Instructions for Reporting for the 2006 Partial Updating of the TSCA Chemical Inventory Database

U.S. Environmental Protection Agency
Office of Pollution Prevention and Toxics
Economics, Exposure and Technology Division

November 2006

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HIGHLIGHTS OF 2006 INVENTORY UPDATE REPORTING (IUR)

- Information from calendar year 2005 must be reported during the 2006 IUR submission period, August 25 to December 23, 2006 (40 CFR 710.53).

- Reporting is required for all chemical substances listed on the TSCA Inventory, both organic and inorganic, other than polymers, microorganisms, naturally occurring chemical substances, and certain forms of natural gas (40 CFR 710.45 and 710.46).

- The production volume threshold that triggers reporting has been raised from 10,000 pounds to 25,000 pounds (40 CFR 710.48(a)).

- For chemicals manufactured (including imported) at a site in amounts equal to or greater than 300,000 pounds, additional reporting of processing and use information is required (40 CFR 710.52(c)(4)).

- Partial reporting exemptions are provided for certain chemical substances termed "petroleum process streams" for purposes of IUR and for specific chemical substances where EPA has identified a low current interest in processing and use information related to the chemical. Only site identification and manufacturing information is required to be reported for these chemicals (40 CFR 710.46(B)(1)).

- Inorganic chemical substances are subject to IUR requirements for the first time in 2006. During the 2006 submission period, manufacturers of inorganic chemical substances are exempted from the requirement to report processing and use information that is otherwise required if a person manufacturers 300,000 lbs or more of an inorganic chemical substance (40 CFR 710.46(b)(3)).

- Chemical substances (other than naturally-occurring chemical substances) that are otherwise eligible for a partial or full exemption from reporting requirements are subject to full reporting requirements if they are the subject of any of certain TSCA actions (40 CFR 710.46). Many of these substances are listed in Appendix C.

- All information submitted in Inventory Update Reporting may be claimed as confidential. Additional information must be submitted to substantiate confidentiality claims related to chemical identity and plant site identity (40 CFR 710.58).

- Companies are encouraged to report to EPA using the 2006 IUR Electronic Reporting Software (eIUR). There is no minimum number of chemical substances required for electronic reporting.

- For questions concerning IUR reporting or to request additional forms, contact the TSCA Hotline, Monday through Friday, 8:30 am to 5:00 pm, Eastern Standard Time at (202) 554-1404. You may also contact the TSCA Hotline by email at tsca-hotline@epa.gov.

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PREFACE

On January 7, 2003 and December 19, 2005, the U.S. Environmental Protection Agency (EPA) promulgated final rules amending the Inventory Update Reporting (IUR) regulations (see 40 CFR part 710). Sites affected by the IUR rule are subject to the revised reporting requirements beginning in 2006 for manufacturing and/or importing activities conducted during the 2005 calendar year. The first reports are due by December 23, 2006. A reporting form (Form U) is available for sites to use when reporting to EPA. A copy of Form U is included in Appendix A of this document and is available on the IUR website at www.epa.gov/oppt/iur/. Reporting through the internet or on electronic media is encouraged.

The primary goal of this document is to help the regulated community comply with the requirements of the IUR regulations. This document does not substitute for those regulations, nor is it a regulation itself. It does not impose legally binding requirements on the regulated community or on EPA. Determinations regarding compliance with the IUR requirements will be based solely on the Toxic Substances Control Act (TSCA. section 8(a), 15 U.S.C. section 2607(a)) and the IUR regulations (40 CFR Part 710, subpart C).

This guidance document contains the following chapters and appendices:

- Chapter 1 - Introduction to IUR reporting and changes made since the 2002 reporting cycle.
- Chapter 2 – Reporting Requirements to determine which chemical substances are reportable, who must report, and what information must be reported.
- Chapter 3 - When you must report.
- Chapter 4 - Completing Form U.
- Chapter 5 – How to Assert Confidentiality Claims.
- Chapter 6 – How to Submit Your Form U to EPA.
- Chapter 7 – How to Obtain Copies of Documents Cited in This Guidance Document.
- Chapter 8 – How to Request Assistance with IUR reporting.
- Appendix A – Reporting Form.
- Appendix B - Glossary.
- Appendix C - Chemical Substances that are the Subject of Certain TSCA Orders, Proposed or Final TSCA Rules, or Relief Granted under Civil Actions.
- Appendix D – Chemicals Partially Exempt from Reporting in 2006.

- Appendix E – Descriptions of Codes for Reporting Industrial, Commercial, and Consumer Processing and Use Information.

1.0 Introduction

1.1 Background and Statutory Authority

In 1977, the U.S. Environmental Protection Agency (EPA) promulgated a rule under the Toxic Substances Control Act (TSCA) section 8(a), 15 U.S.C. 2607(a), to compile and keep current an inventory of chemical substances in commerce in the U.S. This inventory is called the TSCA Chemical Substance Inventory (TSCA Inventory). In 1986, EPA promulgated the Inventory Update Reporting (IUR) regulations, also under TSCA section 8(a), to facilitate the periodic updating of the TSCA Inventory database and to otherwise support activities associated with implementing TSCA. As originally promulgated, the IUR required chemical manufacturers (including importers) to report to EPA every 4 years the identity of chemical substances manufactured (including imported) annually in quantities of 10,000 pounds or more at each plant site they owned or controlled. In 2003 EPA adjusted the universe of chemicals and plant sites that are required to report, and the type of information reported. In 2005, EPA changed the reporting frequency to once every 5 years, revised the manner in which amounts of a chemical substance manufactured or imported must be reported, and changed the submission period for reporting after 2006.

This document, which pertains to EPA IUR reporting during 2006, updates the previous guidance issued for reporting in 2002 (EPA 749-B-02-001) to incorporate instructions relevant to the amendments to the IUR regulations promulgated on January 7, 2003 and December 19, 2005. It provides detailed information and examples to assist manufacturers and importers in reporting under the IUR. **However, this document is not a substitute for the IUR regulations in 40 CFR Part 710, subpart C.** To the extent that any inconsistencies exist between the IUR regulations and this document, the requirements as promulgated in the regulations should be followed. Manufacturers and importers of chemical substances should carefully review the IUR regulations to determine whether they are required to report and the information to be reported.

Persons required to comply with the IUR regulations should have a thorough understanding of the TSCA Inventory and the procedures available to determine whether a substance is included in the TSCA Inventory. Chapter 7 of this guidance document explains how to obtain copies of TSCA regulations and the non-confidential TSCA Chemical Substance Inventory.

1.2 Recent Changes to IUR Reporting Requirements

In 2003 and 2005, EPA made changes to the IUR requirements, which are highlighted in Table 1-1 and explained later in this document. In addition, EPA revised the IUR reporting form to incorporate these changes. Appendix A contains a sample of the reporting form for reporting in 2006.

Table 1-1. Changes Made to IUR Regulations by the 2003 and 2005 Amendments

Reporting threshold increased	The manufacture and/or import volume reporting threshold was raised from 10,000 lbs/yr to 25,000 lbs/yr (40 CFR 710.48(a)).
New threshold added	A larger-volume reporting threshold of 300,000 lbs/yr was added for the reporting of processing and use information (40 CFR 710.52(c)(4)).
Reporting of manufacturing exposure-related information added	New data elements include: (1) the number of workers (in ranges) reasonably likely to be exposed to the chemical substance at the site of manufacture or import, (2) the physical form(s) of the substance as it is sent off-site, (3) the percentage (rounded to the closest 10%) of the total production volume associated with each physical form, and (4) the maximum concentration (within a range) of the chemical substance at the time it is reacted onsite to produce a different chemical substance or as it is sent off-site (40 CFR 710.52(c)).
Reporting of industrial, commercial, and consumer exposure-related information added	New data elements to be reported by certain larger-volume (i.e., 300,000 lbs/yr or more) manufacturers (including importers) include: Industrial Processing and Use Information (40 CFR 710.52(c)(4)(i)) • Type(s) of industrial processing or use operation at each site and at downstream sites. • North American Industrial Classification System (NAICS) code(s) that best describe the industrial activities associated with the processing or use of the substance. • Industrial function categories of the chemical substances during the processing or use operation for each NAICS code reported. • Information associated with each processing or use operation/NAICS/industrial function category combination: – Percentage of production volume; – Number of processing and use sites; and – Number of workers reasonably likely to be exposed. Commercial and Consumer Use Information (40 CFR 710.52(c)(4)(ii)) • Commercial and consumer product category of use. • Indication of the presence of the substance in consumer products intended for use by children up to the age of 14. • Percentage of production volume associated with each commercial and consumer product category. • Maximum concentration of the chemical substance in each commercial and consumer product category.
Reporting requirements for site identity added	The county or parish in which the site is located must now be reported (40 CFR 710.52(c)(2)(i)).
Technical contact information	The name of a person who will be able to answer questions about the information submitted to EPA must be provided along with that person's full mailing address, telephone number and e-mail address (40 CFR 710.52(c)(2)(i)).
Reporting of inorganic chemical substances added	In 2006, submission of IUR information on inorganic chemical substances will be required for the first time. For 2006 reporting, a partial reporting exemption for inorganic chemical substances is in place (i.e., no reporting of industrial, commercial, and consumer processing and use information is required for these chemicals). In future years, manufacturers must fully report industrial processing and use and commercial and consumer use information for these substances if they manufacture (including import) 300,000 lbs. or more of a substance at a site during calendar year 2005 and calendar years at 5-year intervals thereafter (40 CFR 710.46(b)(3)).
Natural gas exemption added	A full exemption from IUR reporting for certain forms of natural gas was added (40 CFR 710.46(a)(4)).

