Renewable Energy Program: provides financial assistance in the form of grant and loan funds to promote the use of wind and geothermal energy.
- Alternative and Clean Energy Program: provides grant and loan funds to encourage the implementation of alternative energy production projects and clean energy projects.
- High performance Buildings: provides grants and loans for the construction of energy efficient buildings.

**Reporting Entity**

The Authority has adopted the provisions of Section 2100 of the Codification of Governmental Accounting and Financial Reporting Standards for the criteria used to evaluate organizations, activities and functions that should be included in the Authority's financial statements. The basic criteria are the exercise of oversight responsibility over such organizations, activities and functions. The Authority has not identified any entities which should be subject to evaluation for inclusion in the Authority's reporting entity.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition, the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

**Measurement Focus, Basis of Accounting and Financial Statement Presentation**

The Authority's financial statements are presented on the full accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America. Under this basis of accounting, revenues are recorded when earned and expenses are recorded when the liability is incurred, regardless of the timing of the related cash flows. The Authority applies Governmental Accounting Standards Board (GASB) pronouncements as well as

Financial Accounting Standards Board (FASB) statements and interpretations, and the Accounting Principles Board (APB) of the Committee of Accounting Procedures issued on or before November 30, 1989, unless those pronouncements conflict with or contradict GASB pronouncements.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the cost (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination of revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Measurement Focus, Basis of Accounting and Financial Statement Presentation**  
(Continued)

The accounting and financial reporting treatment applied to the Authority is determined by its measurement focus. The transactions of the Authority are accounted for on a flow of economic resources measurement focus. With this measurement focus, all assets and all liabilities associated with the operations are included on the balance sheet. Net assets represent total assets net of total liabilities.

**Cash and Cash Equivalents**

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit in highly liquid financial debt instruments with a maturity of three months or less at the date of purchase.

**Allowance for Loan Losses**

The allowance for loan losses is a reserve account for possible future loan losses. Loan losses and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end. The provision for loan losses was based on comparison with other Authorities of the Commonwealth with similar operations and loan portfolio.

**Interest Income**

Interest income on investment securities and loans are recorded when earned.

Uncollectible interest on loans that are contractually past due is charged off, or an allowance is established based on management's periodic evaluations. The allowance is established by a charge-to-interest income equal to all previously accrued, and income is subsequently recognized only to the extent that cash payments are received until, in management's judgment, the borrower's ability to make periodic interest and principal payments is back to normal.

In addition to fixed interest arrangements, some loans contain provisions which provide lump sum interest payments based upon certain conditions being met. This additional income is recognized when earned.

**Loan Origination Fees and Costs**

The Authority recognizes loan origination fees and costs in accordance with Statement of Financial Accounting Standards No. 91 (SFAS No. 91), *Accounting for Nonrefundable Fees and Costs Associated with Originating or Acquiring Loans and Initial Direct Costs of Leases*.

For the years ended June 30, 2010 and 2009, \$259,258 and \$248,320, respectively, of net deferred fees are included in loans receivable.



**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Use of Estimates in Preparing Financial Statements**

The preparation of financial statements requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

**Reclassifications**

For comparative purposes, the prior year's financial statements have been reclassified to conform to report classifications of the current year. The reclassifications had no effect on net assets.

**Bond Premium and Discount**

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued, which approximates the interest method.

**Bond Issuance Costs**

Bond issuance costs consist of legal, underwriting and other fees charged in connection with the issuance of bond debt. The costs are amortized over the lives of the bonds, which range from 20 to 30 years. The bonds mature serially through 2039. Amortization was \$545,267 and \$443,797 for the years ended June 30, 2010 and 2009, respectively.

**NOTE 2 – FINANCIAL SUPPORT**

The Authority has a net asset deficit of \$287,047,426 and \$80,765,372 as of June 30, 2010 and 2009, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of their bond proceeds to the Commonwealth Department of Environmental Protection and the Ben Franklin Technology Development Authority in the current year and in prior years to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributed to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, these factors listed above do not raise doubt as to the Authority's ability to meet obligations when due.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 3 – DEPOSITS****Custodial Credit Risk**

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2010 and 2009, the Authority's bank balance was exposed to custodial credit risk as follows:

	<u>2010</u>	<u>2009</u>
FDIC Insured	\$ 250,000	\$ 250,000
Uninsured and collateral held by pledging bank's trust department not in the Authority's name	<u>721,721,132</u>	<u>466,063,768</u>
<b>Total</b>	<b><u>\$ 721,971,132</u></b>	<b><u>\$ 466,313,768</u></b>

Additionally, due to the short-term maturity and types of investments, there is limited interest rate risk.

**NOTE 4 – LOANS RECEIVABLE**

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

At June 30, 2010 and 2009, the outstanding balance of loans receivable was as follows:

	<u>2010</u>		
	<u>Current Portion</u>	<u>Long-term Portion</u>	<u>Total</u>
Loans receivable	\$ 14,772,342	\$ 256,165,653	\$ 270,937,995
Venture Capital Investment loans	-	37,150,000	37,150,000
Deferred loan origination fees - net	9,841	249,417	259,258
Allowance for loan losses	<u>(228,837)</u>	<u>(5,932,361)</u>	<u>(6,161,198)</u>
<b>Loan receivable - net</b>	<b><u>\$ 14,553,346</u></b>	<b><u>\$ 287,632,709</u></b>	<b><u>\$ 302,186,055</u></b>
	<u>2009</u>		
Loans receivable	\$ 8,285,866	\$ 211,984,714	\$ 220,270,580
Venture Capital Investment loans	-	32,925,000	32,925,000
Deferred loan origination fees - net	(28,045)	(220,275)	(248,320)
Allowance for loan losses	<u>(165,717)</u>	<u>(4,901,683)</u>	<u>(5,067,400)</u>
<b>Loan receivable - net</b>	<b><u>\$ 8,092,104</u></b>	<b><u>\$ 239,787,756</u></b>	<b><u>\$ 247,879,860</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 4 – LOANS RECEIVABLE (CONTINUED)**

An analysis of the allowance for loan losses for the years ended June 30, 2010 and 2009 is as follows:

	<u>2010</u>	<u>2009</u>
Balance, beginning of year	\$ 5,067,400	\$ 3,889,896
Change in provision for potential losses	<u>1,093,798</u>	<u>1,177,504</u>
<b>Balance, end of year</b>	<b><u>\$ 6,161,198</u></b>	<b><u>\$ 5,067,400</u></b>

There were no loans charged off in FY 2010 or FY 2009.

**NOTE 5 – BONDS PAYABLE**

	<u>2010</u>	<u>2009</u>
Series 2010 Revenue Bonds, issued \$62,000,000 fixed rate, federal taxable revenue bonds, Series A and \$80,000,000 fixed rate, tax-exempt revenue bonds, Series B at .93% - 5.5%, interest payable semi-annually and principal payable annually through May 1, 2031.	\$ 142,000,000	\$ -
Series 2009 Revenue Bonds, issued \$400,000,000 fixed rate, federally taxable revenue bonds, Series D at 3.4% - 5.1%, interest payable semi-annually and principal payable annually through May 1, 2039.	400,000,000	-
Series 2009 Revenue Bonds, issued \$50,000,000 fixed rate, federal taxable revenue bonds, Series A and \$50,000,000 fixed rate, tax-exempt revenue bonds, Series B at 3.0% - 6.4%, interest payable semi-annually and principal payable annually through June 1, 2031.	100,000,000	100,000,000
Series 2008 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series A at 3.1% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2027.	176,450,000	183,050,000
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	168,225,000	174,965,000
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	165,375,000	171,675,000

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 5 – BONDS PAYABLE (CONTINUED)**

	<u>2010</u>	<u>2009</u>
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	\$ 161,405,000	\$ 168,410,000
	1,313,455,000	798,100,000
Less current portion	(34,210,000)	(26,645,000)
Unamortized bond premium	4,657,904	3,701,371
Unamortized bond discount	<u>(1,198,375)</u>	<u>(1,203,969)</u>
<b>Long-term debt, net of current portion and unamortized bond premium</b>	<b><u>\$ 1,282,704,529</u></b>	<b><u>\$ 773,952,402</u></b>

**Changes in long-term liabilities as of June 30, 2010:**

<u>Governmental Activities</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Deductions</u>	<u>Ending Balance</u>	<u>Due Within One Year</u>
Economic revenue bonds	\$ 798,100,000	\$ 542,000,000	\$ 26,645,000	\$ 1,313,455,000	\$ 34,210,000
Bond premium	3,701,371	1,137,110	180,577	4,657,904	-
Bond discount	<u>(1,203,969)</u>	<u>-</u>	<u>(5,594)</u>	<u>(1,198,375)</u>	<u>-</u>
<b>Total</b>	<b><u>\$ 800,597,402</u></b>	<b><u>\$ 543,137,110</u></b>	<b><u>\$ 26,819,983</u></b>	<b><u>\$ 1,316,914,529</u></b>	<b><u>\$ 34,210,000</u></b>

**Changes in long-term liabilities as of June 30, 2009:**

<u>Governmental Activities</u>	<u>Beginning Balance</u>	<u>Additions</u>	<u>Deductions</u>	<u>Ending Balance</u>	<u>Due Within One Year</u>
Economic revenue bonds	\$ 721,605,000	\$ 100,000,000	\$ 23,505,000	\$ 798,100,000	\$ 26,645,000
Bond premium	3,926,980	-	225,609	3,701,371	-
Bond discount	<u>-</u>	<u>(1,208,547)</u>	<u>(4,578)</u>	<u>(1,203,969)</u>	<u>-</u>
<b>Total</b>	<b><u>\$ 725,531,980</u></b>	<b><u>\$ 98,791,453</u></b>	<b><u>\$ 23,726,031</u></b>	<b><u>\$ 800,597,402</u></b>	<b><u>\$ 26,645,000</u></b>

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 5 – BONDS PAYABLE (CONTINUED)**

Bond principal requirements subsequent to June 30, 2010 are as follows:

<b>For the Year Ended June 30,</b>	<b>Principal Maturities</b>	<b>Interest</b>
2011	\$ 34,210,000	\$ 71,111,088
2012	36,400,000	68,910,785
2013	47,265,000	67,263,029
2014	49,255,000	65,167,236
2015	51,445,000	62,850,475
2016-2020	296,520,000	272,595,273
2021-2025	379,845,000	183,893,119
2026-2030	210,560,000	92,966,026
2031-2035	119,750,000	92,966,026
2036-2039	<u>88,205,000</u>	<u>13,982,417</u>
<b>Total</b>	<b><u>\$1,313,455,000</u></b>	<b><u>\$ 945,721,766</u></b>

The Authority, with the Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

**NOTE 6 – RELATED PARTY TRANSACTIONS**

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) and the Department of Environmental Protection (DEP) to provide administrative and operational support services for the Authority. The Authority owns no capital assets; the employees performing services for the Authority are DCED employees. As such, under the Memorandum of Understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal years ended June 30, 2010 and 2009, the services provided by DCED to the Authority and recorded as Administrative/Operating expenses totaled \$2,650,469 and \$2,145,097, respectively.

During the fiscal years ended June 30, 2010 and 2009, the Authority received \$81,654,535 and \$63,421,755, respectively, in transfers from the Commonwealth to pay debt service with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.

**COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2010 and 2009**

**NOTE 6 – RELATED PARTY TRANSACTIONS (CONTINUED)**

The Authority transferred part of their bond proceeds to the Commonwealth Department of Environment Protection and the Ben Franklin Technology Development Authority totaling \$98,000,000 and \$0 for the fiscal years ending June 30, 2010 and 2009 respectively.

**NOTE 7 – LINE OF CREDIT**

In December 2009, the Authority entered into a secured line of credit with the Commonwealth of Pennsylvania Treasury Department, which, under a revolving credit agreement, is limited to borrowings of \$50,000,000. Under the revolving credit agreement, interest shall accrue on the aggregate unpaid principal amount outstanding on the draws. The interest rate is the greater of the rate of the United States Federal Funds Target Rate plus 75 basis points or the rate set by the British Bankers Association for London Interbank Offered Rate (LIBOR) for a six month term in United States dollars plus 45 basis points. The interest rate is reset as of the 20<sup>th</sup> of each month. As of June 30, 2010, the interest rate was 1.20%; however, no funds were drawn under the revolving credit agreement.

**NOTE 8 – COMMITMENTS AND CONTINGENCIES**

The Authority, through various economic development programs, provided loan guarantees as follows:

	<u>2010</u>	<u>2009</u>
First Industries loan guarantees	\$ 37,797,428	\$ 18,340,250
Tax increment financing guarantees	44,911,970	44,911,970
Second stage loan guarantees	2,910,000	2,035,000
Venture capital guarantees	<u>197,500,000</u>	<u>190,000,000</u>
<b>Total loan guarantees</b>	<b><u>\$ 283,119,398</u></b>	<b><u>\$ 255,287,220</u></b>

The Authority has been called upon, with respect to one loan guarantee, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, a liability totaling \$112,074 has been reflected in the Authority’s financial statements for loan guarantees as of June 30, 2010. There were no liabilities recorded for loan guarantees as of June 30, 2009.

Through the various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, investments in venture capital and grants of \$35,632,203, \$2,725,000 and \$168,573,323, respectively, which have not been disbursed as of June 30, 2010.



**Independent Auditor's Report on Internal Control Over Financial Reporting  
and on Compliance and Other Matters Based on an Audit of Financial Statements  
Performed in Accordance with *Government Auditing Standards***

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the basic financial statements of the Commonwealth Financing Authority (the Authority) as of and for the year ended June 30, 2010, and have issued our report thereon dated September 15, 2010. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

***Internal Control Over Financial Reporting***

In planning and performing our audit, we considered the Authority's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and would not necessarily identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the Authority's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

We noted certain matters that we reported to management of the Authority in a separate letter dated September 15, 2010.

This report is intended solely for the information and use of the Board of Directors, management, and federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

*Clifton Gunderson LLP*

Lancaster, Pennsylvania  
September 15, 2010



**COMMONWEALTH FINANCING AUTHORITY  
(Component Unit of the  
Commonwealth of Pennsylvania)  
Harrisburg, Pennsylvania**

**FINANCIAL STATEMENTS**

**YEARS ENDED JUNE 30, 2011 AND 2010**

COMMONWEALTH FINANCING AUTHORITY  
(Component Unit of the Commonwealth of Pennsylvania)  
YEARS ENDED JUNE 30, 2011 AND 2010

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# Zelenkofske Axelrod LLC

## INDEPENDENT AUDITORS' REPORT

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the accompanying Statement of Net Deficits of the business-type activities of the COMMONWEALTH FINANCING AUTHORITY ("the AUTHORITY"), a component unit of the Commonwealth of Pennsylvania, as of June 30, 2011, and the related statement of Revenues, Expenses, and Changes in Net Deficits and Statement of Cash Flows for the year then ended, which collectively comprise the Authority's 2011 basic financial statements as listed in the table of contents. These financial statements are the responsibility of the AUTHORITY's management. Our responsibility is to express an opinion on these financial statements based on our audit. The financial statements of the Authority as of June 30, 2010, were audited by other auditors whose report dated September 15, 2010, expressed an unqualified opinion on those statements.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the basic financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities of the AUTHORITY as of June 30, 2011, and the changes in financial position and cash flows thereof for the year then ended in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 30, 2011, on our consideration of the AUTHORITY's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements and other matters as of and for the year ended June 30, 2011. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

As discussed in Note 1 to the financial statements, during the fiscal year ended June 30, 2011 the AUTHORITY adopted the provisions of Governmental Accounting Standards Board's Statement No. 59, "Financial Instruments Omnibus".

