

State of Colorado
Oil and Gas Conservation Commission

1120 Lincoln Street, Suite 801, Denver, Colorado 80203 Phone: (303) 894-2100 Fax: (303) 894-2109



Document Number:

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Receive Date:

10/13/2021

TRANSFER OF OPERATORSHIP

A Selling Operator will notify the Commission about the transfer of any Transferable Item associated with its Oil and Gas Operations to a Buying Operator by filing a Form 9, Transfer of Operatorship – Intent, with the Commission at least 30 days, or as soon as practicable, before the anticipated transfer date. (Rule 218.b.)
When a transaction subject to a Form 9 – Intent becomes final, the Buying Operator will submit a Form 9 – Subsequent within 7 days of closing. (Rule 218.d.(1).)

Type of Form 9, Transfer of Operatorship: ☒ Intent ☐ Subsequent Intent # _____**OPERATOR INFORMATION****SELLING OPERATOR INFORMATION**

OGCC Operator Number: 10694

Contact Name and Telephone:

Name of Operator: PROVIDENCE OPERATING LLC DBA POCO OPERATING

Name: Cindy Nuffer

Address: 16400 DALLAS PARKWAY SUITE 400

Phone: (214) 5229131

City: DALLAS State: TX Zip: 75428

Email: cnuffer@providence-energy.com

BUYING OPERATOR INFORMATION

OGCC Operator Number: 10547

Contact Name and Telephone:

Name of Operator: HELENA RESOURCES INC

Name: Theodore Pagano

Address: 2960 SIMMS DR

Phone: (970) 5903944

City: LAKEWOOD State: CO Zip: 80215

Email: tapagano@helena-resources.com

TRANSFER INFO**Transfer Dates**

Form 9 Intent - Anticipated Date of Transfer: 01/01/2021

Form 9 Subsequent - Effective Date of Transfer: _____ s

Confidentiality

Transfer is Confidential: No

Financial Assurance

Form 9 Intent - Estimated amount of Financial Assurance the Buying Operator will submit prior to anticipated date of transfer: \$ 40,000

Form 9 Subsequent - The Buying Operator's Financial Assurance:

SUBSEQUENT LIABILITY**Rule 218.d.(1).D.i.**

"For Transferable Items listed in Rule 218.d.(1).B.i an acknowledgment that upon the effective date of transfer, that the Buying Operator assumes all responsibility for compliance with the Act, the Commission's Rules, and all terms and conditions of existing Permits and Commission orders for the Transferable Items."

In checking this box the Buying Operator's acknowledges the subsequent liability pursuant to Rule 218.d.(1).D.i. ☐**Rule 218.d.(1).D.ii.**

"For Transferable Items listed in Rule 218.d.(1).B.ii or iii, an acknowledgment that the Buying Operator may be or may become responsible for compliance with the Act, the Commission's Rules, and all terms and conditions of existing Permits and Commission orders if the Buying Operator takes any action, or fails to take any action, that would cause such Transferable Item to be out of compliance with the Act, the Commission's Rules, and all terms and conditions of existing Permits and Commission orders."

In checking this box the Buying Operator's acknowledges the subsequent liability pursuant to Rule 218.d.(1).D.ii. ☐**Rule 218.d.(1).D.iii.**

"For Transferable Items not listed in Rule 218.d.(1).B.i-iii but Related in the Commission's records, an acknowledgment that the Commission will presume that the Transferable Item was transferred, and that the Buying Operator is responsible for compliance with the Act, the Commission's Rules, and all terms and conditions of existing Permits and Commission orders for the Transferable Items."

In checking this box the Buying Operator's acknowledges the subsequent liability pursuant to Rule 218.d.(1).D.iii. ☐

SUBMITTAL

OPERATOR COMMENT AND SUBMITTAL

I hereby certify all statements made in this form are, to the best of my knowledge, true, correct, and complete.