Table 1-1. Changes Made to IUR Regulations by the 2003 and 2005 Amendments

Petroleum process stream partial exemption added	A partial reporting exemption was created for certain listed chemical substances which are termed "petroleum process streams" for purposes of IUR (40 CFR 710.46(b)(1)).
Specific chemical substances partial exemption added	A partial exemption was created for specific chemical substances where EPA identified that there is a low current interest in the IUR processing and use information related to the chemical substance (40 CFR 710.46(b)(2)).
Records retention period extended	The records retention period was extended from 4 to 5 years (40 CFR 710.57).
Reporting period changed	The period for which reporting is required was changed from a corporate fiscal- year basis to a calendar-year basis (40 CFR 710.52).
Reporting frequency changed	Reporting is required for information generated during calendar year 2005 and for calendar years at 5-year intervals thereafter. Previously, reporting was required every 4 years.
Submission Period Changed	In 2006, the submission period remains August 25 to December 23. In 2011 and subsequent years at 5-year intervals thereafter, the submission period will be June 1 to September 30.
Up-front substantiation for plant site CBI claims required	Up-front written substantiation of plant site identity confidentiality claims is now required for IUR submissions to EPA (40 CFR 710.58(c)). This requirement is similar to the up-front substantiation requirement that has been required in the past for chemical identity claims.

2.0 Reporting Requirements

This chapter explains the reporting requirements for the 2006 IUR reporting cycle. Reporting requirements have changed since the last IUR reporting cycle in 2002. There are three steps to consider in determining your reporting requirements for each chemical substance that you manufacture in or import into the United States:

- Step I: Is your chemical substance subject to the IUR regulation?
- Step II: Are you a manufacturer (or importer) who is required to report?
- Step III: Determine what information must be reported.

Figure 2-1 is a decision logic diagram summarizing these steps.

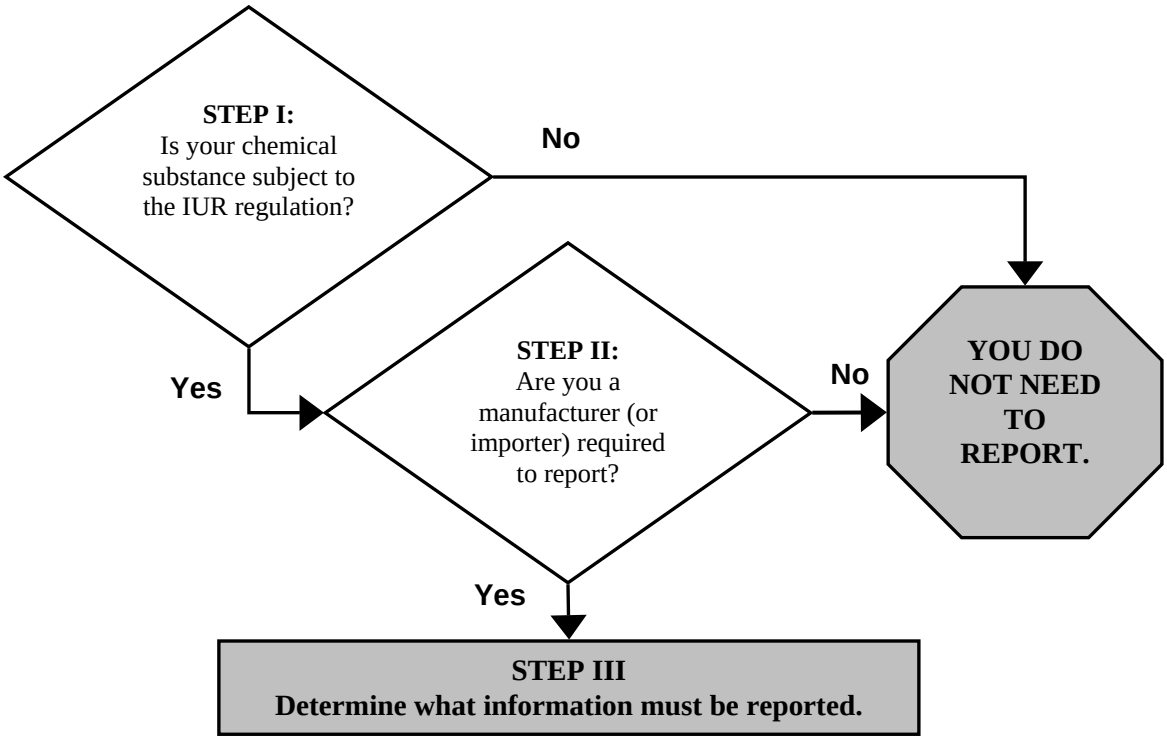

Figure 2-1. Decision Logic Diagram for Determining Your IUR Reporting Requirements

This chapter discusses each of these steps and the associated reporting requirements in more detail. Appendix A contains a sample Form U and Appendix B provides definitions of certain terms used for IUR reporting.

2.1 Step I: Is Your Chemical Substance Subject to the IUR regulation?

Reporting is generally required in 2006 under the IUR regulations for a chemical substance that is manufactured or imported if the chemical substance is in the TSCA Inventory as of August 25, 2006 and not specifically exempted by 40 CFR 710.46. The following three questions may assist you in determining if you must report when you manufacture or import a chemical substance:

- Is your substance included in the TSCA Inventory?
- Is your substance exempt from reporting because it is a polymer, a microorganism, an exempt form of natural gas, or a naturally occurring chemical substance?
- If your substance is generally exempt from reporting in accordance with the IUR regulation, must you nevertheless report because your substance is the subject of any of certain actions under TSCA?

Figure 2-2 presents a decision logic diagram to assist you in answering these questions. The following subsections explain each question in greater detail.

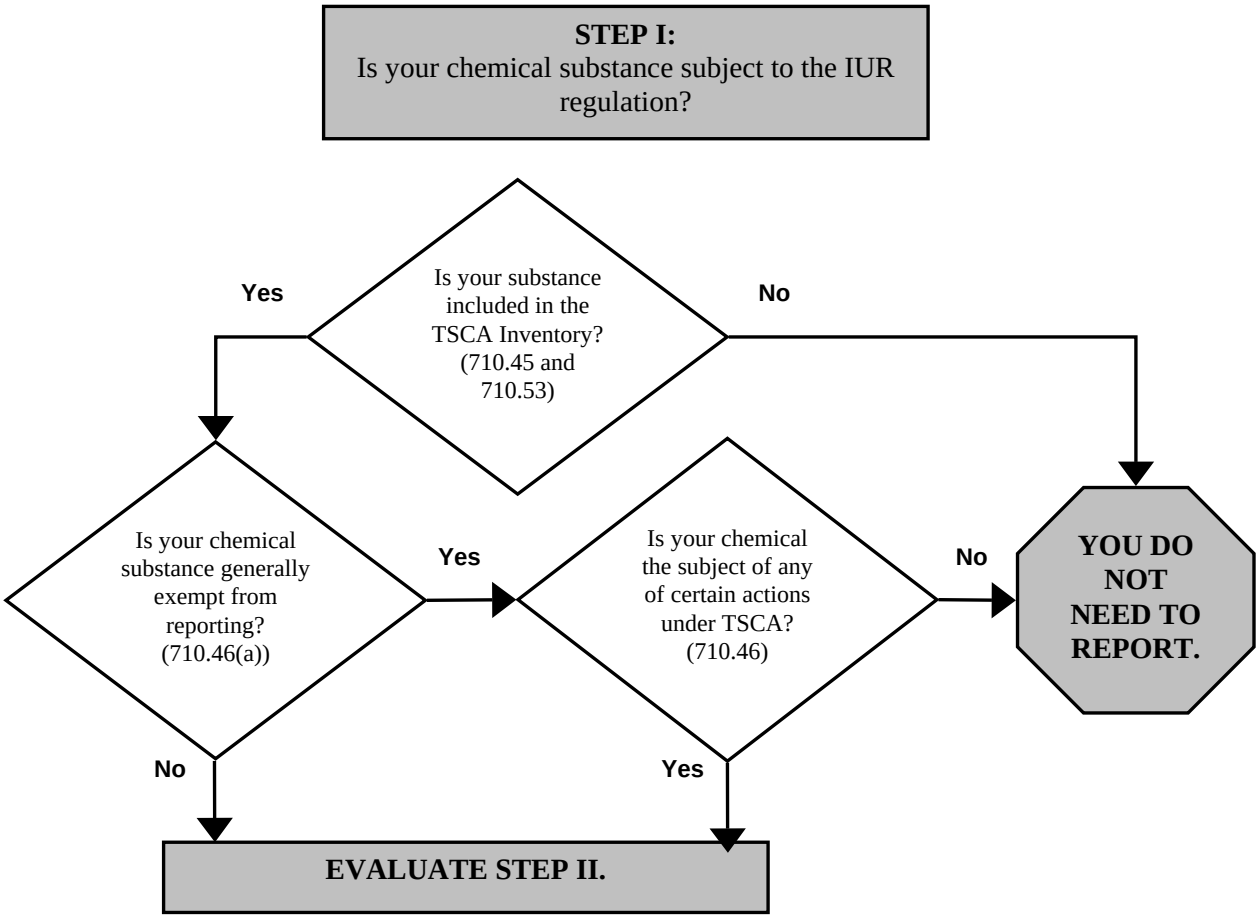

Figure 2-2. Decision Logic Diagram for Evaluating Step I

2.1.1 Is Your Chemical Substance in the TSCA Inventory?

The following subsections provide information to determine if your chemical substance is listed in the TSCA Inventory.