Accounting principles generally accepted in the United States of America require that the managements discussion and analysis on pages 2 through 3 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquires of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquires, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

*Zelenkofske Axelrod LLC*

ZELENKOFKSKE AXELROD LLC

Harrisburg, Pennsylvania  
September 30, 2011

<i>Harrisburg</i>	<i>Lehigh Valley</i>	<i>Philadelphia</i>	<i>Pittsburgh</i>
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**Commonwealth Financing Authority  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
Financial Statements for the Year Ended June 30, 2011**

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The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter GASB 34), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2011 and 2010. Please read it in conjunction with the Authority's financial statements that follow this section.

**OPERATIONAL HIGHLIGHTS**

Over the past two fiscal years, the Authority has approved 463 projects totaling \$728 million in funding under the H2O initiative. This program provides funding for the construction and upgrading of drinking water, sanitary sewer and storm sewer systems. In raising capital for this H2O initiative, the Authority issued Build America Bonds which will save over \$61 million in debt service over the life of the bonds.

The Authority deployed investments into another major legislative initiative this Fiscal Year. By approving 97 projects totaling \$44 million in grant funding assistance, the Authority helped to support and enhance community and economic well-being and mitigate the impact of gaming and related activity. The program is capitalized by revenue generated from gaming operations in Luzerne and Monroe Counties. Projects are located in Carbon, Lackawanna, Luzerne, Monroe, Northampton, Pike, and Wayne Counties.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a Statement of Net Assets; a Statement of Revenues, Expenses, and Changes in Net Assets; a Statement of Cash Flows; and Notes to the Financial Statements.

The Statement of Net Assets presents the financial position of the Authority on a full accrual historical cost basis. The Statement of Net Assets also presents information on all of the Authority's assets and liabilities, with the difference reported as net assets. Over time, increases and decreases in net assets are one indicator of whether the financial position of the Authority is improving or deteriorating.

While the Statement of Net Assets provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Assets presents the results of the business-type activities over the course of the fiscal year and information as to how the net assets changed during the year. All changes in net assets are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipt and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

**FINANCIAL ANALYSIS****Condensed Statements of Net Assets**

	<u>2011</u>	<u>2010</u>	<u>2009</u>
<b>Assets:</b>			
Current assets	\$ 678,584,533	\$ 750,222,910	\$ 483,900,761
Long-term assets	307,484,704	287,632,709	239,787,756
Total assets	<u>986,069,237</u>	<u>1,037,855,619</u>	<u>723,688,517</u>
<b>Liabilities:</b>			
Current liabilities	46,714,982	42,198,516	30,501,487
Long-term liabilities	1,395,049,687	1,282,704,529	773,952,402
Total liabilities	<u>1,441,764,669</u>	<u>1,324,903,045</u>	<u>804,453,889</u>
<b>Total net deficit - unrestricted</b>	<u>\$ (455,695,432)</u>	<u>\$ (287,047,426)</u>	<u>\$ (80,765,372)</u>

The Authority issued bonds totaling \$150 million and \$542 million in 2011 and 2010, respectively, which were the primary causes of the increase in total liabilities of \$117 million and \$520 million at June 30, 2011 and 2010, respectively. In 2011, the Authority's total assets declined by \$52 million due to the transfer of \$38 million to other Commonwealth agencies for initiatives prescribed under legislation and also due to grant disbursements, particularly H2O program grants. As a result of the issuance of bonds in 2010, the Authority was able to increase the amount of loan originations during the year, causing an increase in total assets of \$314 million as of June 30, 2010. Due to the nature of the loans, some of which require drawdowns, funding not immediately disbursed upon Board approval is held as cash and cash equivalents. Operating expenses declined as compared to the previous year by \$0.4 million. The reduction corresponds to the reduced staff time necessary to review and process application for funding during 2011. In 2010, staffing requirements associated with the H2O and Alternative Energy initiatives resulted in higher administrative expenses. In 2010, the Authority received and reviewed over 800 applications for funding assistance under the H2O program.

The significant increase in the total net deficit is attributable to the \$217 million in Authority assets disbursed as grant proceeds, the \$25 million in assets that were transferred to the Department of Environmental Protection and the \$13 million in assets transferred to the Ben Franklin Technology Development Partners. The transfer of bond proceeds to these Governmental entities was prescribed by legislation. Management acknowledges but is not concerned with the annual net asset deficit. As an authority under which economic stimulus programs are established, grants and transfers to other governmental entities are essential to achieve its mission.

**Condensed Statements of Revenues, Expenses, and Changes in Net Assets**

	<u>2011</u>	<u>2010</u>	<u>2009</u>
Operating income	\$ 8,449,239	\$ 8,091,436	\$ 11,614,029
Operating expenses	(219,224,694)	(138,624,287)	(18,734,695)
Provision for loan losses	(423,549)	(1,093,798)	(1,177,504)
Nonoperating income (expense),net	<u>42,550,998</u>	<u>(74,655,405)</u>	<u>25,281,313</u>
<b>Increase (decrease) in net asset</b>	<u>\$ (168,648,006)</u>	<u>\$ (206,282,054)</u>	<u>\$ 16,983,143</u>

During 2011, the Authority issued revenue bonds for \$150 million to provide funds for grant expenditures under the H2O program. This bond issuance consisted of a \$97 million Build America Bond component. Since inception, the Authority has issued eight revenue bonds totaling \$1.542 billion. The Authority has a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth, and transfers from the Gaming Economic Development Tourism Fund. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF NET DEFICITS  
JUNE 30, 2011 AND 2010

	<u>2011</u>	<u>2010</u>
<b>ASSETS</b>		
Current Assets:		
Cash and cash equivalents	\$ 649,214,245	\$ 722,767,227
Receivables:		
Loans (net)	15,319,437	14,553,346
Accrued interest	1,195,651	994,617
Penalties/late fees	18,288	7,881
Due from primary government	1,230,082	-
Unamortized bond issuance costs, net	11,606,830	11,899,839
Total Current Assets	<u>678,584,533</u>	<u>750,222,910</u>
Non-current assets:		
Long-term portion of loans receivable (net)	307,484,704	287,632,709
Total Non-current Assets	<u>307,484,704</u>	<u>287,632,709</u>
Total Assets	<u>\$ 986,069,237</u>	<u>\$ 1,037,855,619</u>
<b>LIABILITIES</b>		
Current Liabilities:		
Current portion of long-term debt	\$ 39,285,000	\$ 34,210,000
Accrued interest payable	6,377,642	6,842,177
Loan escrow deposit	388,080	388,080
Accounts payable and accrued expenses	52,006	159,508
Due to primary governments - DCED	612,254	598,751
Total Current Liabilities	<u>46,714,982</u>	<u>42,198,516</u>
Non-current Liabilities:		
Long-term debt, net of current portion and unamortized bond premium and discount	1,395,049,687	1,282,704,529
Total Noncurrent Liabilities	<u>1,395,049,687</u>	<u>1,282,704,529</u>
Total Liabilities	<u>1,441,764,669</u>	<u>1,324,903,045</u>
<b>TOTAL NET DEFICITS - UNRESTRICTED</b>	<u>\$ (455,695,432)</u>	<u>\$ (287,047,426)</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET DEFICITS  
YEARS ENDED JUNE 30, 2011 AND 2010

	<u>2011</u>	<u>2010</u>
Operating Income		
Interest on loans	\$ 5,898,154	\$ 5,138,479
Interest on investments	2,036,680	2,286,686
Fee income	227,914	621,182
Interest from venture capital loan	286,491	45,089
	<u>8,449,239</u>	<u>8,091,436</u>
Operating Revenues before Provision for Loan Losses		
Provision for loan losses	423,549	1,093,798
	<u>8,025,690</u>	<u>6,997,638</u>
Net Operating Revenues		
Operating Expenses		
Administrative/operating expense	2,211,971	2,650,469
Grant expense	216,530,388	135,861,744
Loan guarantee expense	482,335	112,074
	<u>219,224,694</u>	<u>138,624,287</u>
Total Operating Expenses		
Operating Loss	<u>(211,199,004)</u>	<u>(131,626,649)</u>
Nonoperating Income (Expenses)		
Transfers in from primary government	156,944,512	81,654,535
Interest on bonds	(75,944,943)	(58,447,233)
Amortization of bond premium/discount	310,473	174,982
Amortization of bond issuance costs	(609,045)	(545,267)
Transfer to other Commonwealth component units	(13,000,000)	(13,000,000)
Transfers to primary government	(25,000,000)	(85,000,000)
Other	(149,999)	507,578
Total Nonoperating Revenues (Expenses)	<u>42,550,998</u>	<u>(74,655,405)</u>
Decrease in net assets	(168,648,006)	(206,282,054)
Net Deficits - Beginning of Year	<u>(287,047,426)</u>	<u>(80,765,372)</u>
Net Deficits - End of Year	<u>\$ (455,695,432)</u>	<u>\$ (287,047,426)</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF CASH FLOWS  
YEARS ENDED JUNE 30, 2011 AND 2010

	<u>2011</u>	<u>2010</u>
<b>Cash Flows from Operating Activities:</b>		
Loan and fee receipts from customers	\$ 25,673,428	\$ 23,667,597
Loan disbursements made to customers	(40,663,944)	(72,834,794)
Interest on investments	2,036,680	2,286,686
Cash paid for operating expenses	(2,305,970)	(2,334,228)
Cash paid for grant expenses	(216,530,388)	(135,861,744)
Cash paid for loan guarantees	(482,335)	(112,074)
	<u>(232,272,529)</u>	<u>(185,188,557)</u>
<b>Net Cash Used In Operating Activities</b>		
<b>Cash Flows from Noncapital Financing Activities:</b>		
Proceeds from bonds payable	153,594,595	538,970,724
Transfer to primary government and other Commonwealth component units	(38,000,000)	(98,000,000)
Transfer from primary government	155,714,430	81,654,535
Principal payments on bonds payable	(36,180,000)	(26,645,000)
Interest on bonds payable	(76,409,478)	(55,019,525)
	<u>158,719,547</u>	<u>440,960,734</u>
<b>Net Cash Provided By Noncapital Financing Activities</b>		
	<u>(73,552,982)</u>	<u>255,772,177</u>
<b>Increase (Decrease) In Cash And Cash Equivalents</b>		
	<u>722,767,227</u>	<u>466,995,050</u>
<b>Cash and Cash Equivalents, Beginning of Year</b>		
	<u>\$ 649,214,245</u>	<u>\$ 722,767,227</u>
<b>Cash and Cash Equivalents, End of Year</b>		
	<u>\$ 649,214,245</u>	<u>\$ 722,767,227</u>
<b>Reconciliation of Operating Income to Net Cash Provided By (Used In)</b>		
<b>Operating Activities:</b>		
Operating Loss	\$ (211,199,004)	\$ (131,626,649)
Adjustments to reconcile operating income to net cash used in operating activities:		
Effect of changes in operating assets and liabilities:		
Loan disbursements	(40,663,944)	(72,834,794)
Loan repayments	19,523,622	18,330,460
Accrued interest receivable	(201,034)	(463,785)
Loan origination costs	(51,312)	-
Allowance for loan losses	423,549	1,093,798
Penalties/late fees	(10,407)	(3,828)
Accounts payable, accrued expenses, and due to primary government	(93,999)	316,241
	<u>(232,272,529)</u>	<u>(185,188,557)</u>
<b>Net Cash Used In Operating Activities</b>		

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
 (COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
 NOTES TO FINANCIAL STATEMENTS  
 YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Organization

The Commonwealth Financing Authority ("the Authority") is a body corporate and politic duly organized by the Commonwealth of Pennsylvania ("the Commonwealth") incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (Act), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the use of alternative and clean energy, the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania communities, the development of a stable tax base within Pennsylvania communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

The legislation creating the Authority as well as program specific guidelines establishes certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- Tax Increment Financing "TIF" Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.
- H<sub>2</sub>O PA Program (Water and Sewer): provides for single-year or multi-year grants to municipalities or municipal authorities to assist with the construction of flood control projects, drinking water, sanitary sewer and storm sewer projects, and the repair of high hazard unsafe dams.



COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

A. Organization (Continued)

- Solar Energy Program: provides financial assistance in the form of grant and loan funds to promote the generation and use of solar energy and the manufacture or assembly of solar equipment.
- Renewable Energy Program: provides financial assistance in the form of grant and loan funds to promote the use of wind and geothermal energy.
- Alternative and Clean Energy Program: provides grant and loan funds to encourage the implementation of alternative energy production projects and clean energy projects.
- High Performance Buildings: provides grants and loans for the construction of energy efficient buildings.
- Local Share Account: provides grants to support and enhance community and economic well-being and mitigate the impact of gaming and related activities..

B. Measurement Focus and Basis of Accounting

The Authority follows Generally Accepted Accounting Principles (GAAP). GAAP allows specialized accounting for government entities, which is governed by pronouncements set by the Governmental Accounting Standards Board (GASB). Pronouncements set by the GASB may differ from pronouncements set by the Financial Accounting Standards Board (FASB).

The Authority is considered a special-purpose government since it is engaged solely in business-type activities under GASB Statement No. 34. The Authority's financial statements are prepared using the economic resources measurement focus and accrual basis of accounting. Under the accrual basis of accounting revenues are recorded when earned and expenses are recorded when they have been incurred. The statements are intended to report the Authority as an economic unit that includes all measurable assets and liabilities, financial and capital, of the Authority.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the costs (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination or revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The Authority follows the Governmental Accounting Standards Board (GASB) Statement No. 34, *Basic Financial Statements and Management's Discussion and Analysis*. Within the Statements of Revenues, Expenses and Changes in Net Assets, Statement No. 34 requires operating income and expenses to be separated from non-operating income in order to report net operating income. Operating income and expenses are defined as those activities directly related to the Authority's primary business of providing employment through economic development lending. Non-operating revenues and expenses consist of those revenues and expenses that are related to financing and investing types of activities and result from non-exchange transactions, such as investment income/loss.

