

**HEAVY-DUTY VEHICLE AIR QUALITY LOAN PROGRAM  
(HDV AIR QUALITY LOAN PROGRAM)  
BORROWER ELIGIBILITY CRITERIA AND SELF-CERTIFICATION FORM**

The undersigned Borrower hereby applies to the California Pollution Control Financing Authority (CPCFA) for funds to pay the Borrower's premium for participation in the CPCFA's California Capital Access Program (CalCAP). The lender will submit this form with the CalCAP ARB Programs Loan Enrollment Form to CPCFA at:

California Pollution Control Financing Authority (CPCFA)  
915 Capitol Mall, Rm. 457  
Attention: California Capital Access Program (CalCAP)  
Sacramento, CA 95814  
Fax: (916) 589-2805

**For assistance, lenders please call CPCFA staff at (916) 654-5610.**

**SECTION I  
HDV AIR QUALITY LOAN PROGRAM ELIGIBILITY**

**By initialing on each line, Borrower certifies to eligibility under the HDV Air Quality Loan Program.**

(a)\_\_\_\_\_ Borrower will use the program only to purchase on-road heavy duty vehicles and equipment for compliance with the California Air Resources Board's (ARB) Statewide In-Use Truck and Bus Regulation (Regulation)(California Code of Regulations, title 13, section 2025, see <http://www.arb.ca.gov/msprog/onrdiesel/documents.php>). Eligible purchases with loan proceeds include:

- Used and new trucks equipped with 2007 – 2009 model year engines certified to engine emission standards of 1.20 g/bhp-hr NOx and 0.01 g/bhp-hr PM or cleaner;
- Trucks equipped with 2010 and later model year engines ARB-certified to 2010 and later model year emission standards; and
- ARB-verified diesel emission control devices (exhaust retrofits).

(b)\_\_\_\_\_ Borrower certifies that his/her fleet has 10 or fewer on-road vehicles subject to the Regulation referenced in the above statement, or is a non-profit entity that meets all other CalCAP requirements. Consistent with fleet reporting requirements in California Code of Regulations, title 13, section 2025, the Borrower shall include vehicles whether or not they are registered, and include vehicles registered as non-operating. In Section III, the Borrower shall provide the total number of on-road heavy-duty vehicles in his/her fleet subject to the Regulation. (Non-profit organizations may have more than 10 vehicles but must satisfy all other requirements of the CalCAP and HDV Air Quality Loan Programs).

(c)\_\_\_\_\_ Borrower certifies that he/she has 100 or fewer employees and \$10 million or less in annual revenues averaged over the prior three (3) years.

**By initialing either (d) (e), or (f) below, Borrower certifies that either (d) (e), or (f) is true and correct. If Borrower has not received an ARB grant or is not approved for a voucher below, DO NOT INITIAL ANY OF THE STATEMENTS.**

(d)\_\_\_\_\_ Borrower certifies that that he/she has received a grant through the ARB's Proposition IB Goods Movement Emission Reduction Program for the vehicle(s) being financed.

(e)\_\_\_\_\_ Borrower certifies that that he/she has received a grant through the ARB's Carl Moyer Program On-Road Heavy-Duty Vehicle Voucher Incentive Program (VIP) for the vehicle(s) being financed.

(f)\_\_\_\_\_ Borrower certifies that he/she is approved for a voucher for the ARB's Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP) to purchase or lease a hybrid or zero-emission truck or bus.

## SECTION II CalCAP ELIGIBILITY

**By initialing on each line, the Borrower certifies to eligibility under CalCAP.**

(a)\_\_\_\_\_ Borrower is a qualified business and small business concern defined collectively as follows:

- Health and Safety Code section 44559.1(i): "Qualified business" means a small business concern that meets both of the following criteria, regardless of whether the small business concern has operations that affect the environment:
  - (1) It is a corporation, partnership, cooperative, or other entity, whether that entity is a nonprofit entity or an entity established for profit, that is authorized to conduct business in the state.
  - (2) It has its primary business location within the boundaries of the state.
- Health and Safety Code section 44559.1(m): "Small business concern" has the same meaning as in Section 632 of Title 15 of the United States Code, or as otherwise provided in regulations of the authority.
- California Code of Regulations, title 4, section 8070(r): "Qualified Business" and "Small Business Concern" means a business as set forth in Health and Safety Code Section 44559.1 subdivisions (i) and (m), that is not dominant in its field of operation, and that together with affiliates, has 500 or fewer employees.

(b)\_\_\_\_\_ Borrower obtained a loan that is for a business activity that has its primary economic effect in California defined as follows:

- California Code of Regulations, title 4, Section 8070(o): "Primary economic effect in California" means, as applied to a business activity, that either of the following conditions exists:
  - (1) At least 51 percent of the total revenues of the business activity are generated in California; or
  - (2) At least 51 percent of the total jobs of the business activity are created or retained in California.

(c)\_\_\_\_\_ Borrower agrees to allow the participating financial institution to provide information from financial records of the Borrower upon request of the Executive Director of CPCFA.

(d)\_\_\_\_\_ Borrower has no legal, beneficial, or equitable interest in the fees or the matching contribution.

(e)\_\_\_\_\_ Borrower does not have a total enrolled principal amount in excess of \$2,500,000 at any CalCAP participating financial institution over a three year period.

(f)\_\_\_\_\_ Borrower has secured or made application for all applicable licenses or permits needed to conduct its business.

(g)\_\_\_\_\_ Borrower has received CPCFA's CalCAP/ARB Privacy Notice dated January 1, 2014.

**SECTION III**

By initialing on each line, the Borrower certifies that each statement below is true and correct. Please also provide the applicable information in the table below, including the engine manufacturer and model year of a truck that is replaced with a truck purchased with loan proceeds.

(a) \_\_\_\_\_ Borrower certifies that he/she meets state and federal requirements to operate in California.

(b) \_\_\_\_\_ Borrower agrees to allow ARB staff or its designee to inspect the affected vehicle.

Additional Information for Completion by the Borrower			
<b>Fleet Size<sup>a</sup></b>			
<b>For Truck Purchases</b>			
For truck purchase, state the GVWR <sup>b</sup> :			
	Engine Manufacturer	Engine Model Year	Engine Horsepower
New Purchase			
Used Purchase			
Replaced Truck (if purchase is to replace an existing truck)			
<b>For ARB-Verified Diesel Emission Control Device (Exhaust Retrofit) Purchases</b>			
	Device Manufacturer And Model Name	Technology Type (State the technology type. Example: Diesel Particulate Filter )	
Diesel Emission Control Device			
<b>For Trailer Purchases<sup>c</sup></b>			
	Trailer Manufacturer	Trailer Model Year	SmartWay Certified? (Yes or No)
Trailer			

<sup>a</sup> The Borrower shall write in the total number (example: 8) of on-road vehicles subject to the Regulation referenced in the beginning of this form, in his or her fleet.

<sup>b</sup> Information about Gross Vehicle Weight Rating (GVWR) is available at <http://www.arb.ca.gov/msprog/truckstop/azregs/labels.htm>.

<sup>c</sup> Trailers may be eligible for financing ONLY in conjunction with an eligible tractor or exhaust retrofit.

\_\_\_\_\_  
(Business Name)

\_\_\_\_\_  
(Print Borrower's Name)

\_\_\_\_\_  
(Borrower's Signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Business Address)

\_\_\_\_\_  
(Phone Number)

\_\_\_\_\_  
(CPCFA Review: Signature and Title)

\_\_\_\_\_  
(Date)