

	<b>U.S. DEPARTMENT OF COMMERCE</b> Bureau of Industry and Security  <b>CWC SCHEDULE 3</b> <b>DECLARATION OR REPORT</b>	DATE RECEIVED (Leave Blank)
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**CERTIFICATION FORM**

**Provide the information requested below in Questions C.1 through C.8.**

<b>C.1</b>	Name of Declaration or Report Point of Contact (D/R-POC):		
<b>C.2</b>	Company Name:		
<b>C.3</b>	Mailing Address:		
	City:	State:	Zip Code:
<b>C.4</b>	D/R-POC's Telephone Number:	ext.	
	D/R-POC's Fax Number:		
	D/R-POC's E-mail Address:		
<b>C.5</b>	Date Submitted (YYYY-MM-DD):		
<b>C.6</b>	<b>CERTIFICATION</b>		

**I hereby certify that I have reviewed the attached documents and that, to the best of my knowledge and belief, the submitted information is true and complete.**

Name and title of responsible official (type or print):

Signature:

Date Signed (YYYY-MM-DD):

<b>C.7</b>	<p><b>TYPE OF DECLARATION OR REPORT</b> (check one box, except check two boxes for an amendment)</p> <p><input type="checkbox"/> ANNUAL DECLARATION ON PAST ACTIVITIES (YYYY): _____</p> <p><input type="checkbox"/> ANNUAL REPORT ON EXPORTS AND IMPORTS (YYYY): _____</p> <p><input type="checkbox"/> COMBINED ANNUAL DECLARATION AND REPORT (YYYY): _____</p> <p><input type="checkbox"/> ANNUAL DECLARATION ON ANTICIPATED ACTIVITIES (YYYY): _____</p> <p><input type="checkbox"/> DECLARATION ON ADDITIONALLY PLANNED ACTIVITIES (YYYY): _____</p> <p><input type="checkbox"/> AMENDMENT</p>
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<b>C.8</b>	<p><b>Forms Submitted</b></p> <p>Check all forms that are included:</p> <p> <input type="checkbox"/> FORM 3-1                      <input type="checkbox"/> FORM 3-2                      <input type="checkbox"/> FORM 3-3                      <input type="checkbox"/> FORM A                      <input type="checkbox"/> FORM B             </p>
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## CERTIFICATION FORM Schedule 3 Declaration or Report

Declaration and reporting requirements are set forth in Part 714 of the CWC Regulations (15 CFR 714).

A separate Certification Form is required for:

- (a) each Schedule 3 plant site that has declaration requirements;
- (b) each Schedule 3 plant site with reporting requirements; and
- (c) each trading company with reporting requirements.

NOTE: If you submit a combined declaration and report, you must submit only one Certification form.

If you submit a combined declaration and report, you must submit only one Certification form.

This form serves several purposes, including:

- (a) identifying a Declaration Point of Contact;
- (b) certifying the accuracy of the submitted declaration or report;
- (c) identifying the type of declaration or report submitted; and
- (d) listing the declaration or report forms submitted.

Questions C.1 through C.5 Name of Declaration or Report Point of Contact (D/R-POC) and Other Requested Information: Designate a D/R-POC. The D/R-POC should be a person whom the Department of Commerce may contact for: (1) the purposes of clarification of information provided in the declaration or report; and (2) for general information. The D/R-POC need not be the person who prepares the declaration or report forms or signs the Certification Form.

Question C.6 Certification: The Certification statement must be signed by the owner, the operator, or a senior management official who certifies the accuracy and completeness of the information submitted. The Certification signature block must contain an original signature.

Question C.7 Type of Declaration or Report: Check the appropriate box for the type of declaration or report being submitted (e.g., past activities, anticipated or additionally planned activities, exports and imports, combined declaration and report, and amendments) and indicate the year for which the information applies.

The ANNUAL DECLARATION ON PAST ACTIVITIES provides information on the production of a Schedule 3 chemical by a declared Schedule 3 plant site for the previous year. A plant site must submit an ANNUAL DECLARATION ON PAST ACTIVITIES if one or more plants on the plant site produced a Schedule 3 chemical above 30 metric tons during the previous calendar year.

The ANNUAL REPORT ON EXPORTS AND IMPORTS, submitted by plant sites or trading companies, provides information on exports and imports of a Schedule 3 chemicals above 30 metric tons.

The COMBINED ANNUAL DECLARATION AND REPORT provides information on a declared Schedule 3 plant site required to submit both an Annual Declaration on Past Activities and an Annual Report on Exports and Imports. The COMBINED ANNUAL DECLARATION AND REPORT provides information on the production of a Schedule 3 chemical above 30 metric tons as well as information on the export from or import to the plant site of the same or different Schedule 3 chemical above 30 metric tons. Note that exports from and imports to a plant site are determined for the entire plant site, including all units of the plant site.