The Authority follows Governmental Accounting Standards Board (GASB) Statement No. 20, *Accounting and Financial Reporting for Proprietary Funds and Other Governmental Entities That Use Proprietary Fund Accounting* for reporting and disclosure purposes. As permitted by Statement No. 20, the Authority has elected not to apply Financial Accounting Standards Board pronouncements issued after November 30, 1989 unless GASB specifically adopts the FASB Statement or Interpretation.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

C. Cash and Cash Equivalents

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit in highly liquid financial debt instruments with a maturity of three months or less at the date of purchase.

D. Allowance for Loan Losses

The allowance for loan losses is a reserve account for possible future loan losses. Provision for loan losses is credited to the allowance account. Loan losses which are charged-off and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end.

E. Interest Income

Interest income on cash equivalents and loans are recorded when earned.

Uncollectible interest on loans that are contractually past due is charged off, or an allowance established based on management's periodic evaluations. The allowance is established by a charge-to-interest income equal to all previously accrued, and income is subsequently recognized only to the extent that cash payments are received until, in management's judgment, the borrower's ability to make periodic interest and principal payments is back to normal.

In addition to fixed interest arrangements, some loans contain provisions which provide lump sum interest payments based upon certain conditions being met. The additional income is recognized when earned.

F. Loan Origination Fees and Costs

The Authority recognizes loan origination fees and costs in accordance with FASB Accounting Standards Codification 310-20, *Receivables – Nonrefundable Fees and Other Costs* (formerly Statement of Financial Accounting Standards No. 91, *Accounting for Nonrefundable Fees and Costs Associated with Originating or Acquiring Loans and Initial Direct Costs of Leases*).

For the years ended June 30, 2011 and 2010, \$310,570 and \$259,258, respectively, of net deferred fees are included in loans receivable.

G. Bond Issuance Costs

Bond issuance costs consist of legal, underwriting and other fees charged in connection with the issuance of bond debt. The costs are amortized over the lives of the bonds, which range from 20 to 30 years. The bonds mature through 2040. Amortization was \$609,045 and \$545,267 for the years ended June 30, 2011 and 2010, respectively.

H. Utilization of Resources

When both restricted and unrestricted resources are available for use, it is the Authority's policy to use restricted resources first, then unrestricted resources as needed.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

I. Bond Premium and Discount

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued, which approximates the interest method.

J. Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Accordingly, actual results could differ from those estimates.

K. Reclassifications

For comparative purposes, the prior year's financial statements have been reclassified to conform to report classifications of the current year. The reclassifications had no effect on net assets.

L. Adoption of Governmental Accounting Standards Board Statements

The Authority adopted the provisions of GASB Statement No. 59, "*Financial Instruments Omnibus*". The adoption of this statement had no effect on the financial statements.

M. Pending Changes in Accounting Principles

In December 2009, the GASB issued Statement No. 57, "*OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans*". The Authority is required to adopt Statement No. 57 for its fiscal year 2012 financial statements.

In November 2010, the GASB issued Statement No. 60, "*Accounting and Financial Reporting for Service Concession Arrangements*". The Authority is required to adopt Statement No. 60 for its fiscal year 2013 financial statements.

In November 2010, the GASB issued Statement No. 61, "*The Financial Reporting Entity: Omnibus-an amendment of GASB Statements No. 14 and No. 34*". The Authority is required to adopt Statement No. 61 for its fiscal year 2013 financial statements.

In December 2010, the GASB issued Statement No. 62, "*Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*". The Authority is required to adopt Statement No. 62 for its fiscal year 2013 financial statements.

In June 2011, the GASB issued Statement No. 63 "*Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*". The Authority is required to adopt Statement No. 63 for its fiscal year 2013 financial statements.

In June 2011, the GASB issued Statement No. 64 "*Derivative Instruments: Application of Hedge Accounting Termination Provisions – an amendment of GASB Statement No. 53*". The Authority is required to adopt Statement No. 64 for its fiscal year 2012 financial statements.

The Authority has not yet completed the various analyses required to estimate the financial statement impact of these new pronouncements.

COMMONWEALTH FINANCING AUTHORITY  
 (COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
 NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
 YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 2: FINANCIAL SUPPORT

The Authority reported a net deficit of \$455,695,432 and \$287,047,426 as of June 30, 2011 and 2010, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of its bond proceeds to the Commonwealth Department of Environmental Protection and the Ben Franklin Technology Development Authority in the current year and in prior years to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributed to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, factors listed above do not raise doubt as to the Authority's ability to meet obligations when due.

NOTE 3: CASH AND CASH EQUIVALENTS

Custodial Credit Risk

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2011, due to the nature of the cash and cash equivalents balances, there is no custodial credit risk. As of June 30, 2010, the Authority's bank balance was exposed to custodial credit risk as \$250,000 was FDIC insured and \$721,721,132 were uninsured and collateral was held by the pledging bank's trust department not in the Authority's name.

Additionally, due to the short-term maturity of the cash equivalents, there is limited interest rate risk.

NOTE 4: LOANS RECEIVABLE

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

## NOTE 4: LOANS RECEIVABLE (CONTINUED)

At June 30, 2011 and 2010, the outstanding balance of loans receivable were as follows:

	2011		
	Current Portion	Long-term Portion	Total
Loan receivable	\$ 15,617,733	\$ 313,460,585	\$ 329,078,318
Deferred loan origination fees - net	14,059	296,511	310,570
Allowance for loan losses	(312,355)	(6,272,392)	(6,584,747)
Balance, end of year	\$ 15,319,437	\$ 307,484,704	\$ 322,804,141
	2010		
	Current Portion	Long-term Portion	Total
Loan receivable	\$ 14,772,342	\$ 293,315,653	\$ 308,087,995
Deferred loan origination fees - net	9,841	249,417	259,258
Allowance for loan losses	(228,837)	(5,932,361)	(6,161,198)
Balance, end of year	\$ 14,553,346	\$ 287,632,709	\$ 302,186,055

An analysis of the allowance for loan losses for the years ended June 30, 2011 and 2010 is as follows:

	2011	2010
Balance, beginning of year	\$ 6,161,198	\$ 5,067,400
Provision for loan losses	423,549	1,093,798
Balance, end of year	\$ 6,584,747	\$ 6,161,198

## NOTE 5: BONDS PAYABLE

Changes in long-term liabilities for the year ended June 30, 2011:

	Beginning Balance	Additions	Deductions	Ending Balance	Due Within One Year
Economic revenue bonds	\$ 1,313,455,000	\$ 150,000,000	\$ (36,180,000)	\$ 1,427,275,000	\$ 39,285,000
Bond premium	4,657,904	3,910,631	(368,412)	8,200,123	-
Bond discount	(1,198,375)	-	57,939	(1,140,436)	-
Total	\$ 1,316,914,529	\$ 153,910,631	\$ (36,490,473)	\$ 1,434,334,687	\$ 39,285,000

COMMONWEALTH FINANCING AUTHORITY  
 (COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
 NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
 YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 5: BONDS PAYABLE (CONTINUED)

Changes in long-term liabilities for the year ended June 30, 2010:

	Beginning Balance	Additions	Deductions	Ending Balance	Due Within One Year
Economic revenue bonds	\$ 798,100,000	\$ 542,000,000	\$ 26,645,000	\$ 1,313,455,000	\$ 34,210,000
Bond premium	3,701,371	1,137,110	180,577	4,657,904	-
Bond discount	(1,203,969)		(5,594)	(1,198,375)	-
<b>Total</b>	<b>\$ 800,597,402</b>	<b>\$ 543,137,110</b>	<b>\$ 26,819,983</b>	<b>\$ 1,316,914,529</b>	<b>\$ 34,210,000</b>

	2011	2010
Series 2010 Revenue Bonds, issued \$53,080,000 fixed rate, tax-exempt revenue bonds, Series C-1 and \$96,920,000, fixed rate, federal taxable revenue bonds, Series C-2 at 2% - 3.4%, interest payable semi-annually and principle payable annually through June 1, 2040.	\$ 148,030,000	\$ -
Series 2010 Revenue Bonds, issued \$62,000,000 fixed rate, federal taxable revenue bonds, Series A and \$80,000,000 fixed rate, tax-exempt revenue bonds, Series B at .93% - 5.5%, interest payable semi-annually and principal payable annually through May 1, 2039.	\$ 138,505,000	\$ 142,000,000
Series 2009 Revenue Bonds, issued \$400,000,000 fixed rate, federally taxable revenue bonds, Series D at 3.4% - 5.1%, interest payable semi-annually and principal payable annually through May 1, 2039.	\$ 400,000,000	\$ 400,000,000
Series 2009 Revenue Bonds, issued \$50,000,000 fixed rate, federal taxable revenue bonds, Series A and \$50,000,000 fixed rate, tax-exempt revenue bonds, Series B at 3.0% - 6.4%, interest payable semi-annually and principal payable annually through June 1, 2031.	\$ 97,205,000	\$ 100,000,000
Series 2008 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series A at 3.1% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2027.	\$ 169,625,000	\$ 176,450,000

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

## NOTE 5: BONDS PAYABLE (CONTINUED)

	<u>2011</u>	<u>2010</u>
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	\$ 161,145,000	\$ 168,225,000
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federal taxable revenue bonds, Series B at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	\$ 158,720,000	\$ 165,375,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	<u>\$ 154,045,000</u>	<u>\$ 161,405,000</u>
Total Bonds Payable - Principle	\$ 1,427,275,000	\$ 1,313,455,000
Less current portion	(39,285,000)	(34,210,000)
Unamortized bond premium	8,200,123	4,657,904
Unamortized bond discount	<u>(1,140,436)</u>	<u>(1,198,375)</u>
	<u>\$ 1,395,049,687</u>	<u>\$ 1,282,704,529</u>

Bond payable requirements subsequent to June 30, 2011 are as follows:

	<u>Principal Maturities</u>	<u>Interest</u>
For the Years Ending June 30,		
2012	\$ 39,285,000	\$ 76,531,705
2013	50,210,000	74,826,251
2014	52,290,000	72,954,021
2015	54,570,000	70,585,946
2016	57,025,000	68,054,367
2017-2021	329,355,000	294,024,221
2022-2026	406,165,000	193,807,270
2027-2031	200,315,000	104,835,251
2032-2036	139,350,000	54,806,243
2037-2040	98,710,000	13,104,570
Total	<u>\$ 1,427,275,000</u>	<u>\$ 1,023,529,845</u>

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 5: BONDS PAYABLE (CONTINUED)

Bond payable requirements subsequent to June 30, 2010 are as follows:

For the Years Ended June 30,	<u>Principal Maturities</u>	<u>Interest</u>
2011	\$ 34,210,000	\$ 71,111,088
2012	36,400,000	68,910,785
2013	47,265,000	67,263,029
2014	49,255,000	65,167,236
2015	51,445,000	62,850,475
2016-2020	296,520,000	272,595,273
2021-2025	379,845,000	183,893,119
2026-2030	210,560,000	92,966,026
2031-2035	119,750,000	92,966,026
2036-2039	88,205,000	13,982,417
<b>Total</b>	<u>\$ 1,313,455,000</u>	<u>\$ 991,705,474</u>

The Authority, with Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations and transfers by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations and transfers to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation and transfers of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

NOTE 6: RELATED PARTY TRANSACTIONS

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) and the Department of Environmental Protection (DEP) to provide administrative and operational support services for the Authority. The Authority owns no capital assets; the employees performing services for the Authority are DCED employees. As such, under the Memorandum of Understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal years ended June 30, 2011 and 2010, the services provided by DCED and DEP to the Authority and recorded as Administrative/Operating expenses totaled \$1,864,263 and \$2,650,469, respectively.

During the fiscal years ended June 30, 2011 and 2010, the Authority received \$109,039,921 and \$81,654,535, respectively, in transfers from the Commonwealth to pay debt services with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.

The Authority also received \$47,904,591 and \$0 in gaming monies from the Commonwealth to fund approved projects in select areas of the state in the fiscal years ended June 30, 2011 and 2010, respectively.

The Authority transferred part of its bond proceeds to the Commonwealth Department of Environment Protection and the Ben Franklin Technology Development Authority totaling \$38,000,000 and \$98,000,000 for the fiscal years ending June 30, 2011 and 2010, respectively.



COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2011 AND 2010

NOTE 7: LINE OF CREDIT

In December 2009, the Authority entered into a secured line of credit with the Commonwealth of Pennsylvania Treasury Department, which, under a revolving credit agreement, is limited to borrowings of \$50,000,000. Under the revolving credit agreement, interest accrues on the aggregate unpaid principle amount outstanding on the draws. The interest rate is the greater of the rate of the United States Federal Funds Target Rate plus 75 basis points or the rate set by the British Bankers Association for London Interbank Offered Rate (LIBOR) for a six month term in United States dollars plus 45 basis points. The interest rate is reset as of the 20<sup>th</sup> of each month. As of June 30, 2011 and 2010, no funds were drawn under the revolving credit agreement.

NOTE 8: COMMITMENTS AND CONTINGENCIES

The Authority, through various economic development programs, provided loan guarantees as follows:

	2011	2010
First Industries loan guarantees	\$ 47,994,133	\$ 37,797,428
Tax increment financing gaurantees	48,411,970	44,911,970
Second stage loan gaurantees	3,360,000	2,910,000
Venture capital gaurantees	197,500,000	197,500,000
Total Loan Gaurantees	\$ 297,266,103	\$ 283,119,398

The Authority has been called upon, from time to time with respect to loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, expenses totaling \$482,335 and \$112,074, have been reported in the Authority's financial statements for loan guarantees as of June 30, 2011 and 2010, respectively.

Through various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, and grants of \$47,590,997 and \$488,098,404, respectively, which have not been disbursed as of June 30, 2011.

# Zelenkofske Axelrod LLC

## INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the financial statements of the business-type activities of the COMMONWEALTH FINANCING AUTHORITY ("the AUTHORITY"), a component unit of the Commonwealth of Pennsylvania, as of and for the year ended June 30, 2011, which collectively comprise the AUTHORITY's 2011 basic financial statements and have issued our report thereon dated September 30, 2011. We conducted our audit in accordance with auditing standards generally accepted in the United State of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered the AUTHORITY's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the AUTHORITY's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the AUTHORITY's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of the internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the AUTHORITY's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the Board of Directors, management, others within the entity, federal awarding agencies and the Commonwealth of Pennsylvania, and is not intended to be and should not be used by anyone other than these specified parties.

