



# Acid Rain Program Instructions for Allowance Transfer Form (40 CFR 73.50 - 73.53)

*The Acid Rain Program regulations allow for the transfer of SO<sub>2</sub> emissions allowances between Allowance Tracking System (ATS) accounts, including transfers of allowances between contemporaneous future year subaccounts and between compliance subaccounts and current year subaccounts. You may transfer a portion of your allowance allocation or the entire allocation in perpetuity from a unit account to another account in the ATS. Upon receipt of a complete Allowance Transfer form, EPA will move the allowances from the transferor's account to the transferee's account.*

Type or complete the form in black ink. If you need more space, photocopy the pertinent page. When you have completed the form, indicate the page order and total number of pages (*e.g., 1 of 4, 2 of 4, etc.*) in the spaces provided in the upper right hand corner of each page.

Remember, under 40 CFR 72.21 and 73.33, you must notify the persons you represent in this transaction, either the owners or operators of the affected source and units, or persons with an ownership interest with respect to the allowances held, of all Acid Rain Program submissions.

EPA will accept Acid Rain Program submissions from either the authorized account representative (AAR) or the alternate AAR. (For unit accounts, the designated representative (DR) is the AAR and the alternate DR is the alternate AAR.)

If you need assistance, call the Acid Rain Hotline at 202-343-9620.

**STEP 4** If you are transferring allowances in perpetuity, note that the range of serial numbers for a unit's allocation is different beginning in the year 2000 because of the addition of Phase 2 units to the program, and again beginning in the year 2010, when certain set-aside and bonus allowance programs are terminated. You therefore must specify exactly which allowances are to be transferred for years 1995 through 1999, for years 2000 through 2009 and then for years 2010 and beyond.

**STEP 5** EPA will not transfer allowances unless the allowances are in the transferor's account at the time EPA processes this request.

List by serial number the allowances to be transferred. You may specify a series of allowances having a common use date by entering the serial number of the first allowance in the series in "Start Number" and entering the serial number of the last allowance in the series in "End Number." Separate series or series having a different use date must be entered on different lines.

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 computing one of the following simple equations reflecting the equivalent relationships:

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

*or*

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

## **Submission Instructions**

If you are transferring allowances for purposes of compliance with SO<sub>2</sub> emission reduction requirements for a given year, EPA must receive this form no later than the Allowance Transfer Deadline (midnight of March 1 of the next year.) Send to the following address:

U.S. Environmental Protection Agency  
Acid Rain Program (6204J)  
Attn: Allowance Tracking System

by regular/certified mail:  
1200 Pennsylvania Ave, NW  
Washington, DC 20460

or overnight mail:  
1310 L Street, NW  
Washington, DC 20005  
(202) 343-9150

## **Paperwork Burden Estimate**

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



**United States  
Environmental Protection Agency  
Acid Rain Program**

OMB No. 2060-0258

**Allowance Transfer**

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For more information, see instructions and refer to 40 CFR 73.50 - 73.53

**STEP 1**  
Enter account information about the transferor (in whose account the allowances currently reside)

**Transferor:**

ATS Account #
Authorized Account Representative (AAR) ID#
AAR Phone Number
AAR Fax Number

**STEP 2**  
Enter account information about the transferee (into whose account the allowances are being transferred)

**Transferee:**

ATS Account #
Authorized Account Representative (AAR) ID#
AAR Phone Number
AAR Fax Number

**STEP 3**  
Complete Steps 4 and 5. Both AARs 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 affected source or affected units or on behalf of the parties with an ownership interest with respect to the allowances held for which the 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 required statements and information, including the possibility of fine or imprisonment.

**Transferor:**

Name	
Signature	Date

**Transferee:**

Name	
Signature	Date