The ANNUAL DECLARATION ON ANTICIPATED ACTIVITIES provides information on the production of a Schedule 3 chemical by a plant site that has at least one plant that anticipates producing the Schedule 3 chemical above 30 metric tons in the next calendar year.

The DECLARATION ON ADDITIONALLY PLANNED ACTIVITIES provides information on additional activities planned after submission of the ANNUAL DECLARATION ON ANTICIPATED ACTIVITIES. NOTE: This declaration is due 15 days before the additionally planned activities can begin.

Note that declarations on the production of Schedule 3 chemicals by declared plant sites will be transmitted to the OPCW and will also be used, where applicable, to compile the U.S. national aggregate declaration. Reports on Exports and Imports of Schedule 3 chemicals are not transmitted to the OPCW, but are used to compile the U.S. national aggregate declaration.

Question C.8 Forms Submitted: Check the appropriate box for each form that is included in the submission.

<h2 style="margin: 0;">CWC SCHEDULE 3 DECLARATION OR REPORT</h2>		PLANT SITE OR TRADING COMPANY NAME:
		U.S. PLANT SITE OR TRADING COMPANY CODE (once assigned):

**FORM 3-1 SCHEDULE 3 PLANT SITE OR TRADING COMPANY IDENTIFICATION**

**Submit this form for each declared Schedule 3 plant site, undeclared Schedule 3 plant site, or trading company. You must submit this form for each type of declaration or report (past activities, anticipated or additionally planned activities, exports and imports, combined, and amendments).**

<b>3-1.1</b>	Owner:		
	Telephone Number:	Fax Number:	
<b>3-1.2</b>	Operator:		
	Telephone Number:	Fax Number:	
<b>3-1.3</b>	Street Address:		
	City:	State:	Zip Code:
	<b>Provide the geographic coordinates of the center of the plant site (see Supplement No. 1).</b>		
<b>3-1.4</b>	a. Latitude (Deg/Min/Sec/N):		
	b. Longitude (Deg/Min/Sec/W):		

Check this box if you have attached to Form A any additional information on the plant site.

<b>3-1.5</b>	The number of declared Scheduled 2 plants at this Schedule 3 plant site: _____	
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**Designation of Inspection Point of Contact (I-POC) for inspection notifications involving this plant site.**  
**NOTE: The Department of Commerce must be able to reach the I-POCs at all hours through the telephone numbers shown below.**

<b>3-1.6.1</b>	Name of I-POC:		
	I-POC's Primary Telephone Number:		ext.
	I-POC's Alternate Telephone Number:		ext.
	I-POC's Fax Number:		
	I-POC's E-mail Address:		
<b>3-1.6.2</b>	Name of Alternate I-POC (optional):		
	I-POC's Primary Telephone Number:		ext.
	I-POC's Alternate Telephone Number:		ext.
	I-POC's Fax Number:		
	I-POC's E-mail Address:		

## FORM 3-1 Schedule 3 Plant Site or Trading Company Identification

Declaration and reporting requirements are set forth in Part 714 of the CWC Regulations (15 CFR 714).

Submit this form for each declared Schedule 3 plant site, Schedule 3 plant site or trading company. Declared Schedule 3 plant sites must submit this form for each type of declaration (past activities, anticipated or additionally planned activities, and amended) and complete questions 3-1.1 through 3-1.5. In addition, declared plant sites subject to routine inspection must complete question 3-1.6. Schedule 3 plant sites and trading companies must report exports and imports above 30 metric tons by completing only questions 3-1.1 through 3-1.3 for their past activities reporting requirements.

All submitters should assign a unique name to the declared or undeclared plant site or trading company, and record the name in the appropriate box in the upper right-hand corner of Form 3-1. The Department of Commerce will provide each submitter with a unique code. This code, hereafter referred to as a "U.S. Plant Site or Trading Company Code," will be the primary means of identifying a plant site or trading company after the first declaration or report is submitted and the Department of Commerce assigns a code. The submitter should use this code on all future declarations or reports.