*Zelenkofske Axelrod LLC*

ZELENKOFOSKE AXELROD LLC

Harrisburg, Pennsylvania  
September 30, 2011

<u>Harrisburg</u>	<u>Lehigh Valley</u>	<u>Philadelphia</u>	<u>Pittsburgh</u>
830 Sir Thomas Court, Suite 100 Harrisburg, PA 17109 717.561.9200 Fax 717.561.9202	1101 West Hamilton Street Allentown, PA 18101-1043 610.871.5077 Fax 717.561.9202	2370 York Road, Suite A-5 Jamison, PA 18929 215.918.2277 Fax 215.918.2302	3800 McKnight E. Drive, Suite 3805 Pittsburgh, PA 15237 412.367.7102 Fax 412.367.7103

**COMMONWEALTH FINANCING AUTHORITY**  
**(Component Unit of the**  
**Commonwealth of Pennsylvania)**  
**Harrisburg, Pennsylvania**

**FINANCIAL STATEMENTS**

**YEARS ENDED JUNE 30, 2012 AND 2011**

COMMONWEALTH FINANCING AUTHORITY  
 (COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
 YEARS ENDED JUNE 30, 2012 AND 2011

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# Zelenkofske Axelrod LLC

## INDEPENDENT AUDITORS' REPORT

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the accompanying financial statements of the business-type activities of the COMMONWEALTH FINANCING AUTHORITY ("the AUTHORITY"), a component unit of the Commonwealth of Pennsylvania, as of and for the years ended June 30, 2012 and 2011, which collectively comprise the Authority's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the AUTHORITY's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities of the AUTHORITY as of June 30, 2012 and 2011 and the respective changes in financial position and cash flows thereof for the year then ended in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated September 13, 2012, on our consideration of the AUTHORITY's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audits.

As discussed in Note 1 to the financial statements, during the fiscal year ended June 30, 2012 the AUTHORITY adopted the provisions of Governmental Accounting Standards Board's Statement No. 57, "OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans" and the provisions of Governmental Accounting Standards Board's Statement No. 64, "Derivative Instruments: Application of Hedge Accounting Termination Provisions – an amendment of GASB Statement No. 53".

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 2 through 3 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquires of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquires, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

*Zelenkofske Axelrod LLC*

ZELENKOFSCHE AXELROD LLC

Harrisburg, Pennsylvania  
September 13, 2012

<u>Harrisburg</u>	<u>Lehigh Valley</u>	<u>Philadelphia</u>	<u>Pittsburgh</u>
830 Sir Thomas Court, Suite 100 Harrisburg, PA 17109 717.561.9200 Fax 717.561.9202	1101 West Hamilton Street Allentown, PA 18101-1043 610.871.5077 Fax 717.561.9202	2370 York Road, Suite A-5 Jamison, PA 18929 215.918.2277 Fax 215.918.2302	3800 McKnight E. Drive, Suite 3805 Pittsburgh, PA 15237 412.367.7102 Fax 412.367.7103

**Commonwealth Financing Authority  
(Component Unit of the Commonwealth of Pennsylvania)  
MANAGEMENT'S DISCUSSION AND ANALYSIS  
Financial Statements for the Year Ended June 30, 2012**

Page 2

The , hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter GASB 34), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2012 and 2011. Please read it in conjunction with the Authority's financial statements that follow this section.

**OPERATIONAL HIGHLIGHTS**

Over the past fiscal year, the Authority has approved 38 projects totaling \$38,106,862 in funding under the Alternative and Clean Energy Program, the Renewable Energy Program and the Solar Energy Program. In total, the projects will generate 699,201 megawatt hours annually and save 1,189,508 kBTU's. These programs provide funding to promote the utilization, development and construction of alternative energy projects in the Commonwealth.

Over the past fiscal year, the Authority has approved 13 projects totaling \$33,421,954 in funding under the Business in Our Sites program which funds will assist in the development of 1,260 acres, 4,116,954 sq. ft of leasable space and will create 3,672 jobs. This program provides funding to support the development of strategic economic development sites throughout the Commonwealth.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the full accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a Statement of Net Deficits; a Statement of Revenues, Expenses, and Changes in Net Deficits; a Statement of Cash Flows; and Notes to the Financial Statements.

The Statement of Net Deficits presents the financial position of the Authority on a full accrual historical cost basis. The Statement of Net Deficits also presents information on all of the Authority's assets and liabilities, with the difference reported as net deficits. Over time, increases and decreases in net deficits are one indicator of whether the financial position of the Authority is improving or deteriorating.

While the Statement of Net Deficits provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Deficits presents the results of the business-type activities over the course of the fiscal year and information as to how the net deficits changed during the year. All changes in net deficits are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipt and cash disbursement information without consideration of the earnings event when an obligation arises, or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.

Commonwealth Financing Authority  
 (Component Unit of the Commonwealth of Pennsylvania)  
 MANAGEMENT'S DISCUSSION AND ANALYSIS (CONTINUED)  
 Financial Statements for the Year Ended June 30, 2012

Page 3

**FINANCIAL ANALYSIS****Condensed Statements of Net Deficits**

	2012	2011	2010
<b>Assets:</b>			
Current assets	\$ 450,693,586	\$ 678,584,533	\$ 750,222,910
Long-term assets	307,401,520	307,484,704	287,632,709
Total assets	<u>758,095,106</u>	<u>986,069,237</u>	<u>1,037,855,619</u>
<b>Liabilities:</b>			
Current liabilities	57,017,378	46,714,982	42,198,516
Long-term liabilities	1,344,464,445	1,395,049,687	1,282,704,529
Total liabilities	<u>1,401,481,823</u>	<u>1,441,764,669</u>	<u>1,324,903,045</u>
<b>Total net deficit - unrestricted</b>	<u>\$ (643,386,717)</u>	<u>\$ (455,695,432)</u>	<u>\$ (287,047,426)</u>

The Authority did not issue any new bonds in 2012 after issuing bonds totaling \$150 million in 2011. The bond issuance was the primary cause for the increase in total liabilities of \$117 million in 2011. In 2012, total liabilities decreased by \$40 million as a result of no new debt issuances and principal payments made on existing debt. In 2012, the Authority's total assets declined by \$228 million due to the transfer of \$9 million to other Commonwealth agencies for initiatives prescribed under legislation and also due to \$249 million in grant disbursements, particularly H2O program grants. Due to the nature of economic development grants and loans, some of which require drawdowns, funding not immediately disbursed upon Board approval is held as cash and cash equivalents. Administrative operating expenses increased as compared to the previous year by \$0.7 million. The increase corresponds to the increased staff time necessary to review and process application for funding during 2012. Loan Guarantee expense increased by \$0.7 million in 2012 as the Authority was called on to pay demand notices.

The significant increase in the total net deficit is attributable to the \$249 million in Authority assets disbursed as grant proceeds, and the \$8 million in assets transferred to the Ben Franklin Technology Development Partners. The transfer of bond proceeds to these Governmental entities was prescribed by legislation. Management acknowledges but is not concerned with the annual net asset deficit. As an authority under which economic stimulus programs are established, grants and transfers to other governmental entities are essential to achieve its mission.

Since inception, the Authority has issued eight revenue bonds totaling \$1.542 billion. The Authority has a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth, and transfers from the Gaming Economic Development Tourism Fund. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**Condensed Statements of Revenues, Expenses, and Changes in Net Deficits**

	2012	2011	2010
Operating income	\$ 10,590,538	\$ 8,449,239	\$ 8,091,436
Operating expenses	(252,807,470)	(219,374,693)	(138,624,287)
Provision for loan losses	(4,988,366)	(423,549)	(1,093,798)
Nonoperating income (expense),net	<u>59,514,013</u>	<u>42,700,997</u>	<u>(74,655,405)</u>
<b>Increase (decrease) in net asset</b>	<u>\$ (187,691,285)</u>	<u>\$ (168,648,006)</u>	<u>\$ (206,282,054)</u>

In 2012, operating income increased by \$2.1 million as compared to 2011. The increase is attributed to increased interest on loans and venture capital investments. The Authority adjusts the loan loss reserve to account for at-risk loans. As a result, the provision for loan losses increased by \$4.6 million.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF NET DEFICITS  
JUNE 30, 2012 AND 2011

	<u>2012</u>	<u>2011</u>
<b>ASSETS</b>		
Current Assets:		
Cash and cash equivalents	\$ 420,093,530	\$ 649,214,245
Receivables:		
Loans (net)	18,152,055	15,319,437
Accrued interest	1,483,188	1,195,651
Penalties/late fees	-	18,288
Due from primary government	-	1,230,082
Unamortized bond issuance costs, net	<u>10,964,813</u>	<u>11,606,830</u>
Total Current Assets	<u>450,693,586</u>	<u>678,584,533</u>
Non-current assets:		
Long-term portion of loans receivable (net)	<u>307,401,520</u>	<u>307,484,704</u>
Total Non-current Assets	<u>307,401,520</u>	<u>307,484,704</u>
Total Assets	<u>\$ 758,095,106</u>	<u>\$ 986,069,237</u>
<b>LIABILITIES</b>		
Current Liabilities:		
Current portion of long-term debt	\$ 50,210,000	\$ 39,285,000
Accrued interest payable	6,235,521	6,377,642
Loan escrow deposit	-	388,080
Accounts payable and accrued expenses	16,000	52,006
Due to primary governments - DCED	<u>555,857</u>	<u>612,254</u>
Total Current Liabilities	<u>57,017,378</u>	<u>46,714,982</u>
Non-current Liabilities:		
Long-term debt, net of current portion and unamortized bond premium and discount	<u>1,344,464,445</u>	<u>1,395,049,687</u>
Total Noncurrent Liabilities	<u>1,344,464,445</u>	<u>1,395,049,687</u>
Total Liabilities	<u>1,401,481,823</u>	<u>1,441,764,669</u>
<b>TOTAL NET DEFICITS - UNRESTRICTED</b>	<u>\$ (643,386,717)</u>	<u>\$ (455,695,432)</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET DEFICITS  
YEARS ENDED JUNE 30, 2012 AND 2011

	<u>2012</u>	<u>2011</u>
Operating Income		
Interest on loans	\$ 6,870,547	\$ 5,898,154
Interest on investments	1,462,859	2,036,680
Fee income	417,953	227,914
Interest from venture capital loan	<u>1,839,179</u>	<u>286,491</u>
Operating Revenues before Provision for Loan Losses	<u>10,590,538</u>	<u>8,449,239</u>
Provision for loan losses	<u>4,988,366</u>	<u>423,549</u>
Net Operating Revenues	<u>5,602,172</u>	<u>8,025,690</u>
Operating Expenses		
Administrative/operating expense	2,902,175	2,211,971
Grant expense	248,546,667	216,530,388
Loan guarantee expense	1,191,529	482,335
Other	<u>167,099</u>	<u>149,999</u>
Total Operating Expenses	<u>252,807,470</u>	<u>219,374,693</u>
Operating Loss	<u>(247,205,298)</u>	<u>(211,349,003)</u>
Nonoperating Income (Expenses)		
Transfers in from primary government	145,170,304	156,944,512
Interest on bonds	(76,389,516)	(75,944,943)
Amortization of bond premium/discount	375,242	310,473
Amortization of bond issuance costs	(642,017)	(609,045)
Transfer to other Commonwealth component units	(8,000,000)	(13,000,000)
Transfers to primary government	<u>(1,000,000)</u>	<u>(25,000,000)</u>
Total Nonoperating Revenues	<u>59,514,013</u>	<u>42,700,997</u>
Increase in net deficits	(187,691,285)	(168,648,006)
Net Deficits - Beginning of Year	<u>(455,695,432)</u>	<u>(287,047,426)</u>
Net Deficits - End of Year	<u>\$ (643,386,717)</u>	<u>\$ (455,695,432)</u>

See accompanying notes to the financial statements



COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF CASH FLOWS  
YEARS ENDED JUNE 30, 2012 AND 2011

	<u>2012</u>	<u>2011</u>
<b>Cash Flows from Operating Activities:</b>		
Loan and fee receipts from customers	\$ 38,531,154	\$ 25,673,428
Loan disbursements made to customers	(37,965,703)	(40,663,944)
Interest on investments	1,462,859	2,036,680
Cash paid for operating expenses	(2,994,578)	(2,305,970)
Cash paid for grant expenses	(248,546,667)	(216,530,388)
Cash paid for loan guarantees	(1,191,529)	(482,335)
	<u>(250,704,464)</u>	<u>(232,272,529)</u>
<b>Net Cash Used In Operating Activities</b>		
<b>Cash Flows from Noncapital Financing Activities:</b>		
Proceeds from bonds payable	-	153,594,595
Transfer to primary government and other Commonwealth component units	(9,000,000)	(38,000,000)
Transfer from primary government	146,400,386	155,714,430
Principal payments on bonds payable	(39,285,000)	(36,180,000)
Interest on bonds payable	(76,531,637)	(76,409,478)
	<u>21,583,749</u>	<u>158,719,547</u>
<b>Net Cash Provided By Noncapital Financing Activities</b>		
	<u>(229,120,715)</u>	<u>(73,552,982)</u>
<b>Decrease In Cash And Cash Equivalents</b>		
Cash and Cash Equivalents, Beginning of Year	<u>649,214,245</u>	<u>722,767,227</u>
Cash and Cash Equivalents, End of Year	<u>\$ 420,093,530</u>	<u>\$ 649,214,245</u>
<b>Reconciliation of Operating Income to Net Cash Provided By (Used In) Operating Activities:</b>		
Operating Loss	\$ (247,205,298)	\$ (211,349,003)
Adjustments to reconcile operating income to net cash used in operating activities:		
Effect of changes in operating assets and liabilities:		
Loan disbursements	(37,410,524)	(40,513,945)
Loan repayments	29,319,589	19,523,622
Loan escrow deposits	(388,080)	-
Accrued interest receivable	(287,537)	(201,034)
Loan origination costs	353,135	(51,312)
Allowance for loan losses	4,988,366	423,549
Penalties/late fees	18,288	(10,407)
Accounts payable, accrued expenses, and due to primary government	(92,403)	(93,999)
Net Cash Used In Operating Activities	<u>\$ (250,704,464)</u>	<u>\$ (232,272,529)</u>
<b>Supplemental Disclosure of Cash Flow Information</b>		
<b>Noncash Noncapital Financing Activities:</b>		
Amortization of bond premium/discount (net)	\$ (375,242)	\$ (310,473)
Amortization of bond issuance costs	642,017	609,045
Total Noncash Noncapital Financing Activities	<u>\$ 266,775</u>	<u>\$ 298,572</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Organization

The Commonwealth Financing Authority ("the Authority") is a body corporate and politic duly organized by the Commonwealth of Pennsylvania ("the Commonwealth") incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (Act), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the use of alternative and clean energy, the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania communities, the development of a stable tax base within Pennsylvania communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

The legislation creating the Authority as well as program specific guidelines establishes certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- Tax Increment Financing "TIF" Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.
- H<sub>2</sub>O PA Program (Water and Sewer): provides for single-year or multi-year grants to municipalities or municipal authorities to assist with the construction of flood control projects, drinking water, sanitary sewer and storm sewer projects, and the repair of high hazard unsafe dams.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

A. Organization (Continued)

- Solar Energy Program: provides financial assistance in the form of grant and loan funds to promote the generation and use of solar energy and the manufacture or assembly of solar equipment.
- Renewable Energy Program: provides financial assistance in the form of grant and loan funds to promote the use of wind and geothermal energy.
- Alternative and Clean Energy Program: provides grant and loan funds to encourage the implementation of alternative energy production projects and clean energy projects.
- High Performance Buildings: provides grants and loans for the construction of energy efficient buildings.
- Local Share Account: provides grants to support and enhance community and economic well-being and mitigate the impact of gaming and related activities.

