



# SO<sub>2</sub> Allowance Offer Form (2016)

## EPA Allowance Auctions

For more information, see instructions and refer to 40 CFR 73.70 - 73.71

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### STEP 1

Enter offerer account information.

|                                              |
|----------------------------------------------|
| CBS Account #                                |
| Authorized Account Representative (AAR) Name |
| AAR Phone Number                             |

### STEP 2

Indicate the auction to which this offer applies (mark one only).

☐ Spot (first useable in 2016; may include 1995-2016 allowances) ☐ 7-Year Advance (first useable in 2023)

### STEP 3

List the allowances to be offered by serial number. You may specify single allowances or a block of allowances. In the total column, enter the total number

| Start Number | End Number | Total |
|--------------|------------|-------|
|              |            |       |
|              |            |       |
|              |            |       |

(Note: Only allowances with serial numbers beginning with 2016 or earlier years, or 2023 may be offered and must correspond to the box checked in Step 2.)

### STEP 4 (optional)

Enter your minimum acceptable price per allowance.

|           |
|-----------|
| \$ _____. |
|-----------|

### STEP 5

Mark the box if appropriate.

☐ I am not willing to sell fewer allowances than the number listed in Step 3.

### STEP 6

Enter your taxpayer identification, ABA routing, and bank account information.

|                      |                        |                                                             |
|----------------------|------------------------|-------------------------------------------------------------|
| _____<br>Taxpayer ID | _____<br>ABA Routing # | _____<br>Bank Account #, Bank Name,<br>City, State, and ZIP |
|----------------------|------------------------|-------------------------------------------------------------|

### STEP 7

Read the certification, enter your name as the authorized account representative or alternate authorized account representative, and sign and date.

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 required statements and information, including the possibility of fine or imprisonment.

|           |      |
|-----------|------|
| Name      |      |
| Signature | Date |

### Submission Information

This form must be received by the EPA no later than **close of business March 8, 2016**. Mail forms to the following address (do not send via regular or certified mail - the USPS will not deliver to this address).

Overnight mail (FedEx, UPS, DHL, etc.):  
Kenon Smith (6204M)  
U.S. Environmental Protection Agency  
1201 Constitution Avenue, NW  
7th Floor, Room 7421D  
Washington, DC 20004

Or Fax Bid Form to Kenon Smith at 202-343-2361.

If you fax the Offer Form, call Kenon Smith at 202-343-9164 to confirm the fax was received.



# Acid Rain Program

## Instructions for SO<sub>2</sub> Allowance Offer Form (2016) EPA Allowance Auctions (40 CFR 73.70 - 73.71)

EPA will hold auctions for spot and 7-year advance SO<sub>2</sub> emission allowances on March 29, 2016. In the spot auction, EPA will sell allowances first useable in 2016. In the 7-year advance auction, EPA will sell allowances first useable for compliance in 2023. Any holder of allowances may contribute allowances dated 2016 or earlier, or 2023 to the EPA auctions. **Allowances dated 2015 or earlier cannot be offered from facility accounts until final compliance has been run for the 2015 compliance year.** EPA will sell offered allowances after selling the allowances from the EPA reserve. You may specify a minimum acceptable price for your allowances, i.e., a price below which your allowances cannot be sold. Offered allowances must reside in your CAMD Business System (CBS) account at the time EPA processes this form.

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.) on each page in the spaces provided at the top right hand corner of the page.

EPA will accept Acid Rain Program submissions from either the authorized account representative (AAR) or the alternate AAR.

If you need assistance, call Kenon Smith at (202) 343-9164.

**STEP 2** A separate offer form is required for:

- each auction in which allowances are offered, and
- separate offers with different minimum prices.

(You may photocopy this form if you wish to make multiple offers.)

**STEP 3** List by serial number the allowances to be offered. You may specify a block of allowances having the same use year by entering the serial number of the first allowance in the block in "Start Number" and entering the serial number of the last allowance in the block in "End Number." Separate blocks having the same use year must be entered on different lines.

- Enter the Start Number and End Number in the appropriate columns.
- Enter the number of allowances to be offered in the "Total" column.
- Verify the accuracy of your entries by computing one of the following simple equations reflecting the equivalent relationships:

$$\text{Start Number} = \text{End Number} - \text{Total} + 1$$

or

$$\text{End Number} = \text{Start Number} + \text{Total} - 1$$

You will be prohibited from transferring the allowances you have offered for sale before the date of the auctions. If your allowances are not sold in the auctions, EPA will lift the transfer restriction on your offered allowances immediately following the auctions.

**STEP 4** You may specify a minimum sale price for your allowances. If bid prices are below this minimum, EPA will not sell your allowances.

**STEP 5** In the event that fewer allowances will be sold than are offered, EPA will sell a portion of your offered allowances to the bidder unless you indicate on the form that you are not willing to sell fewer allowances than the total(s) listed in Step 3.

**STEP 6** Include your 9 digit Taxpayer Identification number (e.g., social security number), ABA routing number, and bank account information so the money can be wired to your bank account if your allowances are sold. EPA uses the Automated Clearing House (ACH) payment system to make distributions, so make sure the ABA routing number is for ACH payments, not for wire transfers.

### Submission Instructions

EPA must receive completed Allowance Offer forms no later than close of business March 8, 2016. Mail the completed forms to the following address. (Do not send via regular or certified mail - the United States Postal Service will not deliver to this address.)

#### Overnight mail (FedEx, UPS, DHL, etc.):

Kenon Smith (6204M)  
U.S. Environmental Protection Agency  
1201 Constitution Avenue, NW  
7th Floor, Room 7421D  
Washington, DC 20004

### Or Fax Offer Form to Kenon Smith at 202-343-2361.

If you fax the Offer Form, call Kenon Smith at 202-343-9164 to confirm the fax was received.

### Paperwork Burden Estimate

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