Questions 3-1.1 through 3-1.4: Provide the name and telephone and fax numbers of the owner and the operator or

the occupant or the agent in charge of the plant site or trading company. Provide the address of the plant site or the trading company. **DO NOT PROVIDE A POST OFFICE BOX.**

Provide latitude and longitude for the center of the plant site using the following formats (see Supplement No. 1 for guidelines on determining geographic coordinates):

Latitude:           00(degree)/00(minute)/00(second)/N  
Longitude:        000(degree)/00(minute)/00(second)/W

If the geographic coordinates are not for the center of the plant site, you must attach to Form A an explanation of the coordinates (e.g., front gate, Building No. 15). Also, use Form A to identify any additional information (e.g., maps, drawings) that you have attached to this declaration to locate this plant site with reference to the declared coordinates.

Question 3-1.5: Identify the number of declared Schedule 2 plants, if any, within this declared Schedule 3 Plant Site.

Question 3-1.6: Designate an Inspection Point of Contact (I-POC) and provide telephone and fax numbers, and an e-mail address so the Department of Commerce may notify you of inspections of your plant site. You may also designate an Alternate I-POC. The Department of Commerce must be able to contact the I-POCs on a 24 hour basis.

<b>CWC SCHEDULE 3 PLANT DECLARATION</b>		PLANT SITE NAME:
		U.S. PLANT SITE CODE (once assigned):

**FORM 3-2 DECLARATION ON SCHEDULE 3 PLANT**

**Submit this form for each declared Schedule 3 plant at the plant site. Use this for all declarations (past activities, combined, anticipated or additionally planned activities, and amendments).**

PLANT NAME:	PLANT CODE (once assigned):
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<b>3-2.1</b>	Owner:	
	Telephone Number:	Fax Number:

<b>3-2.2</b>	Operator:	
	Telephone Number:	Fax Number:

<b>3-2.3</b>	Structure Name or Building Number:
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<b>3-2.4</b>	<p><b>Provide any additional information that will assist in identifying the location of this plant on the plant site.</b></p>

Check this box if you have attached any additional information on the plant to Form A.

<b>3-2.5</b>	<b>Provide the Product Group Codes to describe products at this plant (see Supplement No. 2).</b>				

## FORM 3-2 Declaration of Schedule 3 Plant

Declaration and reporting requirements are set forth in Part 714 of the CWC Regulations (15 CFR 714).

Submit this form for each declared Schedule 3 plant at the plant site.

Note: Submitters that only have reporting requirements for exports or imports of a Schedule 3 chemical are not required to submit this form.

Submitters should assign a unique name to the plant and the plant site, and record the name in the appropriate boxes in the upper right-hand corner of Form 3-2. The Department of Commerce will provide each submitter with a unique code for each declared plant and plant site. These codes, "U.S. Plant Code" and "U.S. Plant Site Code," will be the primary means of identifying both a plant and a plant site after the first declaration is submitted and the Department of Commerce assigns the codes. The submitter should use these codes on all future declarations for a particular plant or plant site.

Questions 3-2.1 & 3-2.2: Provide the name and telephone and fax numbers of the owner and the operator or the occupant or the agent in charge of the plant.

Questions 3-2.1 & 3-2.2: Provide the building name or structure number, if any, used to designate the plant.

Question 3-2.4: Provide any additional information that will assist in identifying the location of this plant on the plant site (e.g., latitude and longitude, street address, landmarks).

Use Form A to identify any additional information (e.g., site diagrams, maps, drawings) that you are attaching to this declaration to locate this plant with reference to the declared coordinates. (Check the box if you are submitting an attachment to Form A.)

Question 3-2.5: For the main activities at your plant, provide one or more product group code(s) (Standard International Trade Classification (SITC) code) that describe the type of ultimate products manufactured at the plant.

<b>CWC SCHEDULE 3 CHEMICAL DECLARATION OR REPORT</b>		PLANT SITE NAME:  U.S. PLANT SITE OR TRADING COMPANY CODE (once assigned):
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**FORM 3-3 DECLARATION OR REPORT ON SCHEDULE 3 CHEMICAL**

**Submit this form to provide information on each Schedule 3 chemical. Use this form for all types of declarations and reports (past activities, anticipated or additionally planned activities, exports and imports, combined, and amendments).**

CAS REGISTRY NO.:	CHEMICAL NAME:	COMMON OR TRADE NAME(S)
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<b>3-3.1</b>	<b>Complete this question only for the Annual Declaration on Past Activities and Combined Declaration and Report</b>	
	a. Quantity <b>produced</b> in metric tons in the previous calendar year: <input type="checkbox"/> 30 to 200 <input type="checkbox"/> above 200 to 1,000 <input type="checkbox"/> above 1,000 to 10,000 <input type="checkbox"/> above 10,000 to 100,000 <input type="checkbox"/> above 100,000	b. Purposes(s) of <b>production</b> (check box(es)): <input type="checkbox"/> In-line consumption as produced (captive use) <input type="checkbox"/> Synthetic intermediate stored and/or used on site <input type="checkbox"/> Transfer to other company or industry