B. Measurement Focus and Basis of Accounting

The Authority follows Generally Accepted Accounting Principles (GAAP). GAAP allows specialized accounting for government entities, which is governed by pronouncements set by the Governmental Accounting Standards Board (GASB). Pronouncements set by the GASB may differ from pronouncements set by the Financial Accounting Standards Board (FASB).

The Authority is considered a special-purpose government since it is engaged solely in business-type activities under GASB Statement No. 34. The Authority's financial statements are prepared using the economic resources measurement focus and accrual basis of accounting. Under the accrual basis of accounting revenues are recorded when earned and expenses are recorded when they have been incurred. The statements are intended to report the Authority as an economic unit that includes all measurable assets and liabilities, financial and capital, of the Authority.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the costs (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination or revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The Authority follows the Governmental Accounting Standards Board (GASB) Statement No. 34, *Basic Financial Statements and Management's Discussion and Analysis*. Within the Statements of Revenues, Expenses and Changes in Net Deficits, Statement No. 34 requires operating income and expenses to be separated from non-operating income in order to report net operating income or loss. Operating income and expenses are defined as those activities directly related to the Authority's primary business of providing employment through economic development lending. Non-operating revenues and expenses consist of those revenues and expenses that are related to financing and investing types of activities and result from non-exchange transactions, such as investment income/loss.

The Authority follows Governmental Accounting Standards Board (GASB) Statement No. 20, *Accounting and Financial Reporting for Proprietary Funds and Other Governmental Entities That Use Proprietary Fund Accounting* for reporting and disclosure purposes. As permitted by Statement No. 20, the Authority has elected not to apply Financial Accounting Standards Board pronouncements issued after November 30, 1989 unless GASB specifically adopts the FASB Statement or Interpretation.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

C. Cash and Cash Equivalents

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit in highly liquid financial debt instruments with a maturity of three months or less at the date of purchase.

D. Allowance for Loan Losses

The allowance for loan losses is a reserve account for possible future loan losses. Provision for loan losses is credited to the allowance account. Loan losses which are charged-off and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end.

E. Interest Income

Interest income on cash equivalents and loans are recorded when earned.

Uncollectible interest on loans that are contractually past due is charged off, or an allowance established based on management's periodic evaluations. The allowance is established by a charge-to-interest income equal to all previously accrued, and income is subsequently recognized only to the extent that cash payments are received until, in management's judgment, the borrower's ability to make periodic interest and principal payments is back to normal.

In addition to fixed interest arrangements, some loans contain provisions which provide lump sum interest payments based upon certain conditions being met. The additional income is recognized when earned.

F. Loan Origination Fees and Costs

The Authority recognizes loan origination fees and costs in accordance with FASB Accounting Standards Codification 310-20, *Receivables – Nonrefundable Fees and Other Costs* (formerly Statement of Financial Accounting Standards No. 91, *Accounting for Nonrefundable Fees and Costs Associated with Originating or Acquiring Loans and Initial Direct Costs of Leases*).

For the years ended June 30, 2012 and 2011, (\$42,565) and \$310,570, respectively, of net deferred fees are included in loans receivable.

G. Bond Issuance Costs

Bond issuance costs consist of legal, underwriting and other fees charged in connection with the issuance of bond debt. The costs are amortized over the lives of the bonds, which range from 20 to 30 years. The bonds mature through 2040. Amortization was \$642,017 and \$609,045 for the years ended June 30, 2012 and 2011, respectively.

H. Utilization of Resources

When both restricted and unrestricted resources are available for use, it is the Authority's policy to use restricted resources first, then unrestricted resources as needed.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

I. Bond Premium and Discount

The difference between the cash received from bondholders at issuance and the amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued, which approximates the interest method.

J. Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Accordingly, actual results could differ from those estimates.

K. Reclassifications

For comparative purposes, the prior year's financial statements have been reclassified to conform to report classifications of the current year. The reclassifications had no effect on net assets.

L. Adoption of Governmental Accounting Standards Board Statements

The Authority adopted the requirements of GASB Statement No. 57, "*OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans*". The adoption of this statement had no effect on previously reported amounts.

The Authority adopted the requirements of GASB Statement No. 64 "*Derivative Instruments: Application of Hedge Accounting Termination Provisions – an amendment of GASB Statement No. 53*". The adoption of this statement had no effect on previously reported amounts.

M. Pending Changes in Accounting Principles

In November 2010, the GASB issued Statement No. 60, "*Accounting and Financial Reporting for Service Concession Arrangements*". The Authority is required to adopt Statement No. 60 for its fiscal year 2013 financial statements.

In November 2010, the GASB issued Statement No. 61, "*The Financial Reporting Entity: Omnibus—an amendment of GASB Statements No. 14 and No. 34*". The Authority is required to adopt Statement No. 61 for its fiscal year 2013 financial statements.

In December 2010, the GASB issued Statement No. 62, "*Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*". The Authority is required to adopt Statement No. 62 for its fiscal year 2013 financial statements.

In June 2011, the GASB issued Statement No. 63, "*Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*". The Authority is required to adopt Statement No. 63 for its fiscal year 2013 financial statements.

In March 2012, the GASB issued a Statement No. 65, "*Items Previously Reported as Assets and Liabilities*". The Authority is required to adopt statement No. 65 for its fiscal year 2014 financial statements.

In March 2012, the GASB issued a Statement No. 66, "*Technical Corrections – 2012 – An Amendment of GASB Statements No. 10 and No. 62*". The Authority is required to adopt statement No. 65 for its fiscal year 2014 financial statements.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

M. Pending Changes in Accounting Principles (Continued)

In June 2012, the GASB issued a Statement No. 67, *Financial Reporting for Pension Plans – an amendment of GASB Statement No. 25*. The Authority is required to adopt statement No. 67 for its fiscal year 2014 financial statements.

In June 2012, the GASB issued a Statement No. 68, *Accounting and Financial Reporting – an amendment of GASB Statement No. 27*. The Authority is required to adopt statement No. 68 for its fiscal year 2015 financial statements.

The Authority has not yet completed the various analyses required to estimate the financial statement impact of these new pronouncements.

NOTE 2: FINANCIAL SUPPORT

The Authority reported a net deficit of \$643,386,717 and \$455,695,432 as of June 30, 2012 and 2011, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of its bond proceeds to the Commonwealth Department of Environmental Protection and the Ben Franklin Technology Development Authority in the current year and in prior years to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributed to the deficit in net assets.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, factors listed above do not raise doubt as to the Authority's ability to meet obligations when due.

NOTE 3: CASH AND CASH EQUIVALENTS

Custodial Credit Risk

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. The Authority does not have a deposit policy for custodial credit risk. As of June 30, 2012 and 2011, due to the nature of the cash and cash equivalents balances, there is no custodial credit risk.

Additionally, due to the short-term maturity of the cash equivalents, there is limited interest rate risk.

NOTE 4: LOANS RECEIVABLE

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

## NOTE 4: LOANS RECEIVABLE (CONTINUED)

At June 30, 2012 and 2011, the outstanding balance of loans receivable were as follows:

	<b>2012</b>		
	<b>Current Portion</b>	<b>Long-term Portion</b>	<b>Total</b>
Loan receivable	\$ 18,524,920	\$ 318,644,333	\$ 337,169,253
Deferred loan origination fees - net	(2,367)	(40,198)	(42,565)
Allowance for loan losses	(370,498)	(11,202,615)	(11,573,113)
Balance, end of year	\$ 18,152,055	\$ 307,401,520	\$ 325,553,575
	<b>2011</b>		
	<b>Current Portion</b>	<b>Long-term Portion</b>	<b>Total</b>
Loan receivable	\$ 15,617,733	\$ 313,460,585	\$ 329,078,318
Deferred loan origination fees - net	14,059	296,511	310,570
Allowance for loan losses	(312,355)	(6,272,392)	(6,584,747)
Balance, end of year	\$ 15,319,437	\$ 307,484,704	\$ 322,804,141

An analysis of the allowance for loan losses for the years ended June 30, 2012 and 2011 is as follows:

	2012	2011
Balance, beginning of year	\$ 6,584,747	\$ 6,161,198
Provision for loan losses	4,988,366	423,549
Balance, end of year	\$ 11,573,113	\$ 6,584,747

## NOTE 5: BONDS PAYABLE

Changes in long-term liabilities for the year ended June 30, 2012:

	Beginning Balance	Additions	Deductions	Ending Balance	Due Within One Year
Economic revenue bonds	\$ 1,427,275,000	\$ -	\$ (39,285,000)	\$ 1,387,990,000	\$ 50,210,000
Bond premium	8,200,123	-	(433,182)	7,766,941	-
Bond discount	(1,140,436)	-	57,940	(1,082,496)	-
Total	\$ 1,434,334,687	\$ -	\$ (39,660,242)	\$ 1,394,674,445	\$ 50,210,000

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

## NOTE 5: BONDS PAYABLE (CONTINUED)

Changes in long-term liabilities for the year ended June 30, 2011:

	<u>Beginning Balance</u>	<u>Additions</u>	<u>Deductions</u>	<u>Ending Balance</u>	<u>Due Within One Year</u>
Economic revenue bonds	\$ 1,313,455,000	\$ 150,000,000	\$ (36,180,000)	\$ 1,427,275,000	\$ 39,285,000
Bond premium	4,657,904	3,910,631	(368,412)	8,200,123	-
Bond discount	(1,198,375)	-	57,939	(1,140,436)	-
<b>Total</b>	<u>\$ 1,316,914,529</u>	<u>\$ 153,910,631</u>	<u>\$ (36,490,473)</u>	<u>\$ 1,434,334,687</u>	<u>\$ 39,285,000</u>

	<u>2012</u>	<u>2011</u>
Series 2010 Revenue Bonds, issued \$53,080,000 fixed rate, tax-exempt revenue bonds, Series C-1 and \$96,920,000, fixed rate, federal taxable revenue bonds, Series C-2 at 2% - 3.4%, interest payable semi-annually and principle payable annually through June 1, 2040.	\$ 145,145,000	\$ 148,030,000
Series 2010 Revenue Bonds, issued \$62,000,000 fixed rate, federal taxable revenue bonds, Series A and \$80,000,000 fixed rate, tax-exempt revenue bonds, Series B at .93% - 5.5%, interest payable semi-annually and principal payable annually through May 1, 2039.	\$ 134,260,000	\$ 138,505,000
Series 2009 Revenue Bonds, issued \$400,000,000 fixed rate, federally taxable revenue bonds, Series D at 3.4% - 5.1%, interest payable semi-annually and principal payable annually through May 1, 2039.	\$ 400,000,000	\$ 400,000,000
Series 2009 Revenue Bonds, issued \$50,000,000 fixed rate, federal taxable revenue bonds, Series A and \$50,000,000 fixed rate, tax-exempt revenue bonds, Series B at 3.0% - 6.4%, interest payable semi-annually and principal payable annually through June 1, 2031.	\$ 94,330,000	\$ 97,205,000
Series 2008 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series A at 3.1% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2027.	\$ 162,540,000	\$ 169,625,000



COMMONWEALTH FINANCING AUTHORITY  
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NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

## NOTE 5: BONDS PAYABLE (CONTINUED)

	<u>2012</u>	<u>2011</u>
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	\$ 153,715,000	\$ 161,145,000
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federal taxable revenue bonds, Series B at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	\$ 151,690,000	\$ 158,720,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	\$ 146,310,000	\$ 154,045,000
Total Bonds Payable - Principle	\$ 1,387,990,000	\$ 1,427,275,000
Less current portion	(50,210,000)	(39,285,000)
Unamortized bond premium	7,766,941	8,200,123
Unamortized bond discount	(1,082,496)	(1,140,436)
	<u>\$ 1,344,464,445</u>	<u>\$ 1,395,049,687</u>

Bond payable requirements subsequent to June 30, 2012 are as follows:

	<u>Principal Maturities</u>	<u>Interest</u>
For the Years Ending June 30,		
2013	\$ 50,210,000	\$ 74,826,251
2014	52,290,000	72,954,021
2015	54,570,000	70,585,946
2016	57,025,000	68,054,367
2017	59,655,000	63,509,188
2018-2022	345,920,000	267,066,553
2023-2027	379,345,000	161,328,847
2028-2032	184,950,000	88,431,574
2031-2037	134,305,000	42,306,537
2038-2040	69,720,000	4,985,390
Total	<u>\$ 1,387,990,000</u>	<u>\$ 914,048,674</u>

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 5: BONDS PAYABLE (CONTINUED)

Bond payable requirements subsequent to June 30, 2011 are as follows:

For the Years Ended June 30,	<u>Principal Maturities</u>	<u>Interest</u>
2012	\$ 39,285,000	\$ 76,531,705
2013	50,210,000	74,826,251
2014	52,290,000	72,954,021
2015	54,570,000	70,585,946
2016	57,025,000	68,054,367
2017-2021	329,355,000	294,024,221
2022-2026	406,165,000	193,807,270
2027-2031	200,315,000	104,835,251
2032-2036	139,350,000	54,806,243
2037-2040	98,710,000	13,104,570
Total	<u>\$ 1,427,275,000</u>	<u>\$ 1,023,529,845</u>

The Authority, with Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations and transfers by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations and transfers to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation and transfers of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

NOTE 6: RELATED PARTY TRANSACTIONS

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) and the Department of Environmental Protection (DEP) to provide administrative and operational support services for the Authority. The Authority owns no capital assets; the employees performing services for the Authority are DCED employees. As such, under the Memorandum of Understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal years ended June 30, 2012 and 2011, the services provided by DCED and DEP to the Authority and recorded as Administrative/Operating expenses totaled \$2,742,647 and \$1,864,263, respectively.

During the fiscal years ended June 30, 2012 and 2011, the Authority received \$115,816,425 and \$109,039,921, respectively, in transfers from the Commonwealth to pay debt services with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.

The Authority also received \$29,353,879 and \$47,904,591 in gaming monies from the Commonwealth to fund approved projects in select areas of the state in the fiscal years ended June 30, 2012 and 2011, respectively.