2.1.1.1 What is the TSCA Inventory?

Authorized by section 8(b) of TSCA, the TSCA Inventory is a list of chemical substances manufactured or imported for commercial purposes in the United States. The TSCA Inventory was originally compiled from reports submitted in 1978 and 1979 by manufacturers, importers, and certain processors of chemicals in commerce during those years. Subpart A of 40 CFR Part 710 prescribes criteria for including a substance in the TSCA Inventory. New chemical substances are added to the TSCA Inventory when companies that have submitted Premanufacture Notifications (PMNs) to EPA under section 5 of TSCA notify EPA that they have begun to manufacture or import the chemical substance (under 40 CFR 720.102).

EPA keeps a Master Inventory File, which is the authoritative list of all the chemical substances reported to EPA for inclusion in the TSCA Inventory. EPA also makes the non-confidential portion of the Inventory file, commonly referred to as the Public Inventory, available to the general public. The Public Inventory does not contain the specific identities of chemical substances that have been claimed as TSCA Confidential Business Information (CBI); it only contains generic chemical names for these confidential chemical substances. See Chapter 7 of this document for information on obtaining copies of the Public Inventory.

2.1.1.2 How Do You Determine if a Chemical Substance is Listed in the TSCA Chemical Substance Inventory?

The following methods may help you determine if your chemical substance is listed in the TSCA Inventory:

- Locate the substance in the public portion of the TSCA Inventory (see Chapter 7 for more information);
- Search company records to determine if the substance was previously reported to EPA under the IUR;
- Search company records for a PMN or other communication with EPA that confirmed the substance was in the TSCA Inventory; and
- Search company records for a Notice of Commencement of manufacture or import for a PMN substance that was submitted to EPA.

Several commercial databases have incorporated the public portion of the TSCA Inventory (which excludes substances with confidential identities) and can indicate whether a given chemical substance is included in that portion of the TSCA Inventory. Because these databases are not generated or reviewed by EPA, the Agency cannot guarantee the accuracy of the information in these databases. If a commercial database that you use fails to include all reportable chemicals and, as a result, you fail to report information for these chemicals, you may be in violation of TSCA (40 CFR 710.1(c)). Note that **hydrates** are not listed in the TSCA Inventory; however,

> **Hydrates** are not listed in the TSCA Inventory. However, you may be required to report using the CAS registry number of the corresponding **anhydrous** form. Adjust the reported production volume to exclude water.

you are required to report using the CAS registry number of the corresponding **anhydrous** form if the production volume of the anhydrous form and other requirements which trigger reporting are met.

2.1.2 Is Your Chemical Substance Excluded from Reporting?

Four groups of substances, though included in the TSCA Inventory, are largely excluded from reporting under the IUR regulation. These groups are polymers, microorganisms, certain forms of natural gas, and naturally occurring substances. Refer to 40 CFR 710.46(a) for precise definitions of these groups. Polymers, certain forms of natural gas, and microorganisms are not excluded from reporting when they are the subject of any of certain TSCA actions. See Section 2.1.3 for more details.

> **Polymers, microorganisms,** and **certain forms of natural gas**, are not excluded from reporting when they are the subject of any of certain TSCA actions. See Section 2.1.3 for more details.

Certain petroleum process streams and other chemical substances listed in 40 CFR 710.46(b) are generally partially exempt from IUR reporting, i.e. processing and use information need not be reported for these chemicals. Inorganic substances, which were previously excluded, are no longer excluded from IUR reporting; however, inorganic substances are exempt from the requirement to report processing and use information for the 2006 submission period only. See Section 2.3.2 for further information. With the exception of naturally occurring substances, any substance that is the subject of any of certain TSCA or of certain other TSCA actions is not exempt and full reports including processing and use information must be submitted for these chemical substances. See 40 CFR 710.46 and section 2.1.3 of this document for further information.

To help identify substances that are exempt from reporting under the IUR regulation, EPA has labeled most of these substances in the TSCA Inventory with an "XU" flag. Note that you are advised to use the flag only as a guide; submitters are responsible for verifying exemptions. Also note that if a chemical with an XU flag subsequently becomes the subject of any of certain TSCA actions, the substance is subject to the reporting requirements notwithstanding the XU flag. If a substance does not bear an "XU" flag and section 710.46 of the IUR regulation does not provide sufficient guidance to determine whether the substance is exempt, contact the TSCA Hotline at (202) 554-1404 for assistance. Flags only apply to fully exempt substances; partially exempt substances are not flagged.

2.1.2.1 Polymers

Polymers are typically exempt from IUR reporting. The IUR definition of polymer is sufficiently broad to include virtually all those substances that are generally considered polymers. These polymers include siloxanes and silicones, silsesquioxane, rubber, lignin, polysaccharides (such as starch and gums), proteins (such as gelatin and hemoglobin), and enzymes. However, substances that result from hydrolysis, depolymerization, or chemical modification of polymers, regardless of the extent of these processes, so that the final products are no longer polymeric (e.g., a mixture of amino acids that is the result of hydrolysis of a polypeptide) are not considered to be polymers and must be reported if not otherwise excluded

(40 CFR 710.46(a)(1)). See 40 CFR 710.46(a)(1) for the definition of polymers for purposes of the IUR regulation.

2.1.2.2 Microorganisms

Microorganisms are exempt from IUR reporting. A microorganism is any combination of chemical substances that is a living organism and that meets the definition of "microorganism" at 40 CFR 725.3. Any chemical substance produced from a living microorganism is reportable unless otherwise excluded (40 CFR 710.46(a)(2)).

2.1.2.3 Certain Forms of Natural Gas

Table 2-1 identifies certain forms of natural gas that are exempt from IUR reporting (see 40 CFR 710.46(a)(4)); this exemption is new as of the 2006 reporting cycle.

Table 2-1. Chemical Substances Covered by the Exemption for Certain Forms of Natural Gas

Form of Natural Gas	CAS Number
Natural gas (petroleum), raw liquid mix	64741-48-6
Natural gas condensates	68919-39-1
Gasoline natural	8006-61-9
Gasoline (natural gas), natural	68425-31-0
Natural gas	8006-14-2
Natural gas, dried	68410-63-9

2.1.2.4 Naturally Occurring Substances

Chemical substances that are described in 40 CFR 710.4(b) of the TSCA Inventory regulations are considered "naturally occurring" and are automatically included in the TSCA Inventory but are not reportable under IUR if the substance is produced by means described in the rule. Examples of substances that are typically naturally occurring materials are raw agricultural commodities, water, air, crude oil, rocks, ores, and minerals. However, because the section 710.4(b) exemption is process-specific rather than chemical-specific, if you manufacture any substance in a manner other than as described in section 710.4(b), you are required to report it unless it is otherwise exempted (40 CFR 710.46(a)(3)). For this reason, minerals and certain agricultural products are sometimes considered not to be naturally occurring because of the means by which they are produced.

Further, section 710.46(a)(3) exempts from IUR reporting any chemical substance that is isolated/removed from nature for a commercial purpose by the means specified in section 710.4(b). It also exempts any other chemical substance derived or separated from the substance originally removed from nature, provided such derivation involved only the means specified in that section (e.g., manual, mechanical, or gravitational separation, by dissolution in water, by flotation, or by heating solely to remove water). Whether a substance is considered "naturally occurring" depends on the manner in which it is produced and isolated. Table 2-2 presents some examples of evaluating the naturally occurring substance exemption.

Table 2-2. Examples of Evaluating Substances for the Naturally Occurring Exemption (40 CFR 710.46(a)(3))

•	Calcined clays formed by heating naturally occurring clay typically must be reported because such heating is generally not done solely to remove water; a chemical change is primarily intended.
•	Substances that are removed/isolated from nature by physical or natural means are typically considered to be "naturally occurring." Using water to extract a chemical substance from a naturally occurring substance is considered a natural means of removal. However, using any other solvent is not considered a natural means of removal.
•	In an electrostatic separation, small particles are removed from a liquid or gas stream. The process is essentially analogous to filtration or gravitational separation. Substances that are processed by this means are considered to be "naturally occurring."
•	Mined coal is typically included in the naturally occurring substances category.
•	Ammonia and nitric acid are generally produced by chemical synthesis and are, therefore, generally not considered to be "naturally occurring."

2.1.3 Must Your Chemical, which is Generally Exempt, nevertheless be Reported?

With the exception of naturally occurring substances, a chemical substance that falls into any of the groups of chemicals generally exempted from reporting must still be reported if it is the subject of any of the following: a rule proposed or promulgated under sections 4, 5(a)(2), 5(b)(4), or 6 of TSCA; an order issued under TSCA sections 5(e) or 5(f); or relief that has been granted under a civil action under TSCA sections 5 or 7 (40 CFR 710.46). Appendix C provides assistance in determining which chemical substances are included in these groups. However, if you are unable to determine whether the specific chemical substance you manufacture or import is listed in Appendix C, you can contact EPA to see if the specific substance is reportable (see Chapter 8 for contact information).

2.2 Step II: Are You a Manufacturer Who Is Required to Report?

If you manufacture or import (including companies that manufacture or import solely for export) a chemical substance that is generally reportable under the IUR, you may nevertheless be exempt from the reporting requirements for that substance. The following questions may help you determine whether you must report:

- Did you manufacture or import 25,000 pounds or more of the reportable substance at any single site during the reporting year (i.e., during 2005)?
- Do you qualify as a small manufacturer with respect to the chemical substance?
- Do you qualify for any other reporting exemptions?

Figure 2-3 presents a decision logic diagram to assist you in answering these questions. The following subsections explain each question in greater detail.