<b>3-3.2</b>	<b>Complete this question only for the Annual Declaration on Anticipated Activities and the Declaration on Additionally Planned Activities</b>	
	a. Anticipated <b>production</b> quantity in metric tons for the next calendar year: <input type="checkbox"/> 30 to 200 <input type="checkbox"/> above 200 to 1,000 <input type="checkbox"/> above 1,000 to 10,000 <input type="checkbox"/> above 10,000 to 100,000 <input type="checkbox"/> above 100,000	b. Anticipated Purposes(s) of <b>production</b> (check box(es)): <input type="checkbox"/> In-line consumption as produced (captive use): <input type="checkbox"/> Synthetic intermediate stored and/or used on site <input type="checkbox"/> Transfer to other company or industry

**If the plant site or trading company exported and/or imported this Schedule 3 chemical, provide the following information for each recipient or source destination**

Export		Import	
<b>3-3.3.1</b>	a. Quantity exported: <span style="float: right;">metric tons</span>	<b>3-3.4.1</b>	a. Quantity imported: <span style="float: right;">metric tons</span>
	b. Recipient Destination (see Supplement No. 3):		b. Source Destination (see Supplement No. 3):
<b>3-3.3.2</b>	a. Quantity exported: <span style="float: right;">metric tons</span>	<b>3-3.4.2</b>	a. Quantity imported: <span style="float: right;">metric tons</span>
	b. Recipient Destination (see Supplement No. 3):		b. Source Destination (see Supplement No. 3):
<b>3-3.3.3</b>	a. Quantity exported: <span style="float: right;">metric tons</span>	<b>3-3.4.3</b>	a. Quantity imported: <span style="float: right;">metric tons</span>
	b. Recipient Destination (see Supplement No. 3):		b. Source Destination (see Supplement No. 3):

If additional pages of Form 3-3 for exports and imports of this Schedule 3 chemical are attached, indicate the total number of pages as follows: page \_\_\_\_\_ of \_\_\_\_\_ (e.g., page x of y)

## FORM 3-3 Declaration or Report of Schedule 3 Chemical

Declaration and reporting requirements are set forth in Part 714 of the CWC Regulations (15 CFR 714).

You must submit a separate Form 3-3 for each Schedule 3 chemical and for all types of declaration and report (past activities, anticipated or additionally planned activities, exports and imports, combined declaration and report, and amended). NOTE: If you are submitting an ANNUAL DECLARATION ON ANTICIPATED OR ADDITIONALLY PLANNED ACTIVITIES, only complete question 3-3.2.

**Declared plant site:** If one or more plants on your plant site produced or is anticipated to produce more than 30 metric tons of a Schedule 3 chemical, your plant site is a declared plant site and you must complete questions 3-3.1 and 3-3.2. You may also complete questions 3-3.3 and/or 3-3.4 if you exported from or imported to your plant site more than 30 metric tons of the Schedule 3 chemical. (Note that the export or import 30 metric ton threshold is a plant site aggregate. The plant site must report exports and imports from or to all plants at the plant site exceeding 30 metric tons.)

NOTE: A plant site that is declared because of the production of one Schedule 3 chemical may also have reporting requirements for another Schedule 3 chemical that it did not produce, or produced under threshold, but that it exported or imported in quantities over 30 metric tons. In such a case, a COMBINED ANNUAL DECLARATION AND REPORT may be submitted and the plant site must submit a separate Form 3-3, but complete only questions 3-3.3 and/or 3-3.4 for that other Schedule 3 chemical.

**Undeclared plant site:** If no plant on your plant site produced more than 30 metric tons of any Schedule 3 chemical, but your plant site exported or imported more than 30 metric tons of a Schedule 3 chemical, you must submit Form 3-3, but only complete questions 3-3.3 and/or 3-3.4. (Remember that the export or import amount is an aggregate of exports from or imports to all plants on your plant site.)

**Trading company:** A trading company that exported or imported over 30 metric tons of a Schedule 3 chemical must submit Form 3-3, but only complete questions 3-3.3 and/or 3-3.4.

Enter in the upper right-hand corner of this form the name of the plant site or trading company or the U.S. Plant Site or Trading Company Code (once assigned) that was listed on the corresponding Form 3-1 (Schedule 3 Plant Site or Trading Company Identification). Submitters should use this code on all declarations for a particular plant site.

For each Schedule 3 chemical being declared, provide the CAS Registry Number, if assigned, Chemical Name, and Common or Trade Name.