The Authority transferred part of its bond proceeds to the Commonwealth Department of Environment Protection and the Ben Franklin Technology Development Authority totaling \$9,000,000 and \$38,000,000 for the fiscal years ending June 30, 2012 and 2011, respectively.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2012 AND 2011

NOTE 7: LINE OF CREDIT

In December 2009, the Authority entered into a secured line of credit with the Commonwealth of Pennsylvania Treasury Department, which, under a revolving credit agreement, is limited to borrowings of \$50,000,000. Under the revolving credit agreement, interest accrues on the aggregate unpaid principle amount outstanding on the draws. The interest rate is the greater of the rate of the United States Federal Funds Target Rate plus 75 basis points or the rate set by the British Bankers Association for London Interbank Offered Rate (LIBOR) for a six month term in United States dollars plus 45 basis points. The interest rate is reset as of the 20<sup>th</sup> of each month. The line of credit expired as of December 28, 2011, the Authority did not extend or obtain a new line of credit. As of June 30, 2012 and 2011, no funds were drawn under the revolving credit agreement.

NOTE 8: COMMITMENTS AND CONTINGENCIES

The Authority, through various economic development programs, provided loan guarantees as follows:

	2012	2011
First Industries loan guarantees	\$ 47,625,633	\$ 47,994,133
Tax increment financing gaurantees	38,500,000	48,411,970
Second stage loan gaurantees	1,485,000	3,360,000
Venture capital gaurantees	197,500,000	197,500,000
Total Loan Gaurantees	<u>\$ 285,110,633</u>	<u>\$ 297,266,103</u>

The Authority has been called upon, from time to time with respect to loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, expenses totaling \$1,191,529 and \$482,335, have been reported in the Authority's financial statements for loan guarantees as of June 30, 2012 and 2011, respectively.

Through various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, and grants of \$53,855,635 and \$334,044,359, respectively, which have not been disbursed as of June 30, 2012.

# Zelenkofske Axelrod LLC

## REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited the financial statements of the business-type activities of the COMMONWEALTH FINANCING AUTHORITY ("the AUTHORITY"), a component unit of the Commonwealth of Pennsylvania, as of and for the year ended June 30, 2012, which collectively comprise the AUTHORITY's basic financial statements and have issued our report thereon dated September 13, 2012. We conducted our audit in accordance with auditing standards generally accepted in the United State of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

Management of the AUTHORITY is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the AUTHORITY's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the AUTHORITY's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the AUTHORITY's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of the internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the AUTHORITY's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the Board of Directors, management, others within the entity, federal awarding agencies and the Commonwealth of Pennsylvania, and is not intended to be and should not be used by anyone other than these specified parties.

*Zelenkofske Axelrod LLC*

ZELENKOFKSKE AXELROD LLC

Harrisburg, Pennsylvania  
September 13, 2012

<u>Harrisburg</u>	<u>Lehigh Valley</u>	<u>Philadelphia</u>	<u>Pittsburgh</u>
830 Sir Thomas Court, Suite 100 Harrisburg, PA 17109 717.561.9200 Fax 717.561.9202	1101 West Hamilton Street Allentown, PA 18101-1043 610.871.5077 Fax 717.561.9202	2370 York Road, Suite A-5 Jamison, PA 18929 215.918.2277 Fax 215.918.2302	3800 McKnight E. Drive, Suite 3805 Pittsburgh, PA 15237 412.367.7102 Fax 412.367.7103

**COMMONWEALTH FINANCING AUTHORITY**  
**(Component Unit of the**  
**Commonwealth of Pennsylvania)**  
**Harrisburg, Pennsylvania**

**FINANCIAL STATEMENTS**

**YEARS ENDED JUNE 30, 2013 AND 2012**

COMMONWEALTH FINANCING AUTHORITY  
 (COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
 YEARS ENDED JUNE 30, 2013 AND 2012

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# Zelenkofske Axelrod LLC

## INDEPENDENT AUDITORS' REPORT

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

### **Report on the Financial Statements**

We have audited the accompanying financial statements of the business-type activities of the COMMONWEALTH FINANCING AUTHORITY ("the AUTHORITY"), a component unit of the Commonwealth of Pennsylvania, as of and for the years ended June 30, 2013 and 2012, and the related notes to the financial statements, which collectively comprise the Authority's basic financial statements as listed in the table of contents.

### **Management's Responsibility for the Financial Statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### **Auditor's Responsibility**

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### **Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities of the Authority as of June 30, 2013 and 2012, and the changes in financial position and cash flows thereof for the years then ended in accordance with accounting principles generally accepted in the United States of America.

### **Adoption of Governmental Accounting Standards Board Statements**

As discussed in Note 1 to the financial statements, during the fiscal year ending June 30, 2013, the Authority adopted the provisions of Governmental Accounting Standards Board's Statement No. 60, "*Accounting and Financial Reporting for Service Concession Arrangements*", Statement No. 61, "*The Financial Reporting Entity: Omnibus-an amendment of GASB Statement No. 14 and 34*", Statement No. 62, "*Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*", and Statement No. 63, "*Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*". Our opinion is not modified with respect to this matter.

<b>Harrisburg</b>	<b>Lehigh Valley</b>	<b>Philadelphia</b>	<b>Pittsburgh</b>
830 Sir Thomas Court, Suite 100 Harrisburg, PA 17109 717.561.9200 Fax 717.561.9202	1101 West Hamilton Street Allentown, PA 18101-1043 610.871.5077 Fax 717.561.9202	2370 York Road, Suite A-5 Jamison, PA 18929 215.918.2277 Fax 215.918.2302	3800 McKnight E. Drive, Suite 3805 Pittsburgh, PA 15237 412.367.7102 Fax 412.367.7103

## Zelenkofske Axelrod LLC

### **Other Matters**

#### *Required Supplementary Information*

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 3 through 5 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

#### **Other Reporting Required by Government Auditing Standards**

In accordance with *Government Auditing Standards*, we have also issued our report dated October 2, 2013, on our consideration of the Authority's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Authority's internal control over financial reporting and compliance.



ZELENKOFSCHE AXELROD LLC

Harrisburg, Pennsylvania  
October 2, 2013

**Commonwealth Financing Authority**  
**(Component Unit of the Commonwealth of Pennsylvania)**  
**MANAGEMENT'S DISCUSSION AND ANALYSIS**  
**Financial Statements for the Year Ended June 30, 2013**

Page 3

The Commonwealth Financing Authority, hereafter referred to as the "Authority," is pleased to present its financial statements developed in compliance with Statement of Governmental Accounting Standard No. 34, entitled "Basic Financial Statements – Management's Discussion and Analysis – for State and Local Governments" (hereafter GASB 34), and related standards. GASB 34 enhances information provided to the users of its financial statements. This section of the financial reporting package presents our discussion and analysis of the Authority's financial performance during the years ended June 30, 2013 and 2012. Please read it in conjunction with the Authority's financial statements that follow this section.

**OPERATIONAL HIGHLIGHTS**

Over the past fiscal year, the Authority adopted guidelines for six new grant programs created through Act 13 of 2012. Over 300 applications were received requesting more than \$60 million for flood mitigation, orphaned and abandoned well plugging, greenways trails and recreation, watershed restoration and protection, abandoned mine drainage abatement and treatment, and baseline water quality projects.

The Authority also solicited applications for the PennWorks Program. The Authority received 104 applications requesting over \$262 million for water and sewer projects that directly support job creation and private investment in the Commonwealth.

**OVERVIEW OF THE FINANCIAL STATEMENTS**

Management's Discussion and Analysis (MD&A) serves as an introduction to, and should be read in conjunction with, the basic audited financial statements. The MD&A represents management's examination and analysis of the Authority's financial condition and performance. Summary financial statement data and other management tools were used for this analysis.

The financial statements report information about the Authority using the accrual method of accounting, as utilized by similar business activities in the private sector. The financial statements include a Statement of Net Position; a Statement of Revenues, Expenses, and Changes in Net Position; a Statement of Cash Flows; and Notes to the Financial Statements.

The Statement of Net Position presents the financial position of the Authority on an accrual cost basis. The Statement of Net Position also presents information on all of the Authority's assets and liabilities, with the difference reported as net position. Over time, increases and decreases in net position are one indicator of whether the financial position of the Authority is improving or deteriorating.

While the Statement of Net Position provides information about the nature and amount of resources and obligations at year-end, the Statement of Revenues, Expenses, and Changes in Net Position presents the results of the business-type activities over the course of the fiscal year and information as to how the net position changed during the year. All changes in net position are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of the related cash flows. This statement also provides certain information about the Authority's recovery of its costs.

The Statement of Cash Flows presents changes in cash and cash equivalents, resulting from operational, financing, and investing activities. This statement presents cash receipt and cash disbursement information without consideration of the earnings event when an obligation arises or depreciation of capital assets.

The Notes to the Financial Statements provide required disclosures and other information that are essential to a full understanding of material data provided in the statements. The notes present information about the Authority's accounting policies, significant account balances and activities, long-term debt and subsequent events, if any.



Commonwealth Financing Authority  
(Component Unit of the Commonwealth of Pennsylvania)  
MANAGEMENT'S DISCUSSION AND ANALYSIS (CONTINUED)  
Financial Statements for the Year Ended June 30, 2013

Page 4

**FINANCIAL ANALYSIS****Condensed Statements of Net Position**

	<u>2013</u>	<u>2012</u>	<u>2011</u>
<b>Assets:</b>			
Current assets	\$ 660,409,830	\$ 450,693,586	\$ 678,584,533
Long-term assets	305,606,245	307,401,520	307,484,704
Total assets	<u>966,016,075</u>	<u>758,095,106</u>	<u>986,069,237</u>
<b>Liabilities:</b>			
Current liabilities	68,452,494	57,017,378	46,714,982
Long-term liabilities	1,658,056,920	1,344,464,445	1,395,049,687
Total liabilities	<u>1,726,509,414</u>	<u>1,401,481,823</u>	<u>1,441,764,669</u>
<b>Total net position – unrestricted</b>	<u>\$ (760,493,339)</u>	<u>\$ (643,386,717)</u>	<u>\$ (455,695,432)</u>

The Authority issued new bonds in 2013, totaling \$330 million. The bond issuance was the primary cause for the increase in total liabilities of \$325 million in 2013, net of the principal payments made during the year on the Authority's long-term debt liabilities. The issuance of the 2013 bonds is also the primary reason for the increase of \$208 million in total assets, net of grant disbursements, and transfers to the Commonwealth, and other Commonwealth component units. Due to the nature of economic development grants and loans, some of which require drawdowns, funding not immediately disbursed upon Board approval is held as cash, cash equivalents, or authorized investments.

In 2012, total liabilities decreased by \$40 million as a result of no new debt issuances and principal payments made on existing debt. The decrease in total assets of \$228 million in 2012 can be attributed to transfers of \$9 million to other Commonwealth agencies, as well as disbursements of \$249 in the form of grants during 2012.

The significant decrease in the total net position in 2013 is attributable to the \$168 million in Authority assets disbursed in the form of grants, \$20 million in assets transferred to the Commonwealth, and other Commonwealth component units, and interest expense of \$81 million on the Authority's outstanding bonds; offset by transfers of \$27 million of gaming monies from the Commonwealth to fund approved projects, and transfers of \$120 million from the Commonwealth for debt service payments related to the Authority's outstanding bonds. The transfer of bond proceeds to these Governmental entities was prescribed by legislation. As an authority under which economic stimulus programs are established, grants and transfers to other governmental entities are essential to achieve its mission.

Since inception, the Authority has issued ten revenue bonds totaling \$1.872 billion. The Authority has a service agreement with the Commonwealth of Pennsylvania for the payment of the annual debt service through an annual appropriation by the Commonwealth, and transfers from the Gaming Economic Development Tourism Fund. However, there is no assurance that there will be sufficient funds appropriated annually by the Commonwealth.

**Condensed Statements of Revenues, Expenses, and Changes in Net Position**

	<u>2013</u>	<u>2012</u>	<u>2011</u>
Operating income	\$ 10,386,165	\$ 10,590,538	\$ 8,449,239
Operating expenses	(174,089,439)	(252,807,470)	(219,374,693)
Provision for loan losses	98,046	(4,988,366)	(423,549)
Net Nonoperating revenues	<u>46,498,606</u>	<u>59,514,013</u>	<u>42,700,997</u>
<b>Decrease in net position</b>	<u>\$ (117,106,622)</u>	<u>\$ (187,691,285)</u>	<u>\$ (168,648,006)</u>

In 2013, operating expenses decreased by \$79 million due to a decrease of \$81 million in grant disbursements and offset slightly by \$2 million increase in loan guarantee expense. The decrease in net nonoperating revenues can be attributed to additional interest expense of \$4 million related to the 2013 bond issuances, as well as an increase of \$9 million in net transfers to the Commonwealth and related component units.

Commonwealth Financing Authority  
(Component Unit of the Commonwealth of Pennsylvania)  
MANAGEMENT'S DISCUSSION AND ANALYSIS (CONTINUED)  
Financial Statements for the Year Ended June 30, 2013

Page 5

In 2012, operating income increased by \$2 million as compared to 2011. The increase is attributed to increased interest on loans and venture capital investments.

