

**State Water Resources Control Board  
Underground Storage Tank Cleanup Fund**

**CERTIFICATION OF FINANCIAL RESPONSIBILITY  
FOR UNDERGROUND STORAGE TANKS CONTAINING PETROLEUM**

<b>A</b>	<p>I am required to demonstrate Financial Responsibility in the Required amounts as specified in Section 2807, Chapter 18, Div. 3, Title 23, CCR:</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>_____ 500,000 dollars per occurrence</p> <p style="text-align: center;">or</p> <p>_____ 1 million dollars per occurrence</p> </div> <div style="width: 10%; text-align: center;">AND</div> <div style="width: 45%;"> <p>_____ 1 million dollars annual aggregate</p> <p style="text-align: center;">or</p> <p>_____ 2 million dollars annual aggregate</p> </div> </div>																											
<b>B</b>	<p>_____ hereby certifies that it is in compliance with the requirements of Section 2807, (Name of Tank Owner or Operator)</p> <p><b>Article 3, Chapter 18, Division 3, Title 23, California Code of Regulations.</b></p> <p><b>The mechanisms used to demonstrate financial responsibility as required by Section 2807 are as follows:</b></p>																											
<b>C</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 12.5%;">Mechanism Type</th> <th style="width: 25%;">Name and Address of Issuer</th> <th style="width: 12.5%;">Mechanism Number</th> <th style="width: 12.5%;">Coverage Amount</th> <th style="width: 12.5%;">Coverage Period</th> <th style="width: 12.5%;">Corrective Action</th> <th style="width: 12.5%;">Third Party Comp</th> </tr> </thead> <tbody> <tr> <td style="height: 60px;"></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="height: 60px;"></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p><b>Note:</b> This is a sample certification of a petroleum UST owner or operator using the State Cleanup Fund as the financial responsibility mechanism, in conjunction with the state alternative mechanism "Letter from Chief Financial Officer." For additional information and requirements refer to Title 23, Chapter 18, of the California Code of Regulations and Chapter 7.75 of the California Health and Safety Code.</p>							Mechanism Type	Name and Address of Issuer	Mechanism Number	Coverage Amount	Coverage Period	Corrective Action	Third Party Comp														
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	<p>Note: If you are using the State Fund as any part of your demonstration of financial responsibility, your execution and submission of this certification also certifies that you are in compliance with all conditions for participation in the Fund.</p>																											
<b>D</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Facility Name</td> <td style="width: 50%;">Facility Address</td> </tr> <tr> <td>Facility Name</td> <td>Facility Address</td> </tr> <tr> <td>Facility Name</td> <td>Facility Address</td> </tr> </table>						Facility Name	Facility Address	Facility Name	Facility Address	Facility Name	Facility Address																
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<b>E</b>	Signature of Tank Owner or Operator _____ Date _____		Name and Title of Tank Owner or Operator _____ Date _____																									
	Signature of Witness or Notary _____ Date _____		Name of Witness or Notary _____ Date _____																									

# INSTRUCTIONS

## CERTIFICATION OF FINANCIAL RESPONSIBILITY

Please type or print information clearly. All UST sites owned or operated may be listed on one form, therefore, a separate certification is not required for each site.

### DOCUMENT INFORMATION

- A. **Coverage Required** Check the appropriate boxes.
- B. **Name of Tank Owner or Operator** Full name of either the tank owner or the operator.
- C. **Mechanism Type** Indicate which approved mechanism(s) are being used to show financial responsibility either as contained in the federal regulations, 40 CFR Part 280 Subpart H, Sections 280.93 through 280.107, or Section 2808.1 Chapter 18, Div. 3, Title 23, CCR (see Financial Responsibility Guide for more information).
- Name of Issuer** List all names and address of companies and/or individuals issuing coverage.
- Mechanism Number** List identifying number for each mechanism used. Example: insurance policy number, Letter of Credit number, etc., etc. If using the State Cleanup Fund, leave blank.
- Coverage Amount** Indicate amount of coverage for each listed mechanism. If more than one mechanism is indicated, total must equal 100% of financial responsibility for each site.
- Coverage Period** Indicate the effective date(s) of all mechanisms. State Cleanup Fund coverage is continuous as long as you maintain compliance and remain eligible to participate in the Fund.
- Corrective Action** Indicate yes or no. Does the specified financial assurance mechanism provide coverage for corrective action? It is a required coverage. If using the State Cleanup Fund, indicate "yes."
- Third Party Compensation** Indicate yes or no. Does the specified financial assurance mechanism provide coverage for corrective action? It is a required coverage. If using the State Cleanup Fund, indicate "yes."
- D. **Facility Information** Provide all facility and or site names and addresses.
- E. **Signature Block** Provide signature and date signed by tank owner or operator; printed or typed name and title of tank owner or operator; signature of witness or notary and date signed; and printed or typed name of witness or notary. (If notary signs please attach documentation.)

### Where to Mail certification:

Please send original to your local agency(ies) [agency(ies) that issues the UST permits]. Keep a copy of the certification at each listed site.

### Questions:

If you have questions about financial responsibility requirements or about the Certification of Financial Responsibility form, please contact the State Water Resources Control Board, Underground Storage Tank Cleanup Fund at 1-800-813-3863.

### **Note:**

#### **Penalties for Failure to Comply with Financial Responsibility Requirements:**

Failure to comply may result in: 1) jeopardizing claimant eligibility for the State Cleanup Fund, and 2) liability for civil penalties of up to \$10,000 per day, per underground storage tank, for each day of violation as stated in Article 7, Section 25299.76(a) of the California Health and Safety Code.