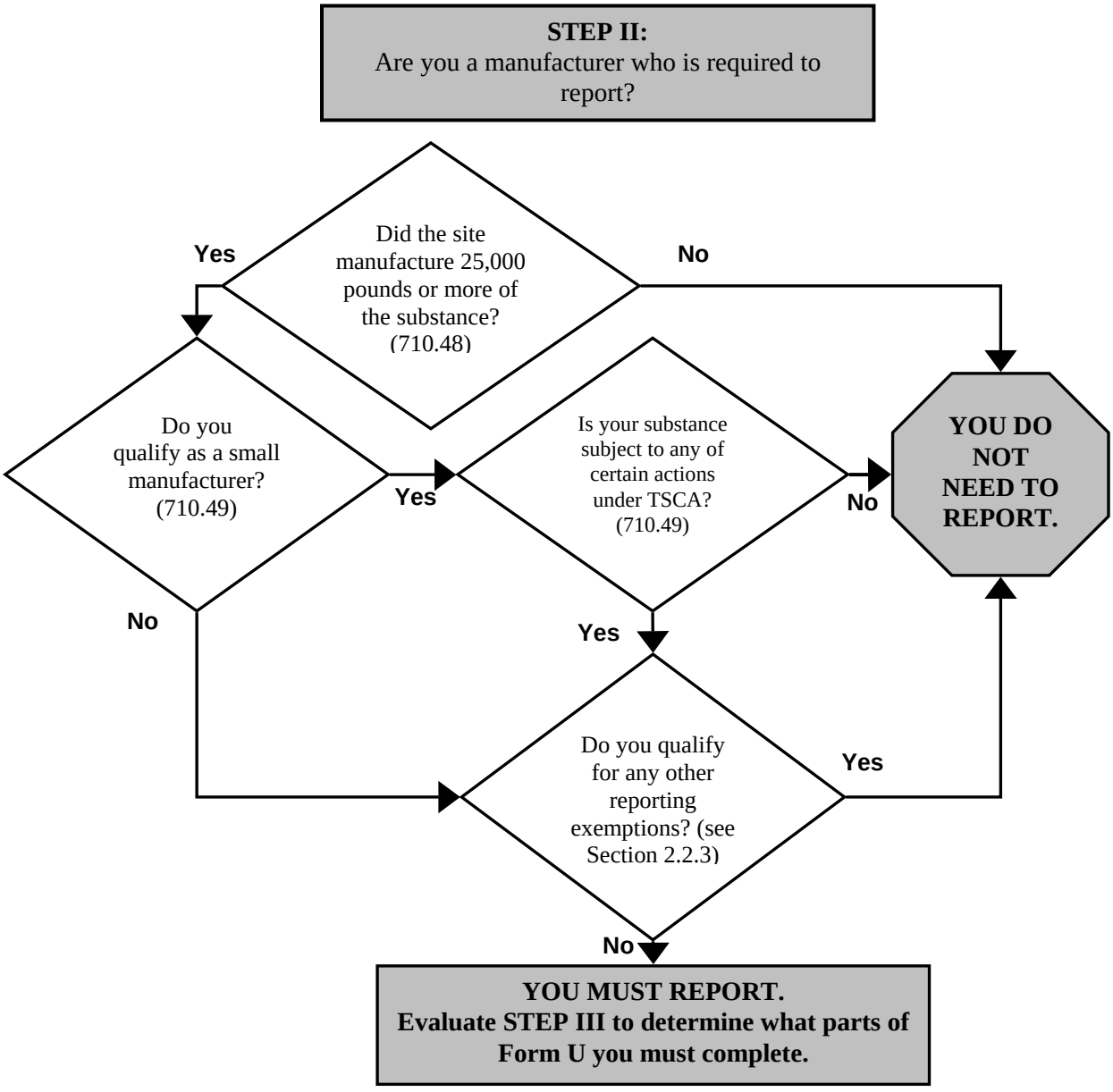

Figure 2-3. Decision Logic Diagram for Evaluating Step II

2.2.1 Did You Manufacture the Reportable Substance in Quantities of 25,000 Pounds or More?

If you manufactured (including imported) 25,000 pounds or more of a reportable chemical substance at any single site you owned or controlled during the calendar year immediately preceding the submission period (i.e. calendar year 2005 which proceeds the 2006 submission period), you are subject to reporting (40 CFR 710.48(a)).

"Manufacture" means to import, produce, or manufacture with the purpose of obtaining an immediate or eventual commercial advantage. This includes, for example, manufacturing or importing any amount of a chemical substance for commercial distribution (including test

marketing), manufacturing solely for export, or manufacturing for use by the manufacturer, including use for product research and development or as an intermediate (40 CFR 710.3)).

2.2.1.1 Meeting the 25,000-Pound Annual Production Volume Threshold

You must submit an IUR report for a chemical substance only if you manufactured (including imported) 25,000 pounds or more of the substance at any single site you owned or controlled during 2005. Moreover, if during calendar year 2005 you manufactured 25,000 pounds or more of the substance at some sites and less than 25,000 pounds at other sites, you will need to submit IUR reports for the substance only for those sites at which you manufactured (including imported) 25,000 pounds or more in 2005 (40 CFR 710.48). Some companies may both manufacture and import the same substance. These companies should add together the manufactured and imported volumes at each site to determine whether the amount of the chemical substance meets or exceeds the 25,000-pound threshold. For importers, the site at which a chemical is imported is described in 710.48(b) and section 2.2.1.2 of this document.

Table 2-3 provides examples of how the annual production volume reporting requirement applies.

Table 2-3. Annual Production Volume Threshold Examples

Description	2006 Reporting Requirement
Company A, which has only one manufacturing site, manufactured 26,000 pounds of Chemical X, which is not exempt from reporting, at its site in 2005.	Company A must report for Chemical X because it manufactured 25,000 pounds or more of Chemical X in 2005.
Company B, which has only one manufacturing site, manufactured 26,000 pounds of Chemical X at its site in 2004 and 20,000 pounds of Chemical X in 2005.	Company B is not required to report for Chemical X because it manufactured less than 25,000 pounds of Chemical X in 2005.
Company C has two manufacturing sites for Chemical X. In 2005, Site 1 manufactured 13,000 pounds of Chemical X and Site 2 manufactured 15,000 pounds of Chemical X.	Company C is not required to report for Chemical X at either site because 2005 production was less than 25,000 pounds at each site.
Company D has two manufacturing sites for Chemical X. In 2005, Site 1 manufactured 10,000 pounds of Chemical X and Site 2 manufactured 150,000 pounds of Chemical X.	Company D is not required to report for Chemical X for Site 1 because 2005 production was less than 25,000 pounds, but must report for Chemical X at Site 2 because at this location production was 25,000 pounds or more in 2005.
Company E has one site where it imports and manufactures Chemical X. Company E manufactured 21,000 pounds of Chemical X and imported 5,000 pounds of Chemical X in 2005.	Company E must report for Chemical X because the total produced at and imported by its site in 2005 was 25,000 pounds or more.

In many cases, reportable substances are components of a mixture. Although mixtures are not reportable, the chemical substances making up a mixture may be reportable. If you manufacture or import chemical substances as part of a mixture, you would determine your IUR reporting requirements with respect to each substance in the mixture.

Importers (*See* 40 CFR 710.3(d)) must identify each substance in mixtures that are imported to determine whether those substances are reportable under IUR. For those substances that are reportable, the importer must determine the amount of the substance in the mixture

(40 CFR 710.4). One method by which this determination can be made is to use the weight and composition of the imported mixture to calculate the imported amount of each substance in the mixture. For each imported chemical substance, the importer could aggregate the amounts of the chemical substance in all imports received at the reporting site as defined in section 710.48(b) and add the amount of the chemical produced at the same site in the United States, if any, to determine if the amount of the chemical produced and imported meets the 25,000 pounds or more threshold. Note, however, that a chemical substance that is imported solely in small quantities for research and development, as an impurity, as part of an article, or in certain other forms (see 40 CFR 720.30(g) and (h)) is not subject to the IUR reporting requirements (40 CFR 710.50(b)).

2.2.1.2 Special Provisions for Importers

The site where you import a chemical substance is considered the site of the operating unit within your organization that is directly responsible for importing the substance and controls the import transaction. In some cases, the import site may be the organization's headquarters in the United States (40 CFR 710.48(b)). Although for a given substance that your company imports at a given site more than one person may meet the definition of "importer" (40 CFR 710.3(d)), only one person should report. See 40 CFR 710.55(b).

2.2.2 Are You a Small Manufacturer?

Small manufacturers are exempt from IUR requirements unless they manufacture or import 25,000 lbs. or more of a chemical substance that is the subject of a rule proposed or promulgated under section 4, 5(b)(4), or 6 of TSCA, or is the subject of an order in effect under section 5(e) of TSCA, or is the subject of relief that has been granted under a civil action under section 5 or 7 of TSCA (40 CFR 710.49). Appendix C provides assistance with determining which substances fall into these groups.

Example 2-1. The headquarters of your company is located in New Town. The company owns a plant site located in Old Town, which is in a different state. A headquarters employee purchases and arranges to have 500,000 pounds of Chemical X imported from Japan to the Old Town plant site. The headquarters site controls the import transaction and is the site reported on Form U.

Example 2-2. The headquarters of your company is located in New Town. The company owns three manufacturing sites, Sites 1, 2, and 3, all located in different states. An employee based at headquarters purchases and arranges to have 500,000 pounds of Chemical X imported from Japan. 20,000 pounds is delivered to Site 1; 180,000 pounds is delivered to Site 2; and 300,000 pounds is delivered to Site 3. The headquarters in New Town is the site responsible for all 500,000 pounds imported.