**CONTACTING THE AUTHORITY'S FINANCIAL MANAGEMENT**

This financial report is designed to provide our citizens, investors and creditors with a general overview of the Authority's finances and to demonstrate the Authority's accountability for the money it receives. If you have questions about this report or need additional information, contact the Commonwealth Financing Authority, 400 North Street, Fourth Floor, Harrisburg, PA 17120.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF NET POSITION  
JUNE 30, 2013 AND 2012

	<u>2013</u>	<u>2012</u>
<b>ASSETS</b>		
Current Assets:		
Cash and cash equivalents	\$ 629,209,439	\$ 420,093,530
Receivables:		
Loans (net)	17,041,572	18,152,055
Accrued interest	1,815,165	1,483,188
Unamortized bond issuance costs, net	<u>12,343,654</u>	<u>10,964,813</u>
Total Current Assets	<u>660,409,830</u>	<u>450,693,586</u>
Non-current assets:		
Long-term portion of loans receivable (net)	<u>305,606,245</u>	<u>307,401,520</u>
Total Non-current Assets	<u>305,606,245</u>	<u>307,401,520</u>
Total Assets	<u>966,016,075</u>	<u>758,095,106</u>
<b>LIABILITIES</b>		
Current Liabilities:		
Accrued interest payable	12,167,546	6,235,521
Accounts payable and accrued expenses	-	16,000
Due to primary governments - DCED	414,948	555,857
Current portion of long-term debt	<u>55,870,000</u>	<u>50,210,000</u>
Total Current Liabilities	<u>68,452,494</u>	<u>57,017,378</u>
Non-current Liabilities:		
Long-term debt, net of current portion and unamortized bond premium and discount	<u>1,658,056,920</u>	<u>1,344,464,445</u>
Total Noncurrent Liabilities	<u>1,658,056,920</u>	<u>1,344,464,445</u>
Total Liabilities	<u>1,726,509,414</u>	<u>1,401,481,823</u>
TOTAL NET POSITION - UNRESTRICTED	<u>\$ (760,493,339)</u>	<u>\$ (643,386,717)</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF THE COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION  
YEARS ENDED JUNE 30, 2013 AND 2012

	<u>2013</u>	<u>2012</u>
Operating Income		
Interest on loans	\$ 7,531,547	\$ 6,870,547
Interest on investments	1,127,996	1,462,859
Fee income	145,309	417,953
Interest from venture capital loan	1,553,580	1,839,179
Other Income	<u>27,733</u>	<u>-</u>
Operating Revenues before Provision for Loan Losses	<u>10,386,165</u>	<u>10,590,538</u>
Provision for loan losses	<u>(98,046)</u>	<u>4,988,366</u>
Net Operating Revenues	<u>10,484,211</u>	<u>5,602,172</u>
Operating Expenses		
Administrative/operating expense	2,915,586	2,902,175
Grant expense	167,900,238	248,546,667
Loan guarantee expense	2,734,748	1,191,529
Other	<u>538,867</u>	<u>167,099</u>
Total Operating Expenses	<u>174,089,439</u>	<u>252,807,470</u>
Operating Loss	<u>(163,605,228)</u>	<u>(247,205,298)</u>
Nonoperating Income (Expenses)		
Transfers in from primary government	147,021,780	145,170,304
Interest on bonds	(80,758,277)	(76,389,516)
Amortization of bond premium/discount	913,803	375,242
Amortization of bond issuance costs	(678,700)	(642,017)
Transfer to other Commonwealth component units	(6,000,000)	(8,000,000)
Transfers to primary government	<u>(14,000,000)</u>	<u>(1,000,000)</u>
Total Nonoperating Revenues	<u>46,498,606</u>	<u>59,514,013</u>
Decrease in net position	(117,106,622)	(187,691,285)
Net Position - Beginning of Year	<u>(643,386,717)</u>	<u>(455,695,432)</u>
Net Position - End of Year	<u>\$ (760,493,339)</u>	<u>\$ (643,386,717)</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
STATEMENTS OF CASH FLOWS  
YEARS ENDED JUNE 30, 2013 AND 2012

	<u>2013</u>	<u>2012</u>
Cash Flows from Operating Activities:		
Loan and fee receipts from customers	\$ 39,826,679	\$ 38,531,154
Loan disbursements made to customers	(28,463,283)	(37,965,703)
Interest on investments	1,127,996	1,462,859
Cash paid for operating expenses	(3,072,495)	(2,994,578)
Cash paid for grant expenses	(167,900,238)	(248,546,667)
Cash paid for loan guarantees	(2,734,748)	(1,191,529)
Other cash receipts	27,733	-
	<u>(161,188,356)</u>	<u>(250,704,464)</u>
Net Cash Used In Operating Activities		
Cash Flows from Noncapital Financing Activities:		
Proceeds from bonds payable	330,000,000	-
Transfer to primary government and other Commonwealth component units	(20,000,000)	(9,000,000)
Transfer from primary government	147,021,780	146,400,386
Bond Premium	40,376,278	-
Bond Issue Costs	(2,057,541)	-
Principal payments on bonds payable	(50,210,000)	(39,285,000)
Interest on bonds payable	(74,826,252)	(76,531,637)
	<u>370,304,265</u>	<u>21,583,749</u>
Net Cash Provided By Noncapital Financing Activities		
Increase (Decrease) In Cash And Cash Equivalents	<u>209,115,909</u>	<u>(229,120,715)</u>
Cash and Cash Equivalents, Beginning of Year	<u>420,093,530</u>	<u>649,214,245</u>
Cash and Cash Equivalents, End of Year	<u>\$ 629,209,439</u>	<u>\$ 420,093,530</u>
Reconciliation of Operating Income to Net Cash Used In Operating Activities:		
Operating Loss	\$ (163,605,228)	\$ (247,205,298)
Adjustments to reconcile operating income to net cash used in operating activities:		
Effect of changes in operating assets and liabilities:		
Loan disbursements	(27,924,416)	(37,410,524)
Loan repayments	30,810,079	29,319,589
Loan escrow deposits	-	(388,080)
Accrued interest receivable	(331,977)	(287,537)
Loan origination costs	118,141	353,135
Allowance for loan losses	(98,046)	4,988,366
Penalties/late fees	-	18,288
Accounts payable, accrued expenses, and due to primary government	(156,909)	(92,403)
Net Cash Used In Operating Activities	<u>\$ (161,188,356)</u>	<u>\$ (250,704,464)</u>
Supplemental Disclosure of Cash Flow Information		
Noncash Noncapital Financing Activities:		
Amortization of bond premium/discount (net)	\$ (913,803)	\$ (375,242)
Amortization of bond issuance costs	678,700	642,017
Total Noncash Noncapital Financing Activities	<u>\$ (235,103)</u>	<u>\$ 266,775</u>

See accompanying notes to the financial statements

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS  
YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Organization

The Commonwealth Financing Authority ("the Authority") is a body corporate and politic duly organized by the Commonwealth of Pennsylvania ("the Commonwealth") incorporated under the Public Authorities and Quasi-Public Corporations Act of 2004 (Act), being the Act of April 1, 2004, P.L. 163, as amended by the Commonwealth of Pennsylvania. The Authority, by virtue of the Act and its articles of incorporation, has all powers as set forth in the Act including those for creation and retention of jobs. The purpose of the Authority is to engage in financial assistance in the form of loans, loan guarantees, grants and private equity participating loans to promote activities which lead to the use of alternative and clean energy, the creation and retention of jobs within the Commonwealth of Pennsylvania, the establishment of economically viable Pennsylvania communities, the development of a stable tax base within Pennsylvania communities, the reuse of abandoned industrial, commercial and other previously utilized sites, the promotion and commercialization of Pennsylvania products and services and investment of private capital in Pennsylvania communities to promote the health, safety, employment, business opportunities, economic activity and general welfare of the people of the Commonwealth.

The Commonwealth appoints the members of the Authority's governing board. The Commonwealth maintains the accounts and records of the Authority. In addition the Commonwealth employs and supervises personnel to provide administrative services. Therefore, the Authority is considered a component unit of the Commonwealth of Pennsylvania.

The legislation creating the Authority as well as program specific guidelines establishes certain activities to be carried out by the Authority as follows:

- Business in Our Sites Program: provides financial assistance for preparation of sites for future development.
- First Industries Program: provides financial assistance for projects related to tourism and agriculture.
- Second Stage Loan Program: provides loan guarantees to commercial lending institutions that make loans to life sciences, advanced technology or manufacturing businesses.
- New Pennsylvania Venture Guarantee Program: provides guarantees to venture capital partnerships for investments in Pennsylvania-related companies which are in early-stage or mid-stage development.
- Building Pennsylvania Program: provides loans to fund managers for investment in real estate projects in Pennsylvania.
- Tax Increment Financing "TIF" Guarantee Program: provides guarantees for TIF bonds or other indebtedness in accordance with the TIF Act of 1990.
- New Pennsylvania Venture Capital Investments Program: provides loans to Venture Capital partnerships for investment in Pennsylvania companies.
- Penn Works Program: provides grants and loans for water supply and wastewater infrastructure within Pennsylvania.
- H<sub>2</sub>O PA Program (Water and Sewer): provides for single-year or multi-year grants to municipalities or municipal authorities to assist with the construction of flood control projects, drinking water, sanitary sewer and storm sewer projects, and the repair of high hazard unsafe dams.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

A. Organization (Continued)

- Solar Energy Program: provides financial assistance in the form of grant and loan funds to promote the generation and use of solar energy and the manufacture or assembly of solar equipment.
- Renewable Energy Program: provides financial assistance in the form of grant and loan funds to promote the use of wind and geothermal energy.
- Alternative and Clean Energy Program: provides grant and loan funds to encourage the implementation of alternative energy production projects and clean energy projects.
- High Performance Buildings: provides grants and loans for the construction of energy efficient buildings.
- Local Share Account: provides grants to support and enhance community and economic well-being and mitigate the impact of gaming and related activities.
- Act 13 Program: provides grants for flood mitigation, orphaned and abandoned well plugging, greenways trails and recreation, watershed restoration and protection, abandoned mine drainage abatement and treatment, and baseline water quality projects.

B. Measurement Focus and Basis of Accounting

The Authority follows Generally Accepted Accounting Principles (GAAP). GAAP allows specialized accounting for government entities, which is governed by pronouncements set by the Governmental Accounting Standards Board (GASB). Pronouncements set by the GASB may differ from pronouncements set by the Financial Accounting Standards Board (FASB).

The Authority is considered a special-purpose government since it is engaged solely in business-type activities under GASB Statement No. 34. The Authority's financial statements are prepared using the economic resources measurement focus and accrual basis of accounting. Under the accrual basis of accounting revenues are recorded when earned and expenses are recorded when they have been incurred. The statements are intended to report the Authority as an economic unit that includes all measurable assets and liabilities, financial and capital, of the Authority.

All activities of the Authority are accounted for within a single proprietary (enterprise) fund. A proprietary fund is used to account for operations that are (a) financed and operated in a manner similar to private business enterprises where the intent of the governing body is that the costs (expenses, including depreciation) of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination or revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes.

The Authority follows the Governmental Accounting Standards Board (GASB) Statement No. 34, *Basic Financial Statements and Management's Discussion and Analysis*. Within the Statements of Revenues, Expenses and Changes in Net Position, Statement No. 34 requires operating income and expenses to be separated from non-operating income in order to report net operating income or loss. Operating income and expenses are defined as those activities directly related to the Authority's primary business of providing employment through economic development lending. Non-operating revenues and expenses consist of those revenues and expenses that are related to financing and investing types of activities and result from non-exchange transactions, such as investment income/loss.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

C. Cash and Cash Equivalents

Cash and cash equivalents, for the purposes of the Statement of Cash Flows, include cash on hand or on deposit in highly liquid financial debt instruments with a maturity of three months or less at the date of purchase.

D. Allowance for Loan Losses

The allowance for loan losses is a reserve account for possible future loan losses. Provision for loan losses is credited to the allowance account. Loan losses which are charged-off and recoveries of previously charged-off loans are charged or credited directly to the allowance account. The provision for loan losses is adjusted monthly at the rate of 2% of outstanding loan balances at the respective month-end.

E. Interest Income

Interest income on cash equivalents and loans are recorded when earned.

Uncollectible interest on loans that are contractually past due is charged off, or an allowance established based on management's periodic evaluations. The allowance is established by a charge-to-interest income equal to all previously accrued, and income is subsequently recognized only to the extent that cash payments are received until, in management's judgment, the borrower's ability to make periodic interest and principal payments is back to normal.

In addition to fixed interest arrangements, some loans contain provisions which provide lump sum interest payments based upon certain conditions being met. The additional income is recognized when earned.

F. Loan Origination Fees and Costs

The Authority recognizes loan origination fees and costs in accordance with GASB Statement No. 62 "*Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*".

For the years ended June 30, 2013 and 2012, (\$160,706) and (\$42,565), respectively, of net deferred fees are included in loans receivable.

G. Bond Issuance Costs

Bond issuance costs consist of legal, underwriting and other fees charged in connection with the issuance of bond debt. The costs are amortized over the lives of the bonds, which range from 20 to 30 years. The bonds mature through 2042. Amortization was \$678,700 and \$642,017 for the years ended June 30, 2013 and 2012, respectively.

H. Utilization of Resources

When both restricted and unrestricted resources are available for use, it is the Authority's policy to use restricted resources first, then unrestricted resources as needed.



COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

I. Bond Premium and Discount

The difference between the cash received from bondholders at issuance and the principal amount due to bondholders at maturity is recognized as bond premium or discount. Bond premium or discount is amortized using the straight-line method over the lives of the bonds issued, which approximates the interest method.

J. Use of Estimates

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Accordingly, actual results could differ from those estimates.

K. Reclassifications

For comparative purposes, certain prior year financial statement amounts have been reclassified to conform to the current year presentation.

L. Adoption of Governmental Accounting Standards Board Statements

The Authority adopted the requirements of GASB Statement No. 60, "*Accounting and Financial Reporting for Service Concession Arrangements*". The adoption of this statement had no effect on previously reported amounts.

The Authority adopted the requirements of GASB Statement No. 61 "*The Financial Reporting Entity Omnibus-an amendment of GASB Statements No. 14 and No. 34*". The adoption of this statement had no effect on previously reported amounts.

The Authority adopted the requirements of GASB Statement No. 62, "*Codification of Accounting and Financial Reporting Guidance Contained in Pre-November 30, 1989 FASB and AICPA Pronouncements*". The adoption of this statement had no effect on previously reported amounts.

The Authority adopted the requirements of GASB Statement No. 63, "*Financial Reporting of Deferred Outflows of Resources, Deferred Inflows of Resources, and Net Position*". The adoption of this statement resulted in replacing the term "net assets" with the term "net position".

M. Pending Changes in Accounting Principles

In March 2012, the GASB issued a Statement No. 65, "*Items Previously Reported as Assets and Liabilities*". The Authority is required to adopt statement No. 65 for its fiscal year 2014 financial statements.

In March 2012, the GASB issued a Statement No. 66, "*Technical Corrections – 2012 – An Amendment of GASB Statements No. 10 and No. 62*". The Authority is required to adopt statement No. 66 for its fiscal year 2014 financial statements.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

M. Pending Changes in Accounting Principles (Continued)

In June 2012, the GASB issued a Statement No. 67, "*Financial Reporting for Pension Plans – an amendment of GASB Statement No. 25*". The Authority is required to adopt statement No. 67 for its fiscal year 2014 financial statements.

In June 2012, the GASB issued a Statement No. 68, "*Accounting and Financial Reporting – an amendment of GASB Statement No. 27*". The Authority is required to adopt statement No. 68 for its fiscal year 2015 financial statements.

In January 2013, the GASB issued a Statement No. 69, "*Government Combinations and Disposals of Government Operations*". The Authority is required to adopt statement No. 69 for its fiscal year 2015 financial statements.

In April 2013, the GASB issued a Statement No. 70, "*Accounting and Financial Reporting for Nonexchange Financial Guarantees*". The Authority is required to adopt statement No. 70 for its fiscal year 2014 financial statements.

The Authority has not yet completed the various analyses required to estimate the financial statement impact of these new pronouncements.

NOTE 2: FINANCIAL SUPPORT

The Authority reported a deficit net position of \$760,493,339 and \$643,386,717 as of June 30, 2013 and 2012, respectively. The Authority's business purpose will result in continued losses from operation due to the disbursement of grant awards to help promote economic growth in the Commonwealth. In addition, the Authority transferred part of its bond proceeds to the Commonwealth Department of Environmental Protection and the Ben Franklin Technology Development Authority in the current year and in prior years to the Commonwealth for the Machinery and Equipment Loan Fund (MELF) program, which contributed to the deficit in net position.