**Question 3-3.1:** For the ANNUAL DECLARATION ON PAST ACTIVITIES, you must provide the production quantity range for each Schedule 3 chemical produced at the plant site in the previous calendar year and specify the purposes of production of the chemical by checking all of the appropriate categories. To calculate the

production range of a Schedule 3 chemical on your plant site, take the following steps:

1) Add the production amounts from all plants that individually produced more than 30 metric tons of the Schedule 3 chemical declared on this form. (Note: Do not count the production of this chemical from plants that individually did not exceed the production threshold of 30 metric tons.)

2) Determine the production range in question 3-3.1 and check the appropriate box to identify the range of production for the Schedule 3 chemical.

**Question 3-3.2:** For the ANNUAL DECLARATION ON ANTICIPATED ACTIVITIES, you must provide the production quantity range for each Schedule 3 chemical you anticipate will be produced at the plant site in the next calendar year and specify the anticipated purposes of production of the chemical by checking all of the appropriate categories. To calculate the production range for your plant site refer to the steps listed in Question 3-3.1, above.

After THE ANNUAL DECLARATION ON ANTICIPATED ACTIVITIES has been submitted, you must submit a DECLARATION ON ADDITIONALLY PLANNED ACTIVITIES if you plan that: a previously undeclared plant on your plant site will produce a Schedule 3 chemical above 30 metric tons; a declared plant will produce an additional Schedule 3 chemical above 30 metric tons; an increase to the production range of a Schedule 3 chemical by declared plants on your plant site will exceed the applicable inspection threshold; or an increase in the aggregate production of a Schedule 3 chemical at a declared plant site to an amount above the upper limit of the range previously declared.

**Questions 3-3.3 and 3-3.4:** For the ANNUAL REPORT OF EXPORTS AND IMPORTS or COMBINED ANNUAL DECLARATION AND REPORT (previous calendar year), complete questions 3-3.3 and/or 3-3.4, as appropriate.

To calculate the export and import amounts for your plant site or trading company and the source and recipient destinations, take the following steps:

1) Add all exports from your plant site or trading company. Plant sites must total exports from all plants on the plant site to obtain the plant site export aggregate. Add all imports to your plant site or trading company. Plant sites must total all imports to all plants on the plant site to obtain the plant site import aggregate.

2) Determine the total exports to each recipient destination. Determine the total imports from each source destination. (Use Supplement No. 3 identify the Destination Code.)

3) Indicate in questions 3-3.3 and/or 3-3.4, as appropriate, the number of metric tons of the Schedule 3 chemical exported to each recipient destination or imported from each source destination.

If there is insufficient space to record all of your export or import trade transactions, use additional copies of Form 3-3. Indicate the page number of each additional page and total number of pages of Form 3-3 for this chemical.





## FORM A Attachments for Schedule 3 Plant Site or Trading Company

Declaration and reporting requirements are set forth in Part 714 of the CWC Regulations (15 CFR 714).

Submit this form to list any attachments containing additional information (e.g., site diagrams, maps, drawings, chemical structural formula).

**PLANT SITE OR TRADING COMPANY NAME:** Enter the name of the plant site or trading company, and if assigned, enter its U.S. Plant Site or Trading Company Code.

**PLANT NAME:** If providing information on a plant, enter in column 1 the name of the plant, and once assigned, enter its U.S. Plant Code.

**FORM NUMBER:** In column 2, enter the form number to which this additional information refers.

**IDENTIFY ATTACHMENT:** In column 3, provide a description of the attachment and assign a unique name to it (e.g., site map). For structural formulas, provide the CAS Registry Number, if assigned, chemical name and/or common trade name.

Insert all attachments in an envelope and staple the envelope to Form A.

**CWC SCHEDULE 3  
FORM B**

**FORM B OPTIONAL COMMENTS**

<b>B.1.1</b>	Comments on form number _____, question number _____:
<b>B.1.2</b>	Comments on form number _____, question number _____:
<b>B.1.3</b>	Comments on form number _____, question number _____:
<b>B.1.4</b>	Comments on form number _____, question number _____:
<b>B.1.5</b>	Comments on form number _____, question number _____:
<b>B.1.6</b>	Comments on form number _____, question number _____:
<b>B.2.1</b>	General comments or suggestions:

## **FORMB Optional Comments**

Declaration and reporting requirements are set forth in Part 714 of the CWC Regulations (15 CFR 714).

Please use this form to record comments or suggestions. Use as many copies of this form as necessary. Submission of this form is optional, and the information provided will be used only by the Department of Commerce to improve the forms and the CWC reporting process.