You qualify as a small manufacturer if you meet either of the following criteria (40 CFR 704.3):

- Your total annual sales, combined with those of your parent company, domestic or foreign (if any), are less than $4 million regardless of annual production volume.

- Your total annual sales, combined with those of your parent company, domestic or foreign (if any), are less than $40 million and your annual production volume of that substance does not exceed 100,000 pounds at any individual plant site. If the annual production volume of the substance at any of your sites is over 100,000 pounds, you are required to report only for those sites. Note that under this criterion, it is possible to qualify as a small manufacturer with respect to some substances and not others or with respect to some plant sites and not others.

For purposes of the definition of a small manufacturer, total annual sales include all sales of the company, not just the total sales of a given chemical. Table 2-4 provides examples of how the small manufacturing exemption applies.

Table 2-4. Small Manufacturer Exemption Examples (40 CFR 710.48)

Description	2006 Reporting Requirement
Site 1, which is one of several sites owned by Company A, had a production volume of 120,000 pounds of Chemical X in 2005. The total annual sales of Company A (all sites combined) were $1,250,000 in 2005.	Site 1 is not required to report for Chemical X because combined sales in 2005 did not exceed $4 million.
Site 2, which is one of several sites owned by Company B, had a production volume of 90,000 pounds of Chemical X in 2005. The total annual sales of Company B (all sites combined) were $20,000,000 in 2005. None of the other sites produce Chemical X.	Site 2 is not required to report for Chemical X because annual production volume of that chemical did not exceed 100,000 pounds at any of Company B's sites, and Company B had total annual sales of less than $40 million.
Site 3, which is one of several sites owned by Company C, had a production volume of 200,000 pounds of Chemical X in 2005. Site 4, another site owned by Company C, had a production volume of 75,000 pounds of Chemical X in 2005. The total annual sales of Company C (all sites combined) were $30,000,000 in 2005.	Company C must report for Chemical X at Site 3 because annual production volume at Site 3 exceeded 100,000 pounds. Company C is not required to report for Chemical X at Site 4 because annual production volume at site 4 did not exceed 100,000 pounds and total annual sales were less than $40 million.
Site 5, which is one of several sites owned by Company D, had a production volume of 50,000 pounds of Chemical X in 2005. The total annual sales of Company D (all sites combined) were $100,000,000 in 2005.	Company D must report for Chemical X at Site 5 because total annual sales in 2005 exceeded $40 million.
Site 6, which is one of several sites owned by Company E, had a production volume of 120,000 pounds of Chemical X in 2005. The total annual sales of Company E (all sites combined) were $1,250,000 in 2005. Chemical X is subject to a test rule.	Site 6 is required to report for Chemical X. Even though combined sales are less than $4 million, this chemical is subject to a test rule and therefore must be reported.

2.2.3 Do You Qualify for Any Other Reporting Exemptions?

If you manufacture or import reportable substances solely under the following circumstances, you are not required to report for those substances under the IUR:

- The chemical substance is imported as an article or part of an article. An *article* is defined in 40 CFR 710.3(d) as "a manufactured item (1) which is formed to a specific shape or design during manufacture, (2) which has end-use function(s) dependent in whole or in part upon its shape or design during end use, and (3) which has either no change of chemical composition during its end use or only those changes resulting in compositions which have no commercial purpose separate from that of the article and that may occur as described in section 710.4(d)(5); except that fluids and particles are not considered articles regardless of shape or design." EPA considers imported items articles if they are manufactured in a specific shape or design for a particular end-use application and this design is maintained as an essential feature in the finished product. Thus, EPA views materials such as metal or plastic sheets, wire, coated fabric, rolled carpet, sheets of plywood, and other similar materials as articles, even if, for example, subsequent to import they are rolled or drawn thinner, cut, printed, laminated, or thermoformed, so long as they meet the above definition. Substances that are part of such articles are not subject to reporting under the IUR. If an item is manufactured in a particular shape for the purpose of shipping convenience and the shape has no function in the end use, it would not be considered an article. Thus, chemical substances that are part of items such as metal ingots, billets, and blooms are subject to reporting under the IUR.

- The chemical substance is manufactured or imported solely in small quantities for research and development (40 CFR 710.50(a)).

- The chemical substance is manufactured as an impurity, a non-isolated intermediate, or in any of the other forms identified in 40 CFR 720.30(g) and (h) (See 40 CFR 710.50(c)).

- If between August 25, 2005, and August 24, 2006, you submitted all of the information required by the IUR in response to another rule promulgated under section 8(a) of TSCA (such as the Preliminary Assessment Information Reporting (PAIR) rule at 40 CFR part 717, subpart B), you are not required to report the same information under IUR for the same substance during 2006 (40 CFR 710.55(a)).

Table 2-5 presents examples of these circumstances.

Table 2-5. Examples of Manufacturing/Importing Activities Under Circumstances Which Do/Do Not Require Reporting

Description	2006 Reporting Requirement
Company A manufactures 400,000 pounds of a chemical intermediate called Chemical X during the production of a polymer. Chemical X is manufactured in Reactor 1 and is subsequently entirely consumed when reacted with other chemicals. Chemical X never leaves Reactor 1, except for sampling purposes.	Company A does not need to report a Form U for Chemical X because it is considered to be a non-isolated intermediate and is therefore fully exempt.
Company B manufactures 400,000 pounds of a chemical intermediate called Chemical Y during the production of a polymer. Chemical Y is manufactured in Reactor 1 and transferred to a storage tank until needed. Chemical Y is then transferred to Reactor 2 where it is mixed with other reactants to form the desired polymer, at which point Chemical Y is destroyed. Chemical Y never leaves this production site.	Company B is required to report Chemical Y. When Chemical Y was transferred to the storage tank, it was isolated, and thus, does not meet the definition for "non-isolated intermediate."
Company C imports 10,000,000 pounds of Chemical Z in the form of thin sheets. Company C cuts these sheets into the desired size and shape, which are sold to consumers.	Company C is not required to report Chemical Z because it is considered to be an article and therefore exempt from reporting.
Company D imports 10,000,000 pounds of Chemical W in the form of pellets. Company D subsequently melts and molds Chemical W into the desired shape, which is sold directly to consumers.	Company D is required to report Chemical W because they imported pellets whose shape or design when imported was not related to their end use.
Company D manufactures 10,000,000 pounds of Chemical W in the U.S. Company D subsequently sells Chemical W to Company E located in the U.S. in the form of pellets. Company E melts and molds the pellets.	Company D is required to report. Company E is not required to report because they are neither manufacturing nor importing Chemical W.

2.3 Step III: What Information Must You Report?

Once you have determined that you need to file a Form U for a chemical substance, you would then determine what information must be reported. All persons required to report under IUR must report the information described in 40 CFR 710.52(c)(1), (c)(2), and (c)(3) (*See* Parts I an II of IUR Form U, a copy of which can be found in Appendix A). Basic company and site identification information is required by 40 CFR 710.52(c)(1) and (c)(2) (*See* Part I of IUR Form U). Chemical identification and information pertaining to the manufacture (including import) of chemical substances is required by 40 CFR 710.52(c)(3) (See Part II of IUR Form U). Submitters reporting information for more than one chemical should make the necessary number of photocopies of Part II and report information for a single chemical on each photocopy.

The following questions may assist you in determining whether you also need to report the information described in 40 CFR 710.52(c)(4) (See Part III of IUR Form U):

- Did you manufacture (including import) 300,000 pounds or more of the reportable substance at any site during 2005?

- Is your substance inorganic, listed as a petroleum process stream, or otherwise listed as a chemical substance partially exempt from reporting?

- Is your substance the subject of any of certain actions under TSCA (*see* 40 CFR 710.46)?

Figure 2-4 presents a decision logic diagram to assist you in answering these questions. The following subsections explain each question in greater detail