Through a service agreement with the Authority, the Commonwealth has pledged to seek annual appropriations to pay the Authority's annual debt service obligations. Therefore, factors listed above do not raise doubt as to the Authority's ability to meet obligations when due.

NOTE 3: CASH AND CASH EQUIVALENTS

Custodial Credit Risk

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits or investments may not be returned to it. The Authority does not have a deposit or investment policy for custodial credit risk. As of June 30, 2013 and 2012, due to the nature of the cash and cash equivalents balances, there is no custodial credit risk.

Additionally, due to the short-term maturity of the cash equivalents, there is limited interest rate risk.

NOTE 4: LOANS RECEIVABLE

The Authority provides loans, in accordance with its enabling legislation and statutory requirements to spur economic development activity within the Commonwealth of Pennsylvania. The loans have amortization periods not to exceed 20 years and bear interest at rates ranging from 1% to 8% depending on the nature of the loan and the Authority program from which the loan was funded.

The Authority, through the New Venture Capital Investment Program, provides loans to venture capital partnerships for investments in Pennsylvania-related companies.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

## NOTE 4: LOANS RECEIVABLE (CONTINUED)

At June 30, 2013 and 2012, the outstanding balance of loans receivable were as follows:

	<b>2013</b>		
	<b>Current Portion</b>	<b>Long-term Portion</b>	<b>Total</b>
Loan receivable	\$ 17,407,845	\$ 316,875,745	\$ 334,283,590
Deferred loan origination fees - net	(18,116)	(142,590)	(160,706)
Allowance for loan losses	(348,157)	(11,126,910)	(11,475,067)
Balance, end of year	<u>\$ 17,041,572</u>	<u>\$ 305,606,245</u>	<u>\$ 322,647,817</u>

	<b>2012</b>		
	<b>Current Portion</b>	<b>Long-term Portion</b>	<b>Total</b>
Loan receivable	\$ 18,524,920	\$ 318,644,333	\$ 337,169,253
Deferred loan origination fees - net	(2,367)	(40,198)	(42,565)
Allowance for loan losses	(370,498)	(11,202,615)	(11,573,113)
Balance, end of year	<u>\$ 18,152,055</u>	<u>\$ 307,401,520</u>	<u>\$ 325,553,575</u>

An analysis of the allowance for loan losses for the years ended June 30, 2013 and 2012 is as follows:

	<b>2013</b>	<b>2012</b>
Balance, beginning of year	\$ 11,573,113	\$ 6,584,747
Provision for loan losses	(98,046)	4,988,366
Balance, end of year	<u>\$ 11,475,067</u>	<u>\$ 11,573,113</u>

## NOTE 5: BONDS PAYABLE

Changes in long-term liabilities for the year ended June 30, 2013:

	<b>Beginning Balance</b>	<b>Additions</b>	<b>Deductions</b>	<b>Ending Balance</b>	<b>Due Within One Year</b>
Economic revenue bonds	\$ 1,387,990,000	\$ 330,000,000	\$ (50,210,000)	\$ 1,667,780,000	\$ 55,870,000
Bond premium	7,766,941	40,376,278	(971,741)	47,171,478	-
Bond discount	(1,082,496)	-	57,938	(1,024,558)	-
Total	<u>\$ 1,394,674,445</u>	<u>\$ 370,376,278</u>	<u>\$ (51,123,803)</u>	<u>\$ 1,713,926,920</u>	<u>\$ 55,870,000</u>

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

## NOTE 5: BONDS PAYABLE (CONTINUED)

Changes in long-term liabilities for the year ended June 30, 2012:

	Beginning Balance	Additions	Deductions	Ending Balance	Due Within One Year
Economic revenue bonds	\$ 1,427,275,000	-	\$ (39,285,000)	\$ 1,387,990,000	\$ 50,210,000
Bond premium	8,200,123	-	(433,182)	7,766,941	-
Bond discount	(1,140,436)	-	57,940	(1,082,496)	-
Total	<u>\$ 1,434,334,687</u>	<u>\$ -</u>	<u>\$ (39,660,242)</u>	<u>\$ 1,394,674,445</u>	<u>\$ 50,210,000</u>

	2013	2012
Series 2013 Revenue Bonds, issued \$75,000,000 fixed rate, taxable revenue bonds, Series A-1 and \$48,000,000, fixed rate, tax-exempt revenue bonds, Series A-2 at 0.545% - 5.0%, interest payable semi-annually and principle payable annually through June 1, 2033	\$ 123,000,000	-
Series 2013 Revenue Bonds, issued \$207,000,000 fixed rate, tax-exempt revenue bonds, Series B at 2% - 5%, interest payable semi-annually and principle payable annually through June 1, 2042	207,000,000	-
Series 2010 Revenue Bonds, issued \$53,080,000 fixed rate, tax-exempt revenue bonds, Series C-1 and \$96,920,000, fixed rate, federal taxable revenue bonds, Series C-2 at 2% - 3.4%, interest payable semi-annually and principle payable annually through June 1, 2040.	\$ 142,200,000	\$ 145,145,000
Series 2010 Revenue Bonds, issued \$62,000,000 fixed rate, federal taxable revenue bonds, Series A and \$80,000,000 fixed rate, tax-exempt revenue bonds, Series B at .93% - 5.5%, interest payable semi-annually and principal payable annually through May 1, 2039.	\$ 129,940,000	\$ 134,260,000
Series 2009 Revenue Bonds, issued \$400,000,000 fixed rate, federally taxable revenue bonds, Series D at 3.4% - 5.1%, interest payable semi-annually and principal payable annually through May 1, 2039.	\$ 390,780,000	\$ 400,000,000
Series 2009 Revenue Bonds, issued \$50,000,000 fixed rate, federal taxable revenue bonds, Series A and \$50,000,000 fixed rate, tax-exempt revenue bonds, Series B at 3.0% - 6.4%, interest payable semi-annually and principal payable annually through June 1, 2031.	\$ 91,345,000	\$ 94,330,000

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

## NOTE 5: BONDS PAYABLE (CONTINUED)

	<u>2013</u>	<u>2012</u>
Series 2008 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series A at 3.1% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2027.	\$ 155,160,000	\$ 162,540,000
Series 2006 Revenue Bonds, issued \$187,500,000 fixed rate, federally taxable revenue bonds, Series C at 4.9% - 5.2%, interest payable semi-annually and principal payable annually through June 1, 2026.	\$ 145,915,000	\$ 153,715,000
Series 2006 Revenue Bonds, issued \$45,000,000 fixed rate, tax exempt revenue bonds, Series A and \$142,500,000 fixed rate, federal taxable revenue bonds, Series B at 4.5% - 5.6%, interest only payable semi-annually through June 1, 2026 and principal payable annually through June 1, 2026.	\$ 144,265,000	\$ 151,690,000
Series 2005 Revenue Bonds, issued \$62,500,000 fixed rate, tax exempt revenue bonds, Series A and \$125,000,000 fixed rate, federally taxable revenue bonds, Series B at 4.5% - 5.3%, interest payable semi-annually and principal payable annually through June 1, 2025.	\$ 138,175,000	\$ 146,310,000
Total Bonds Payable - Principle	\$ 1,667,780,000	\$ 1,387,990,000
Less current portion	(55,870,000)	(50,210,000)
Unamortized bond premium	47,171,478	7,766,941
Unamortized bond discount	(1,024,558)	(1,082,496)
	<u>\$ 1,658,056,920</u>	<u>\$ 1,344,464,445</u>

Bond payable requirements subsequent to June 30, 2013 are as follows:

	<u>Principal Maturities</u>	<u>Interest</u>
For the Years Ending June 30,		
2014	\$ 55,870,000	\$ 92,016,458
2015	63,250,000	84,505,129
2016	65,890,000	81,737,217
2017	68,735,000	78,730,529
2018	71,850,000	75,451,419
2019-2023	415,140,000	318,228,516
2024-2028	396,820,000	203,503,214
2029-2033	252,990,000	119,607,249
2034-2038	188,745,000	58,038,540
2039-2042	88,490,000	9,131,496
Total	<u>\$ 1,667,780,000</u>	<u>\$ 1,120,949,767</u>

COMMONWEALTH FINANCING AUTHORITY  
 (COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
 NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
 YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 5: BONDS PAYABLE (CONTINUED)

Bond payable requirements subsequent to June 30, 2012 are as follows:

For the Years Ended June 30,	<u>Principal Maturities</u>	<u>Interest</u>
2013	\$ 50,210,000	\$ 74,826,251
2014	52,290,000	72,954,021
2015	54,570,000	70,585,946
2016	57,025,000	68,054,367
2017	59,655,000	63,509,188
2018-2022	345,920,000	267,066,553
2023-2027	379,345,000	161,328,847
2028-2032	184,950,000	88,431,574
2033-2037	134,305,000	42,306,537
2038-2040	69,720,000	4,985,390
Total	<u>\$ 1,387,990,000</u>	<u>\$ 914,048,674</u>

The 2013A Bonds were issued to provide additional funding for the Alternative Energy Development Program established under the Alternative Energy Investment Act, and other Project Costs for program-related administration, and to pay the costs of issuing the 2013A Bonds. The bonds were issued at a premium of \$7,900,243 and had issuance costs of \$807,407. Specific terms of the Bonds can be found in the previous tables.

The 2013B Bonds were issued to provide additional funds for grants to be used to fund water and sewer projects, storm water projects, flood control projects and high hazard unsafe dam projects (the "H2O Grant Program") pursuant to the H2O PA Act, and other Project Costs for program-related administration, and to pay the costs of issuing the 2013B Bonds. The bonds were issued at a premium of \$32,476,035 and had issuance costs of \$1,250,134. Specific terms of the Bonds can be found in the previous tables.

The Authority, with Commonwealth approval, issued the above noted revenue bonds to fund the activities of the Authority. Repayments with respect to the revenue bonds are derived solely from project revenues which are defined as annual appropriations and transfers by the Commonwealth per the Official Statement. The Revenue Bonds described above are limited obligations of the Authority and are considered non-recourse, as the Authority is not obligated to bondholders beyond amounts received by the Authority from annual appropriations and transfers to the Authority by the Commonwealth. The Commonwealth has not pledged its full faith and credit nor the taxing power of the Commonwealth or any political subdivision for the payment of the Authority's Revenue Bonds and the payments by the Commonwealth to the Authority are subject to annual appropriation and transfers of funds for such purposes by the General Assembly and there is no assurance that such funds will be appropriated in any fiscal year. Repayments of loans do not constitute project revenues.

NOTE 6: RELATED PARTY TRANSACTIONS

The Authority entered into an agreement with the Commonwealth of Pennsylvania, through the Department of Community and Economic Development (DCED) and the Department of Environmental Protection (DEP) to provide administrative and operational support services for the Authority. The Authority owns no capital assets; the employees performing services for the Authority are DCED employees. As such, under the Memorandum of Understanding, the Authority reimburses DCED for services rendered by DCED employees to the Authority. During the fiscal years ended June 30, 2013 and 2012, the services provided by DCED and DEP to the Authority and recorded as Administrative/Operating expenses totaled \$2,604,614 and \$2,902,175, respectively.

COMMONWEALTH FINANCING AUTHORITY  
(COMPONENT UNIT OF COMMONWEALTH OF PENNSYLVANIA)  
NOTES TO FINANCIAL STATEMENTS (CONTINUED)  
YEARS ENDED JUNE 30, 2013 AND 2012

NOTE 6: RELATED PARTY TRANSACTIONS (CONTINUED)

During the fiscal years ended June 30, 2013 and 2012, the Authority received \$119,534,974 and \$115,816,425, respectively, in transfers from the Commonwealth to pay debt services with respect to Revenue Bonds. See Note 5 for details with respect to the Revenue Bonds.

The Authority also received \$27,486,806 and \$29,353,879 in gaming monies from the Commonwealth to fund approved projects in select areas of the state in the fiscal years ended June 30, 2013 and 2012, respectively.

The Authority transferred part of its bond proceeds to the Commonwealth Department of Environment Protection and the Ben Franklin Technology Development Authority totaling \$20,000,000 and \$9,000,000 for the fiscal years ending June 30, 2013 and 2012, respectively.

NOTE 7: LINE OF CREDIT

In December 2009, the Authority entered into a secured line of credit with the Commonwealth of Pennsylvania Treasury Department, which, under a revolving credit agreement, is limited to borrowings of \$50,000,000. Under the revolving credit agreement, interest accrues on the aggregate unpaid principle amount outstanding on the draws. The interest rate is the greater of the rate of the United States Federal Funds Target Rate plus 75 basis points or the rate set by the British Bankers Association for London Interbank Offered Rate (LIBOR) for a six month term in United States dollars plus 45 basis points. The interest rate is reset as of the 20<sup>th</sup> of each month. The line of credit expired as of December 28, 2011, the Authority did not extend or obtain a new line of credit.

NOTE 8: COMMITMENTS AND CONTINGENCIES

The Authority, through various economic development programs, provided loan guarantees as follows:

	2013	2012
First Industries loan guarantees	\$ 48,735,633	\$ 47,625,633
Tax increment financing gaurantees	43,500,000	38,500,000
Second stage loan gaurantees	3,360,000	1,485,000
Venture capital gaurantees	197,500,000	197,500,000
Total Loan Gaurantees	<u>\$ 293,095,633</u>	<u>\$ 285,110,633</u>

The Authority has been called upon, from time to time with respect to loan guarantees, to make principal or interest payments on behalf of the ultimate borrowers. Accordingly, expenses totaling \$2,734,748 and \$1,191,529, have been reported in the Authority's financial statements for loan guarantees as of June 30, 2013 and 2012, respectively.

Through various Authority loan and grant programs to promote economic development within the Commonwealth of Pennsylvania, the Authority has approved loans, and grants of \$83,161,378 and \$229,487,944, respectively, which have not been disbursed as of June 30, 2013.

## Zelenkofske Axelrod LLC

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING  
AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS  
PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors  
Commonwealth Financing Authority  
Harrisburg, Pennsylvania

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the business-type activities of the COMMONWEALTH FINANCING AUTHORITY ("the AUTHORITY"), a component unit of the Commonwealth of Pennsylvania, as of and for the year ended June 30, 2013, and the related notes to the financial statements, which collectively comprise the AUTHORITY's basic financial statements and have issued our report thereon dated October 2, 2013.

### Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the Authority's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Authority's internal control. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

### Compliance and Other Matters

As part of obtaining reasonable assurance about whether the AUTHORITY's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

*Zelenkofske Axelrod LLC*

ZELENKOSFKE AXELROD LLC

Harrisburg, Pennsylvania  
October 2, 2013

<b>Harrisburg</b>	<b>Lehigh Valley</b>	<b>Philadelphia</b>	<b>Pittsburgh</b>
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