Print Name: Cindy Nuffer Email: cnuffer@providence-energy.com

Signature: _____ Title: Land Administration Date: 10/13/2021

Wells & Facilities Proposed for Transfer Summary

1	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09463	266534	333075	GUTHRIE 21-2	NENW	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
2	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09541	278459	320528	GUTHRIE 31-2	NWNE	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
3	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09540	278460	320527	GUTHRIE 41-2	NENE	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
4	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09563	284353	335591	GUTHRIE 42-2	SENE	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
5	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-06251	200848	319681	GUTHRIE ABNER 1	SWNE	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
6	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-07074	201671	319872	L. W. MOORE GAS 1	NENE	10	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
7	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09384	203824	320463	ZARLENGO 14-4	SWSW	4	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
8	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-08810	203301	320270	ZARLENGO 2	NWNW	4	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					

	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
9	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09468	267659	320494	ZARLENGO 21-4	NENW	4	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
10	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09555	282371	335739	ZARLENGO 23-4	NESW	4	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
11	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	WELL	001-09377	203817	320458	ZARLENGO 24-4	SESW	4	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
12	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	TANK BATTERY	-	454965	470974	PETROSHARE GUTHRIE 454965	NENE	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
13	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	LOCATION	-	479320	479320	ZARLENGO SWSW TANK BATTERY	SWSW	4	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
14	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	OFF-LOCATION FLOWLINE	-	470975	470974	WELLHEAD LINE 2NENW	NENW	2	1S	67W
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
15	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	OFF-LOCATION FLOWLINE	-	479076	470974					
	<u>County</u>	<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>					
	ADAMS		10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING					
16	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	OFF-LOCATION FLOWLINE	-	470977	470974					

	<u>County</u>		<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>				
	ADAMS			10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING				
17	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	OFF-LOCATION FLOWLINE	-	470978	470974					
	<u>County</u>		<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>				
	ADAMS			10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING				
18	<u>Facility Type</u>	<u>API</u>	<u>Facility ID</u>	<u>Location ID</u>	<u>Facility Name</u>	<u>QtrQtr</u>	<u>Sec</u>	<u>Twp</u>	<u>Rng</u>
	OFF-LOCATION FLOWLINE	-	470979	470974					
	<u>County</u>		<u>Min.Owner. Type</u>	<u>Current Operator Num</u>	<u>Current Operator Name</u>				
	ADAMS			10694	PROVIDENCE OPERATING LLC DBA POCO OPERATING				

Incidents Proposed for Transfer Summary

< No row provided >

Related Wells & Facilities Not Proposed for Transfer Summary

< No row provided >

Related Incidents Not Proposed for Transfer Summary

< No row provided >

Attachment List

<u>Att Doc Num</u>	<u>Name</u>
1311074	CORRESPONDENCE
1311135	CORRESPONDENCE
402840347	Form 09 SUBMITTED
402840352	FORM 9 INTENT ATTESTATION
402840422	EDD-I-WELLS-FACILITIES-PROPOSED

Total Attach: 5 Files

<u>COA Type</u>	<u>Description</u>
0 COA	

General Comments

<u>User Group</u>	<u>Comment</u>	<u>Comment Date</u>
Financial Assurance	All issues have been resolved by both operators. Both operators have accepted the Conditions of Approval. Form 9 approved.	01/17/2023
Financial Assurance	Update email sent on remaining outstanding items.	12/21/2022
Financial Assurance	<p>All,</p> <p>I would like to summarize what is outstanding so this transfer can be approved.</p> <p>1. The Guthrie Abner 1 well, API 001-6251, Facility ID 200848, Location ID 31681 is being retained by the seller. There is the related location #319681 which is not accounted for. Will Providence retain the location as well? If so, please add the location to the attached list. If not, please add it to the list of Wells and Facilities Transferred.</p> <p>2.The Subsequent Attestation is lacking the printed name and title of the Seller's representative who signed the attestation. Please add the signer's name and title to the attestation.</p> <p>3.There is another FIR with Corrective Action - Doc #693507795 with incident date 08/23/22 that will need to be accounted for. The corrective action may or may not have been resolved. FIRs with outstanding corrective actions are transferable items that must be accounted for in the Form 9 in one or more of the following ways.</p> <p>1.If the compliance responsibility for such an FIR transfers to the buyer include that FIR on a Related Incidents Transferred list.</p> <p>2.If the compliance responsibility for such an FIR is retained by the seller include that FIR on a Related Incidents Not Transferred list and provide a Seller Retains Responsibility Attestation.</p> <p>If the parties perform the research and determine that all corrective actions for a particular FIR have been resolved, that FIR does not need to be listed on the Form 9 but will be subject to Rule 218.</p> <p>4. Assuming the other Form 9 requirements are met, all Form 9s shall now be passed with the following two COAs:</p> <p>The Buying Operator must file a Form 3, Financial Assurance Plan, within 10 business days of Form 9 approval –OR– by the applicable deadline as described in the Notice to Operators, Delayed Deadline for Rule 702.b(1)A.i., whichever is later. Per Rule 702, Buyer will then provide any required additional financial assurance as soon as practicable but no later than 90 days from the Commission's approval of the Form 3, Financial Assurance Plan.</p> <p>The Selling Operator must file a Form 3, Financial Assurance Plan within 10 business days of Form 9 approval –OR– by the applicable deadline as described in the Notice to Operators, Delayed Deadline for Rule 702.b(1)A.i., whichever is later. Per Rule 702, Seller will then provide any required additional financial assurance as soon as practicable but no later than 90 days from the Commission's approval of the Form 3, Financial Assurance Plan.</p> <p>I will need an emailed response from both operators that they are in agreement with the COA. All revised documents can be emailed to me and I will upload them to the form.</p>	11/18/2022
Financial Assurance	<p>The Subsequent Attestation submitted on June 3rd lacks the printed name and title for the individual signing on behalf of Providence Operating LLC. Please resubmit the attestation with the printed name and title of the person signing the attestation.</p> <p>There is also another Related Incident. It is #693507795. Plus, the NOAV was not addressed on the Related Incidents Resolution spreadsheet. The document number for the NOAV is 402875267</p> <p>The corrective action may or may not have been resolved. FIRs and NOAVs with outstanding corrective actions are transferable items that must be accounted for in the Form 9 in one or more of the following ways.</p> <p>1.If the compliance responsibility for such an FIR or NOAV transfers to the buyer include that FIR or NOAB on a Related Incidents Transferred list.</p> <p>2.If the compliance responsibility for such an FIR or NOAV is retained by the seller include that FIR or NOAV on a Related Incidents Not Transferred list and provide a Seller Retains Responsibility Attestation.</p>	10/28/2022