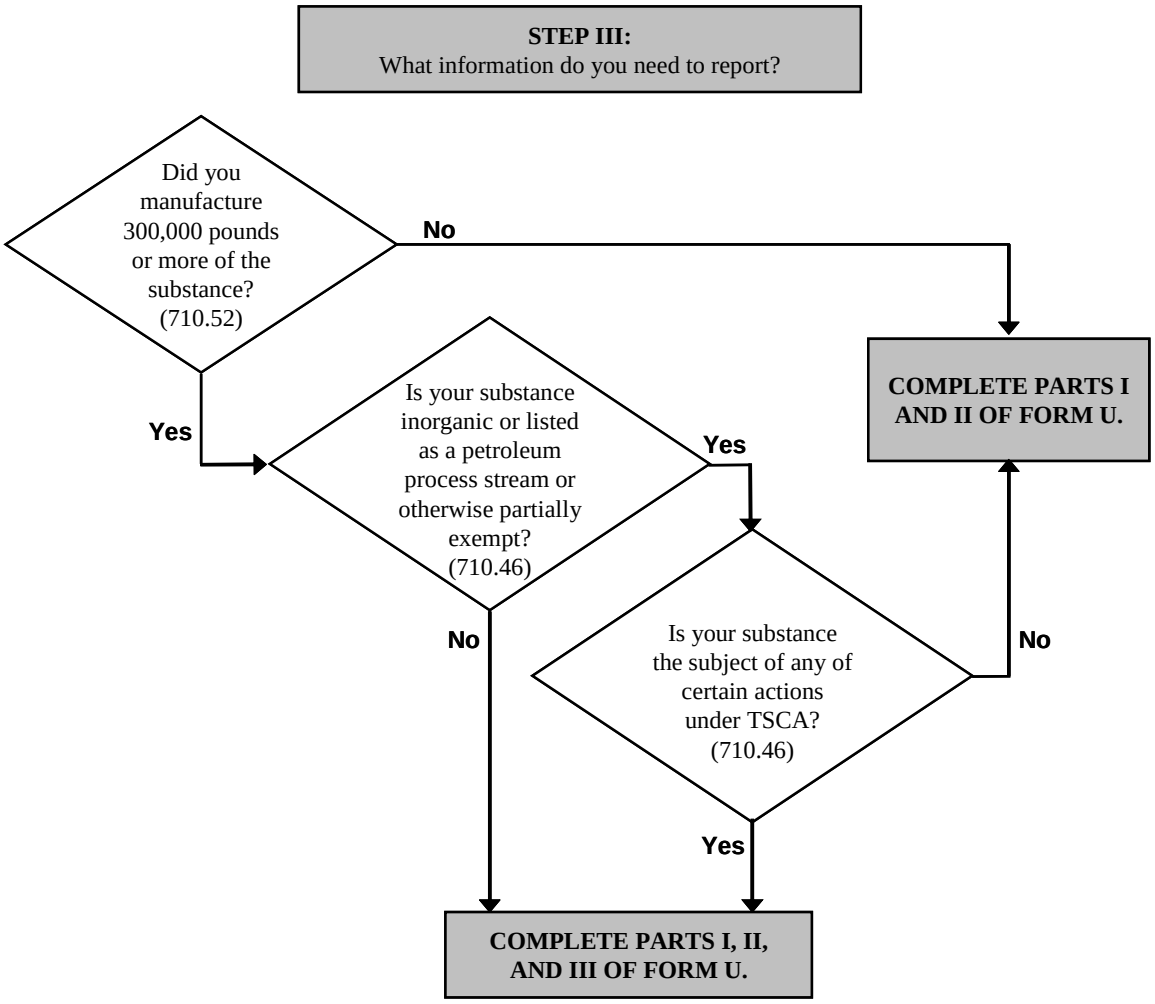

Figure 2-4. Decision Logic Diagram for Evaluating Step III

2.3.1 Do You Manufacture and/or Import the Reportable Substance in Quantities of 300,000 Pounds or More?

If you produce and/or import 300,000 pounds or more of a reportable substance at a single site in calendar year 2005, you must also report the information described in 40 CFR 710.52(c)(4) for that chemical. This information describes the industrial processing and use, and commercial and consumer uses of the chemical. Because an IUR report relates to a single chemical substance, submitters reporting information for more than one chemical at a single site should make the necessary number of photocopies of Part III of IUR Form U and report information for only one chemical on each photocopy. Table 2-6 provides some examples of

when industrial processing and use information and commercial and consumer use information must be reported.

Table 2-6. Examples of Reporting Requirements for Information Described in 40 CFR 710.52(c)(4) (See IUR Form U, Part III)

Description	2006 Reporting Requirement
Company A, which has only one manufacturing site, manufactured 300,000 pounds of Chemical X, which is not exempt from reporting, at its site in 2005.	Company A must complete Parts I, II, and III for Chemical X because it manufactured 300,000 pounds or more of Chemical X in 2005.
Company B, which has only one manufacturing site, manufactured 300,000 pounds of Chemical X at its site in 2004 and 200,000 pounds of Chemical X in 2005.	Company B is not required to complete Part III for Chemical X because it manufactured less than 300,000 pounds of Chemical X in 2005. Company B must complete Parts I and II for Chemical X.
Company C has two manufacturing sites for Chemical X. In 2005, Site 1 manufactured 130,000 pounds of Chemical X and Site 2 manufactured 170,000 pounds of Chemical X.	Company C is not required to complete Part III for Chemical X at either site because 2005 production was less than 300,000 pounds at each site. Company C should complete Parts I and II for Chemical X at each site.
Company D has three manufacturing sites for Chemical X. In 2005, Site 1 manufactured 10,000 pounds of Chemical X, Site 2 manufactured 30,000 pounds of Chemical X, and Site 3 manufactured 350,000 pounds of Chemical X.	Company D is not required to report for Chemical X for Site 1 because 2005 production was less than 25,000 pounds. Company D must complete Parts I and II for Chemical X at Site 2 because at this location production was 25,000 pounds or more in 2005. Company D must complete Parts I, II, and III for Chemical X at Site 3 because 2005 production was 300,000 pounds or more at this location.
Company E has one site where it imports and manufactures Chemical X. Company E manufactured 210,000 pounds of Chemical X and imported 100,000 pounds of Chemical X in 2005.	Company E must complete Parts I, II, and III for Chemical X because the combined amount manufactured and imported in 2005 was 300,000 pounds or more.
In 2005, Company F manufactured 700,000 pounds of a liquid that contains Chemical X at 50% by weight. Company F manufactured Chemical X via a chemical reaction; it did not combine existing chemicals to form a mixture.	Company F must complete Parts I, II, and III for Chemical X, because it manufactured 300,000 or more pounds (i.e. 350,000 lbs) of Chemical X in 2005.

2.3.2 Does Your Reportable Substance Qualify for a Partial Exemption?

Three groups of substances are generally exempt from the reporting requirements prescribed in 40 CFR 710.52(c)(4) for chemical substances manufactured in amounts of 300,000 lbs. or more. For these substances, the industrial processing and use information and the commercial and consumer use information generally reported on Part III of IUR Form U need not be reported. First, manufacturers and importers of certain petroleum process streams, regardless of the production volume do not need to complete Part III of Form U for these substances. Second, EPA created a partial exemption for specific chemical substances where EPA has identified a low current interest in processing and use information related to the chemical. Third, for the 2006 submission period only, inorganic substances are also partially exempt. These three groups are described in more detail below. Manufacturers (including importers) of these substances are generally exempt from reporting the information requested on

Part III of Form U but are otherwise potentially required to report the information requested on Parts I and II of Form U (40 CFR 710.46(b)).

2.3.2.1 Partial Exemption for Listed Chemicals that are termed Petroleum Process Streams for Purposes of IUR

The chemical substances termed "petroleum process streams" for purposes of IUR that are partially exempt from IUR requirements are the listed by CAS Registry Number at 40 CFR 710.46(b)(1). This list is reproduced in Appendix D.

2.3.2.2 Partial Exemption for Listed Chemical Substances

The specific chemical substances listed at 40 CFR 710.46(b)(2)(iv) are partially exempt from IUR requirements based on EPA's determination that there is a low current interest in processing and use information related to these chemicals. This list is reproduced in Appendix D.

2.3.2.3 Partial Exemption for Inorganic Substances in 2006

For the 2006 reporting cycle, manufacturers (including importers) of inorganic substances will be reporting information in accordance with the IUR regulation for the first time. As stated in 40 CFR 710.46(b)(3), these manufacturers are partially exempt from reporting under the IUR in 2006. This partial exemption will no longer apply after the 2006 reporting cycle (40 CFR 710.46(b)(3)).

2.3.3 Chemical Substances Which Are Not Given a Partial Exemption

Certain chemical substances are not given a partial exemption from IUR requirements even if they are petroleum process streams listed in 40 CFR 710.46(b)(1), specific exempted chemical substances listed in 40 CFR 710.46(b)(2)(iv), or inorganic chemical substances as described in 40 CFR 710.46(b)(3). A substance in any of these three groups that is the subject of a rule proposed or promulgated under sections 4, 5(a)(2), 5(b)(4), or 6 of TSCA, or is the subject of an order issued under section 5(e) or 5(f) of TSCA or is the subject of relief that has been granted under a civil action under sections 5 or 7 of TSCA is not afforded a partial exemption, and therefore, manufacturers and importers of such a substance must report processing and use information if the amount of the substance manufactured (including imported) at a site is 300,000 lbs. or more. See Appendix C for additional information about these chemical substances.

3.0 When You Must Report

For the 2006 reporting cycle, as in previous reporting cycles, you are required to report information pertaining to calendar year 2005 during the submission period, which is between August 25 and December 23, 2006 (40 CFR 710.53). The subsequent submission periods will occur from June 1 through September 30 at 5-year intervals after the first submission period (2011, 2016, 2021, etc.) (40 CFR 710.53).

Your submissions for the 2005 reporting year must be postmarked no later than December 23, 2006. If you are required to report, failure to file your report during this period is a violation of TSCA sections 8(a) and 15 and may subject you to penalties (40 CFR 710.1(c)).

4.0 Reporting the IUR Information

This chapter provides assistance with reporting the information required by the IUR regulation. Section 4.1 describes how to complete the certification statement. Section 4.2 discusses the reporting standards to be used when reporting in accordance with the IUR regulation. Sections 4.3 through 4.8 provide guidance as to how to complete each block on the IUR reporting form, Form U.

4.1 Certification

The following subsections describe the certification block at the top of Form U.

4.1.1 Signature

The certification statement must be signed by an authorized official of your company (40 CFR 710.52(c)(1)). This statement certifies that the information reported on this form has been completed in compliance with the requirements of the rule and that the confidentiality claims made on the form are true and correct. Note that knowingly providing false or misleading information or concealing required information may be punishable by fine or imprisonment or both under TSCA section 15. Signatures should be made in black ink to ensure that the form bears a legible signature that can be microfiched or otherwise archived.

4.1.2 Date Signed

Report the month, day, and year on which the certification statement was signed.

4.1.3 Name and Official Title

Report the name and title of the person who signed the certification.

