



# Instructions for General Account Form

*The Acid Rain Program CAIR Trading Programs (CAIR NO<sub>x</sub> Annual, CAIR SO<sub>2</sub>, and CAIR NO<sub>x</sub> Ozone Season), and Transport Rule Programs (TRNO<sub>x</sub> Annual, TRNO<sub>x</sub> Ozone Season, TRSO<sub>2</sub> Group 1, and TRSO<sub>2</sub> Group 2) regulations require any person, company, or organization wishing to open a general account for the purpose of holding and transferring allowances to submit a completed General Account form. You also may use this form to change the information previously submitted for a general account, such as the identity of the authorized account representative. In such cases, enter your allowance account identification number in the space provided at the top of the form. Note: A compliance account can only be established, and information concerning a compliance account can only be changed, by submitting a Certificate of Representation form.*

If you need assistance, call the Clean Air Markets Hotline at 202-343-9620.

**STEP 2** The owners may choose an alternate to act on behalf of the Authorized Account Representative.

**STEP 3** Identify all parties with an ownership interest in the allowances held in this account. All of these parties must be subject to a binding agreement authorizing the representation of the account by the authorized account representative, and, if applicable, the alternate authorized account representative, identified in Steps 1 and 2. If you (the authorized account representative) are the only person with an ownership interest in the allowances held in the account, list your name here. If additional space is needed, please attach a separate sheet of paper.

**STEP 4** If you are establishing a general account, both the authorized account representative and the alternate (if any) must sign and date the certifications. You are encouraged to use the CAMD Business System (CBS) to submit general account information online. To register for CBS, go to <https://camd.epa.gov/loginrequest/index.cfm>.

For more information see the applicable rule:

- Acid Rain: 40 CFR 73.31
- CAIR NO<sub>x</sub> Annual: 40 CFR 96.151 or 97.151 or the applicable State rule
- CAIR SO<sub>2</sub>: 40 CFR 96.251 or 97.251 or the applicable State rule
- CAIR NO<sub>x</sub> Ozone Season: 40 CFR 96.351 or 97.351 or the applicable State rule
- Transport Rule NO<sub>x</sub> Annual: 40 CFR 97.420
- Transport Rule NO<sub>x</sub> Ozone Season: 40 CFR 97.520
- Transport Rule SO<sub>2</sub> Annual: 40 CFR 97.620 or 97.720

## Paperwork Burden Estimate

The public reporting and recordkeeping burden for this collection of information is estimated to average 10 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 (2822T), 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.**



# General Account Form

For more information, see instructions.

This submission is:  New (to open a new general account)  
 Revised (to revise information on an existing general account)

This account is authorized to hold allowances in these programs:

- |  |  |
|--|--|
| <input type="checkbox"/> Acid Rain/CAIR SO <sub>2</sub> Trading        | <input type="checkbox"/> Transport Rule NO <sub>x</sub> Ozone Season Trading |
| <input type="checkbox"/> CAIR NO <sub>x</sub> Ozone Season Trading     | <input type="checkbox"/> Transport Rule SO <sub>2</sub> Group I Trading      |
| <input type="checkbox"/> CAIR NO <sub>x</sub> Annual Trading           | <input type="checkbox"/> Transport Rule SO <sub>2</sub> Group II Trading     |
| <input type="checkbox"/> Transport Rule NO <sub>x</sub> Annual Trading |  |

If you are opening a new allowance account, complete all steps in this form. If this is a revised submission, enter your account # and account name and complete Step 4 to authorize the change of information. Only the authorized account representative or alternate authorized account representative can authorize the change.

Account #
Account Name

**STEP 1**  
Enter requested information for the authorized account representative.

Name	Title
Company Name	
Mailing Address	
Phone Number	Fax Number
E-mail Address	

**STEP 2**  
Enter requested information for the alternate authorized account representative (required only if you want the general account to have an alternate authorized account representative).

Name	Title
Company Name	
Mailing Address	
Phone Number	Fax Number
E-mail Address	

**STEP 3**  
**Enter the names of all parties (persons or companies) subject to the binding agreement authorizing your representation of the account.**

Name
Name
Name
Name

**STEP 4**  
**Read the certifications and sign and date.**

Acid Rain Program

I certify that I was selected under the terms of an agreement that is binding on all persons who have an ownership interest with respect to allowances held in the Allowance Tracking System account. I certify that I have all necessary authority to carry out my duties and responsibilities on behalf of the persons with an ownership interest and that they shall be fully bound by my actions, inactions, or submissions under 40 CFR Part 73. I am authorized to make this submission on behalf of the persons with an ownership interest for whom this submission is made.

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 material information, including the possibility of fine or imprisonment for violations.