	<p>If the parties perform the research and determine that all corrective actions for a particular FIR have been resolved, that FIR does not need to be listed on the Form 9 but will be subject to Rule 218.d(1)D.iii.</p> <p>Since we have noted a "Chicken and the Egg" situation with the Form 9 and Form 3 processing there will be the following Condition of Approval noted on your Form 9 Transfer.</p> <p>The Buying Operator must file a Form 3, Financial Assurance Plan, within 10 business days of Form 9 approval –OR– by the applicable deadline as described in the Notice to Operators, Delayed Deadline for Rule 702.b(1)A.i., whichever is later. Per Rule 702, Buyer will then provide any required additional financial assurance as soon as practicable but no later than 90 days from the Commission's approval of the Form 3, Financial Assurance Plan.</p> <p>The Selling Operator must file a Form 3, Financial Assurance Plan within 10 business days of Form 9 approval –OR– by the applicable deadline as described in the Notice to Operators, Delayed Deadline for Rule 702.b(1)A.i., whichever is later. Per Rule 702, Seller will then provide any required additional financial assurance as soon as practicable but no later than 90 days from the Commission's approval of the Form 3, Financial Assurance Plan.</p> <p>The Form 3 for Helena Resources will also require the Surface Agreements and/or leases to avoid a Blanket Surface Bond. Please let me know if you have any questions.</p>	
Financial Assurance	<p>All,</p> <p>I am taking a look at this again noting the following unresolved issues.</p> <p>Issue #1: If the Seller is retaining the Guthrie Abner #1 well with API number 001-06251 and its corresponding location #319681. The Well needs to go on a Wells and Facilities Proposed - Not Transferred Spreadsheet. The location #319681 needs to go on a Related Well and Facility - Not Transferred list. Both need to be referenced in a Seller Retains Responsibility Attestation. Cindy, the last attachments that you sent had the well listed on both spreadsheets.</p> <p>Issue #2: Cindy - The NOAV needs to go on a Related Incident - Not Transferred spreadsheet. The reference to the NOAV should be included in the Seller Retains Responsibility Attestation mentioned above.</p> <p>Issue #3: The last item is if a Surface User Agreement is not in place for the wells and facilities that are being transferred, then Helena Resources Inc. will need to provide a Surface Bond. Debbie Lutz Debbie.lutz@state.co.us is your contact for Surface Bond. She will be able to answer any of your questions. Ted - Once you have researched all of the surface agreements, please send the information to both Debbie and me. At that point, we will be able to ascertain whether or not a surface bond is required.</p>	09/23/2022