4.2 Reporting Standards

The IUR requires submitters to exercise certain levels of due diligence in gathering the information required to be submitted in Form U, depending on the type of information being reported. (40 CFR 710.52) Information identifying the site where a chemical is manufactured or imported and information pertaining to manufacture and/or importation of a chemical substance (40 CFR 710.52(c)(1)-(c)(3); Parts I and II of Form U) must be reported to the extent that the information is **known to or reasonably ascertainable by** the submitter. Information on industrial processing and use and consumer and commercial use of a chemical substance (40 CFR 710.52(c)(4); Part III of Form U) must be reported to the extent that the information is **readily obtainable**. These terms are defined in 40 CFR 710.43 and discussed more fully below.

Known to or reasonably ascertainable by means all information in a person's possession or control, plus all information that a reasonable person similarly situated might be expected to possess, control, or know.

Under TSCA section 8(a), the Agency may collect information associated with chemical substances to the extent that it is known to or reasonably ascertainable by the submitter. This is

information possessed by employees or other agents of the company reporting under the IUR regulation including persons involved in the research, development, manufacturing, or marketing of a chemical substance. This information includes knowledge gained through discussions, symposia, and technical publications. For purposes of IUR reporting, the known to or reasonably ascertainable by standard applies to the information listed in 710.52(c)(2) and 710.52(c)(3) which correspond to Parts I and II of Form U.

Examples of types of information that are considered to be in a person's possession or control, or that a reasonable person similarly situated might be expected to possess, control, or know are:

- Files maintained by the submitter or employees in the submitter's company;
- Information contained in standard references, such as MSDSs, that contain use information or concentrations of chemicals in mixtures; and
- Information from Chemical Abstracts Service (CAS), Dun and Bradstreet, and NAICS.

Readily obtainable information is information known by management and supervisory employees of the submitter company who are responsible for manufacturing, importing, processing, technical services, and marketing of the reportable chemical substance. EPA interprets the term "readily obtainable information" to include use of the best professional judgment of the management and supervisory employees based on past experiences for similar chemical substances in the same or similar markets and/or any reasonably likely processing and use scenarios for the chemical substance, which might include the use of relevant information that is readily obtainable at the corporate level. If information necessary to complete any portion of Part III is not readily obtainable, the submitter is not required to respond to that portion of Part III.

The readily obtainable standard applies to processing and use information reported in Part III of Form U and described in sections 4.8 of this document. The readily obtainable standard for processing and use information requires less effort on the part of the submitter than the "known to or reasonably ascertainable by" standard that applies to all other IUR reporting. The readily obtainable standard limits the burden associated with processing and use reporting by making extensive file searches and customer surveys unnecessary. The readily obtainable standard is identical to the standard currently in effect under EPA's TSCA section 8(a) Preliminary Assessment Information Reporting (PAIR) regulation (See 40 CFR 712.7).

4.3 Part I - Section A Company Information[1]

The following subsections describe the reporting blocks in Part I of Form U.

[1]See Sec 4.7.1 for information concerning CBI claims for Company and Technical Contact Information.

4.3.1 Company Name (Block 1.A.1)

Enter the full name of the company. You should include any additional identifying terms such as Inc., Ltd., L.L.C., etc.

4.3.2 Company Dun & Bradstreet Number (Block 1.A.2)

Dun & Bradstreet assigns separate numbers to subsidiaries and parent companies; make sure that the number you provide EPA in Block 1.A.2 belongs to the company for which you are reporting. If the company does not have a Dun & Bradstreet number, you can request one from your local office of Dun & Bradstreet. There is no charge for this service and you are not required to disclose sensitive financial information to get a number. For more information on obtaining a Dun & Bradstreet number, see www.dnb.com/us. If you are already listed with Dun & Bradstreet, but do not know your number, you can call 1-888-814-1435 for assistance.

4.4 Part I - Section B Site Information[1]

EPA requires the following information to be reported for each plant site at which a reportable chemical substance is manufactured (including imported) in amounts of 25,000 lbs. or more: the site name, site Dun & Bradstreet number, street address, city, county (or parish), state, and zip code. The site for an importer of a chemical substance is the site of the operating unit within the importer's organization that is directly responsible for importing the substance and that controls the import transaction; in some cases, it may be the organization's headquarters in the United States. EPA will assign a Facility Identification Number. There is no need to fill in the Facility Identification Number block.

4.4.1 Site Name (Block 1.B.1)

Enter the full name of the site. You should include any additional identifying terms such as Inc., Ltd., L.L.C., etc. In some cases, this information may be the same as that reported in Block 1.A.1.

4.4.2 Site Dun & Bradstreet Number (Block 1.B.2)

Dun & Bradstreet assigns separate numbers to subsidiaries and parent companies; make sure that the number you provide EPA in block 1.B.2 belongs to the individual site for which you are reporting. If the site does not have a Dun & Bradstreet number, you can request one from your local office of Dun & Bradstreet. There is no charge for this service and you are not required to disclose sensitive financial information to get a number. For more information on obtaining a Dun & Bradstreet number, see www.dnb.com/us. If you are already listed with Dun & Bradstreet, but do not know your number, you can call 1-888-814-1435 for assistance.

4.4.3 Site Street Address (Blocks 1.B.3 through 1.B.8)

Enter your site mailing address, including the appropriate county or parish, using standard addressing techniques as established by the U.S. Postal Service. Post office box numbers should be accompanied by a street address. If a post office box is listed, it should be listed after the street address in Block 1.B.4 (Address Line 2).

4.5 Part I - Section C Technical Contact Information[2]

This section requests information about the technical contact who EPA may contact for clarification on the responses. The technical contact need not be located at the site for which information is reported, but should be located in the United States. Also, the technical contact need not be the person who signed the certification statement. If you wish to identify more than one person as a technical contact, please include the extra name(s) in a separate cover letter along with title(s), telephone number(s), and e-mail address(es).

4.5.1 Technical Contact Name (Block 1.C.1)

Enter the name of the person whom EPA may contact for clarification of information submitted on Form U.

4.5.2 Technical Contact Telephone Number and Email Address (Blocks 1.C.2 and 1.C.3)

Enter the technical contact's telephone number, including the area code, and their email address (if one is available).

4.5.3 Technical Contact Mailing Address (Blocks 1.C.4 through 1.C.8)

Enter the technical contact's mailing address, using standard addressing techniques as established by the U.S. Postal Service. Post office box numbers should be accompanied by a street address. If a post office box is used as a mailing address, the street address should be given in Block 1.C.4 followed by the post office box number in Block 1.C.5 (Address Line 2).

4.6 Part II - Section A Chemical Identification

A separate copy of Parts II and III of IUR Form U must be submitted for each chemical substance at each site for which reporting is required. If you are reporting information for more than one chemical, you should make the necessary number of photocopies of Parts II and III of IUR Form U and report information for one chemical on each photocopy.

4.6.1 Chemical Identifying Number (Block 2.A.1)

Persons submitting information in accordance with the IUR regulation must report both the specific chemical substance name and the CAS Registry Number (or other identifying number) of each reportable chemical substance manufactured (including imported) at each site in amounts of 25,000 pounds or more per year (40 CFR 710.52(c)(3)(i)).

You may claim as confidential the identity of a substance that is already listed as confidential on the TSCA Inventory by checking the CBI box in Part II Section A of IUR Form U. EPA will not honor a chemical identity CBI claim for a substance that is listed on the Public Inventory. CBI claims for chemical identity will not be accepted unless accompanied by a separate written substantiation for the substances claimed as CBI; see Section 5.1 for more details about substantiating CBI claims for the identity of a chemical substance. If you fail to substantiate the claim for confidentiality of the chemical identity in accordance with applicable

[2]See Sec 4.7.2 for information concerning CBI claims for Plant Site Information.

regulations, EPA may make the information available to the public without further notice to you. Checking this box does not protect the link between your company and the substance; it only asserts a CBI claim for the specific identity of the substance. To claim company and/or plant site identities as CBI, check the CBI box(es) in Part II, Section B, Blocks 2.B.1 and 2.B.2 of IUR Form U (see Sections 4.7.1 and 4.7.2 below).

CAS Registry Number. Every chemical substance reported in accordance with the IUR regulation must be accompanied by its CAS Registry Number (entered into Block 2.A.1 of Part II) or other identifying number (40 CFR 710.52(c)(3)(i)). When you report a CAS Registry Number, please verify that the number you are reporting is the correct number for your substance.

The CAS Registry Number is the preferred identifier for chemical substances reported under the IUR. If you are unable to find a CAS Registry Number in the public portion of the Inventory, then the substance was not in the TSCA Inventory as of that date or the substance is listed as confidential. If the CAS Registry Number is not reasonably ascertainable, you would report either of the following identifying numbers (40 CFR 710.52(c)(3)(i)):

> If the CAS Registry Number is not reasonably ascertainable, you would report either the EPA Accession Number or PMN

- EPA Accession Number; or
- PMN Number.

EPA Accession Number. If the identity of a chemical substance in the TSCA Inventory is confidential, the public portion of the Inventory lists an Accession Number for that substance and uses a generic name rather than a specific identity. You may be reporting for the wrong substance if you find a generic chemical identity in the public portion of the Inventory that you think belongs to your substance and report using the Accession Number for that substance. An Accession Number may be used when a CAS Number is not reasonably ascertainable. A typical Accession Number is a 5-digit number such as "29735."

PMN Number. If you filed a PMN for a substance that is now reportable under the IUR and that PMN was assigned a PMN number, you can use that as an identifying number, when necessary, regardless of whether the substance is confidential. A typical PMN number looks like this: "P-85-0243" or "P-83-0001A."

Please be aware that a chemical substance that has a PMN number is not automatically reportable under the IUR. A PMN substance is reportable under the IUR only if it is included in the TSCA Inventory as a result of EPA's receipt of a Notice of Commencement for the substance (40 CFR 720.102).