Clean Air Interstate Rule (CAIR) NO<sub>x</sub> Annual Trading Program

I certify that I was selected as the CAIR authorized account representative or the alternate CAIR authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to CAIR NO<sub>x</sub> allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the CAIR NO<sub>x</sub> Annual Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the CAIR NO<sub>x</sub> 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.

Clean Air Interstate Rule (CAIR) SO<sub>2</sub> Trading Program

I certify that I was selected as the CAIR authorized account representative or the alternate CAIR authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to CAIR SO<sub>2</sub> allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the CAIR SO<sub>2</sub> Trading Program on behalf of such persons and that each such person shall be fully bound by my

representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the CAIR SO<sub>2</sub> 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.

Clean Air Interstate Rule (CAIR) NO<sub>x</sub> Ozone Season Trading Program

I certify that I was selected as the CAIR authorized account representative or the alternate CAIR authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to CAIR NO<sub>x</sub> Ozone Season allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the CAIR NO<sub>x</sub> Ozone Season Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the CAIR NO<sub>x</sub> Ozone Season 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.

Transport Rule (TR) NO<sub>x</sub> Annual Trading Program

I certify that I was selected as the Transport Rule authorized account representative or the alternate CAIR authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to TR NO<sub>x</sub> allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the TR NO<sub>x</sub> Annual Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the TR NO<sub>x</sub> 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.

Transport Rule (TR) NO<sub>x</sub> Ozone Season Trading Program

I certify that I was selected as the Transport Rule authorized account representative or the alternate CAIR authorized account representative, as applicable, by an agreement

that is binding on all persons who have an ownership interest with respect to TR NO<sub>x</sub> Ozone Season allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the TR NO<sub>x</sub> Ozone Season Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the TR NO<sub>x</sub> Ozone Season 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.

#### Transport Rule (TR) SO<sub>2</sub> Trading Program Group I

I certify that I was selected as the Transport Rule authorized account representative or the alternate TR authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to TRSO<sub>2</sub> Group I SO<sub>2</sub> allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the TRSO<sub>2</sub> Group I SO<sub>2</sub> Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the TRSO<sub>2</sub> Group I SO<sub>2</sub> 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

#### Transport Rule (TR) SO<sub>2</sub> Trading Program Group II

I certify that I was selected as the Transport Rule authorized account representative or the alternate TRSO<sub>2</sub> authorized account representative, as applicable, by an agreement that is binding on all persons who have an ownership interest with respect to CAIR SO<sub>2</sub> allowances held in the general account. I certify that I have all the necessary authority to carry out my duties and responsibilities under the TRSO<sub>2</sub> Group II SO<sub>2</sub> Trading Program on behalf of such persons and that each such person shall be fully bound by my representations, actions, inactions, or submissions and by any order or decision issued to me by the Administrator or a court regarding the general account.

I am authorized to make this submission on behalf of the persons having an ownership interest with respect to the TRSO<sub>2</sub> Group II SO<sub>2</sub> 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.

Signature (Authorized Account Representative)	Date
Signature (Alternate Authorized Account Representative, if any)	Date

**STEP 5 (Optional)**  
**Respond to the**  
**questions by marking all**  
**appropriate boxes. (EPA**  
**will use this information**  
**for program evaluation**  
**purposes only.)**

Is the authorized account representative employed by an allowance brokerage firm?

- No
- Yes (if yes, please mark all boxes that apply)
  - This account will be used to transfer allowances between clients
  - This account will be used to hold allowances for investment purposes
  - This account will be used for other purposes

What types of business are represented by the owner(s) of allowances in this account (mark all boxes that apply)?

- Utility
- Non-Utility Generators of Electricity
- Industrial Boiler
- Fuel Supplier
  - \_\_\_\_\_ Coal                      \_\_\_\_\_ Oil
  - \_\_\_\_\_ Gas                        \_\_\_\_\_ Other
- Pollution Control Equipment Manufacturer or distributor
- Public Interest Group
  - \_\_\_\_\_ Consumer                \_\_\_\_\_ Other
  - \_\_\_\_\_ Environmental
- Other \_\_\_\_\_ →

**Submission  
Information**

**Mail to the following address:**

By regular/certified mail:

U.S. Environmental Protection Agency  
Clean Air Markets Division (6204J)  
Attn: Allowance Tracking System  
1200 Pennsylvania Avenue, NW  
Washington, DC 20460

Or overnight mail:

U.S. Environmental Protection Agency  
Clean Air Markets Division (6204J)  
Attn: Allowance Tracking System  
1310 L Street, NW  
Second Floor, Office 202B  
Washington, DC 20005  
(202) 343-9168