Financial Assurance	<p>After uploading the documents that you sent, I reran our internal tool and came up with a couple of items to be addressed that did not show up the first time.</p> <ul style="list-style-type: none"> · There is a Related Location that is unaccounted for with Location #319681. It will either need to be added to the Wells and Facilities Transferred List or the Wells and Facilities Not Transferred. If it is not transferred, then a Seller Retains Responsibility Attestation will be required. Cindy - Seller is retaining the Guthrie Abner #1 well with API number 001-06251 and its corresponding location #319681. The Well needs to go on a Wells and Facilities Proposed - Not Transferred Spreadsheet. The location #319681 needs to go on a Related Well and Facility - Not Transferred list. Both need to be referenced in a Seller Retains Responsibility Attestation · There is also a Related Unresolved NOAV #402875267 that will need to be included on the Related Incidents Transferred or the Related Incidents Not Transferred list. If the latter is the case, then a Seller Retains Responsibility Attestation will be required. Cindy - The NOAV needs to go on a Related Incident - Not Transferred spreadsheet. The reference to the NOAV should be included in the Seller Retains Responsibility Attestation mentioned above. · The last item is if a Surface User Agreement is not in place for the wells and facilities that are being transferred, then Helena Resources Inc. will need to provide a Surface Bond. Debbie Lutz Debbie.lutz@state.co.us is your contact for Surface Bond. She will be able to answer any of your questions. Ted - Once you have researched all of the surface agreements, please send the information to both Debbie and me. At that point, we will be able to ascertain whether or not a surface bond is required. <p>Please send all additional documents and I will get them uploaded to the form. Reach out with any questions.</p>	08/08/2022
Financial Assurance	<p>On June 15th the following email was sent.</p> <p>After uploading the documents that you sent, I reran our internal tool and came up with a couple of items to be addressed that did not show up the first time.</p> <ul style="list-style-type: none"> · There is a Related Location that is unaccounted for with Location #319681. It will either need to be added to the Wells and Facilities Transferred List or the Wells and Facilities Not Transferred. If it is not transferred, then a Seller Retains Responsibility Attestation will be required. · There is also a Related Unresolved NOAV #402875267 that will need to be included on the Related Incidents Transferred or the Related Incidents Not Transferred list. If the latter is the case, then a Seller Retains Responsibility Attestation will be required. · The last item is if a Surface User Agreement is not in place for the wells and facilities that are being transferred, then Helena Resources Inc. will need to provide a Surface Bond. Debbie Lutz Debbie.lutz@state.co.us is your contact for Surface Bond. She will be able to answer any of your questions. 	07/08/2022
Financial Assurance	<p>I have reviewed the referenced Form 9 Transfer and have noted the following concerns that will need to be addressed before the transfer can be approved.</p> <p>Problem 1: The Wells and Facilities Transferred List indicates the Current Operator as Helena Resources. This is incorrect since the transfer has not been approved. The Current Operator should be Providence Operating LLC or a legacy operator if that situation applies. Solution 1: Resubmit the Wells and Facilities Transferred List listing the correct operator.</p> <p>Problem 2: Because the Wells and Facilities Transferred to Buyer attached to the Subsequent Attestation incorrectly reflects the Current Operator as Helena Resources, the Subsequent Attestation will need to be resubmitted. Solution 2: Please resubmit the Subsequent Attestation referencing the Subsequent Document #402867449 instead of listing all of the wells and facilities that were transferred. You can find additional details on page 4 of the attached Attestation Guidance.</p> <p>Problem 3: The Buyer Notified Gov't Attestation is inadequate since it did not indicate the Local Gov't Designee that was notified in Adams County. Solution 3: Please resubmit the Buyer Notified Local Gov't Attestation and include the</p>	03/25/2022

name of the Local Gov't Designee who was notified.

Problem 4: After reviewing the status of the Form 9, we've identified 6 Field Inspections Reports (FIR) that were issued with corrective actions related to wells and facilities being transferred. The document numbers for the FIRs are as follows:

- 600000497
- 668301967
- 687400608
- 693501258
- 697501291
- 697501386

Solution 4: These corrective actions may or may not have been resolved. FIRs with outstanding corrective actions are transferable items that must be accounted for in the Form 9 in one or more of the following ways.

If the compliance responsibility for such an FIR transfers to the buyer include that FIR on a Related Incidents Transferred list.

If the compliance responsibility for such an FIR is retained by the seller include that FIR on a Related Incidents Not Transferred list and provide a Seller Retains Responsibility Attestation.

If the parties perform the research and determine that all corrective actions for a particular FIR have been resolved, that FIR does not need to be listed on the Form 9 but will be subject to Rule 218.d(1)D.iii.

Total: 8 comment(s)