

Allowance Transfer



This form is required to record a transfer of allowances under the Nox Budget Trading Program from one account to another in the NOx Allowance Tracking System (NATS). Upon receipt of a completed allowance transfer form, EPA will move the requested allowances from the transferor's account to the transferee's account. The Authorized Account Representative (AAR) should notify all persons who have an ownership interest in the allowances held in an account every time he or she makes a NOx Budget Trading Program submittal.

STEP 1

Enter account information about the transferor (in whose account the allowances currently reside

Transferor

NATS Account Number	
AAR Name	AAR ID Number
Address	
Phone Number	
Fax Number	

STEP 2

Enter account information about the transferee (into whose account the allowances are being transferred).

Transferee:

NATS Account Number	
AAR Name	AAR ID Number
Address	
Phone Number	
Fax Number	

STEP 3

Complete Step 4. The transferor AAR should read the certification, print name, and sign and date.

I am authorized to make this submission on behalf of the owners and operators of the NO_x Budget sources or NO_x Budget units for which the submission is made (or in the case of general accounts, the persons having an ownership interest with respect to the NO_x allowances held in the general account.) I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

Transferor:

Name	
Signature	Date

NATS Account Number (from page 1)

Start Number (12 digits)

End Number (12 digits)

Total

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STEP 4

List the allowances to be transferred by serial number (see example). You may specify single allowances or a series of allowances. In the "Total" column, enter the total number of allowances to be transferred. Enter each separate series or series with a different use date on a separate line.

EPA will not transfer allowances unless the allowances are in the transferor's account at the time EPA processes this request.

Further Details:
Enter the Start Number and End Number in the appropriate columns; EPA recommends that you select a start number or end number that represents the start or the end of a pre-existing series in the transferor's account, so that series of allowances are not segregated unnecessarily, as would occur if you chose an intermediate start or end number. Enter the number of allowances to be transferred in the "Total" column. Verify the accuracy of your entries by using one of the following simple equations:

Start Number = End Number ! Total + 1
 or
 End Number = Start Number + Total ! 1

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If you are transferring allowances for purposes of compliance with NOx Budget Trading Program requirements for a given control period, this form must be postmarked no later than the Allowance Transfer Deadline (November 30th of the year in which the control period falls).

U.S. Mail:
 U.S. Environmental Protection Agency
 Nox Budget Trading Program (6204J)
 Attention: NOx Allowance Tracking System 1200
 Pennsylvania Ave., N.W.
 Washington, D.C. 20460

Overnight Mail:
 U.S. Environmental Protection Agency
 NOx Budget Trading Program (6204J)
 Attention: NOx Allowance Tracking System
 1310 L Street, N.W.
 Washington, D.C. 20005

If you have any questions, please call the CAMD Hotline at 202-343-9620.

Paperwork Burden Estimate

The public reporting and recordkeeping burden for this collection of information is estimated to average 2 hours per response.

Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822), 1200 Pennsylvania Ave., NW., Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.