4.6.2 ID Code (Block 2.A.2)

Enter the code for the type of identifying number you entered in Block 2.A.1, as shown in Table 4-1.

Table 4-1. ID Code for Chemical Identifying Numbers

If the Number You are Reporting in Block 2.A.1 is a(n)	Enter This Code in Block 2.A.2
Accession Number	A
CAS Registry Number	C
PMN Number	P

4.6.3 Chemical Name (Block 2.A.3)

Enter the specific name of the chemical substance you are reporting in Block 2.A.3. Chemical Abstracts Index/Preferred names should be used if available. You can find names of nonconfidential substances in the public portion of the TSCA Inventory. If such names are not available, use nomenclature that completely and accurately describes the chemical substance.

Trade names should not be used except where a foreign supplier will not disclose to you the specific identity of the chemical substance. In that case, you should submit along with Form U a letter indicating that your supplier will not disclose the specific identity of the chemical substance and identifying the supplier of each trade name ingredient reported.

You may claim information in this letter as confidential by circling or bracketing the text to be protected and marking the page "CONFIDENTIAL." Failure to so mark this information may result in EPA making the information available to the public without further notice to you. Confidential business information must not be submitted by email.

Section 6.5 explains how importers whose foreign suppliers will not reveal the identity of the substance the importers are reporting can comply with their reporting requirements.

4.7 Part II - Section B Manufacturing Information

The following subsections describe the manufacturing information required to be reported for each chemical substance.

4.7.1 Confidentiality of Company Information (Block 2.B.1)

Checking the CBI box in this block asserts a confidentiality claim for the link between the chemical substance and all of the information reported in Part I, Section A of Form U. Checking other CBI boxes on the form will not protect this link. You may claim this connection as confidential for some chemical substances for which you are reporting, while not making the claim for others (each chemical substance manufactured (including imported) at a site is reported on a separate copy of Parts II and III of the form).

4.7.2 Confidentiality of Site Information (Block 2.B.2)

Check this CBI box to claim the link between the site of manufacture/import (reported in Part I, Section B) and the chemical identity as confidential. You may claim this connection as confidential for some chemical substances for which you are reporting, while not making the claim for others (each chemical substance is reported on a separate copy of Parts II and III of the

form). You are required to substantiate each claim for confidentiality of site information in writing (40 CFR 710.58(c)) (see Section 5.2). If you fail to substantiate the site CBI claim in accordance with the applicable regulations, EPA may make the information available to the public without further notice to you. Checking this CBI box and providing the substantiation information will assert a CBI claim over all of the information in Part I, Section B of Form U.

4.7.3 Confidentiality of Technical Contact Information (Block 2.B.3)

Checking the CBI box in this block asserts a confidentiality claim for the link between the chemical substance and the technical contact information reported in Part I, Section C of Form U. You may claim this connection as confidential for some chemical substances for which you are reporting, while not making the claim for others (each chemical substance is reported on a separate copy of Parts II and III of the form).

4.7.4 Site Limited (Y/N) (Block 2.B.4)

If you manufacture the chemical substance at the site identified in Part I, Section B of Form U and do not distribute the chemical substance or any mixture or article containing that substance outside the plant site for commercial purposes, enter "Y" in the space next to the CBI box (40 CFR 710.52(c)(3)(iii)). Otherwise, enter "N." Note: you cannot report an imported chemical substance as site-limited (40 CFR 710.43). To claim that the information reported in Block 2.B.4 is confidential, check the CBI box.

4.7.5 Activity (Manufacture and/or Import) (Block 2.B.5)

Check the box(es) that describe the activities at your site. For purposes of this data element, manufacture means to domestically produce the chemical substance. If you both manufacture and import the same chemical substance, check both boxes. Check the CBI box to claim the nature of the activity (i.e., manufacture vs. importation) as confidential for the substance. Claiming an activity as CBI does not protect the link between your company and the substance; that link will not be protected unless you assert a confidentiality claim by checking the CBI box associated with the company name (see Section 4.7.1).

4.7.6 Manufactured Production Volume (Block 2.B.6)

Report the volume of the chemical manufactured domestically at your site during calendar year 2005, in pounds. Report the quantity to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. Production volumes should be reported in numeric format (i.e., 58,000 or 6,352,000) because the Agency's automated equipment cannot read volumes other than those expressed in numeric format. For example, "2 million" or "2 E6" are not acceptable, nor are abbreviations such as M (12,000,000 = 12M) or K (50,000 = 50K). Check the CBI box to claim the manufactured production volume as confidential.

4.7.7 Imported Production Volume (Block 2.B.7)

Report the volume of chemical imported by your site in 2005, in pounds. Report the quantity to at least two significant figures; it should be accurate to the extent known to or reasonably ascertainable by you. You should use the same numeric format as described for Block 2.B.6, manufactured production volume. Check the CBI box to claim the imported production volume as confidential. Imported and manufactured production volumes are reported separately for each chemical at each site.

4.7.8 Number of Workers (Block 2.B.8)

Report the total number of workers reasonably likely to be exposed to each reportable chemical substance at each site during the reporting year (i.e., during 2005) (40 CFR 710.52(c)(3)(v)). For Block 2.B.8, report the code corresponding to the range from Table 4-2 for the number of workers reasonably likely to be exposed to a reportable chemical substance during manufacture. Check the CBI box to claim the number of workers reported as confidential.

Table 4-2. Codes for Reporting Number of Workers Reasonably Likely to be Exposed

Code	Range of Workers Reasonably Likely to be Exposed
W1	Fewer than 10
W2	At least 10 but fewer than 25
W3	At least 25 but fewer than 50
W4	At least 50 but fewer than 100
W5	At least 100 but fewer than 500
W6	At least 500 but fewer than 1,000
W7	At least 1,000 but fewer than 10,000
W8	10,000 or more

"Reasonably likely to be exposed" means "an exposure to a chemical substance which, under foreseeable conditions of manufacture (including import), processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures" (40 CFR 710.43).

Persons reasonably likely to be exposed to a chemical substance include workers whose employment requires them to pass through areas where chemicals are manufactured, processed, or used (e.g., production workers and foremen, process engineers, and plant managers). Workers employed to drive vehicles which transport the chemical should be included in the number of workers reasonably likely to be exposed to the chemical substance if they come into contact with the chemical during loading or unloading. For example, workers engaged in the connection or disengagement of hoses used to load or unload the chemical should be included. However, workers involved solely with transporting chemicals in sealed (totally enclosed with no potential for exposure) containers should not be included.

In addition, when a site employs temporary, seasonal, or contract workers in the manufacture of a reportable chemical substance, these workers should be included in the number of workers reasonably likely to be exposed to a chemical substance if they work in areas where the chemical is manufactured (including imported). The term does not include those employees whose jobs are unassociated with potential exposures to a substance or mixture (e.g., administrative staff who never enter areas where the chemical is manufactured) and who are unlikely to be exposed to a chemical substance for even a brief period of time. No allowance is made for personal protective equipment or for engineering controls that reduce but do not preclude exposure to a chemical substance; however, if contact between a worker and a chemical is highly improbable, the worker should not be included among those persons reasonably likely to be exposed to the chemical substance.

When there is no potential exposure to a chemical substance, the code W1 corresponding to fewer than 10 workers would be reported. This would be the case, for instance, when a chemical is imported in sealed containers and resold without repackaging or is shipped from a foreign source directly to a customer.

4.7.9 Maximum Concentration (Block 2.B.9)

Report the maximum concentration, measured by weight, of your reportable chemical substance at the time it is reacted onsite to produce a different chemical substance or as it leaves the site (40 CFR 710.52(c)(3)(vi)). The concentration must be accurate to the extent that information is known to or reasonably ascertainable by you. In your determination of the maximum concentration, do not include product sent offsite for non-commercial purposes (40 CFR 710.1(a)).

For each substance, select the maximum concentration of the substance from the ranges listed in Table 4-3. If the maximum concentration falls between two ranges, round your estimate to the nearest 1 percent using standard rounding procedures. Report the code that corresponds to the appropriate range. Report the maximum concentration regardless of the various physical forms in which the chemical may be sent offsite or reacted onsite to produce a different chemical substance. Check the CBI box to claim the maximum concentration as confidential.

Table 4-3. Codes for Reporting Maximum Concentration

Code	Concentration Range (weight percent)
M1	Less than 1% by weight
M2	From 1% to 30% by weight
M3	From 31% to 60% by weight
M4	From 61% to 90% by weight
M5	Greater than 90% by weight

4.7.10 Physical Form and Percentage of Production Volume (Blocks 2.B.10 through 2.B.15)

Report all physical forms of the chemical substance at the time it is reacted or as it leaves your site and the percentage of production volume for each physical form (40 CFR 710.52(c)(3)(viii)). The six types of physical forms are listed in the regulation and repeated in Example 4-1 and on Form U. Report the percentage of each physical form reacted onsite or sent offsite rounded off to the closest 10 percent (40 CFR 710.52 (c)(3)(ix)). If the substance is sent offsite in more than one physical form, report all the physical forms in which it is sent offsite. In column "a" of this section, check the box for each physical form that applies to the chemical substance. Check the CBI box(es) to claim the physical form(s) as confidential. In column "b" of this section, report the percentage of production volume for each physical form reported in section "a." These percentages may total less or more than 100% due to rounding. Check the CBI box(es) to claim the percentage(s) of production volume as confidential.

Example 4-1. Determining Percentage of Production Volume
Company A manufactures 100,000 pounds of Chemical X. Forty-eight percent of the production volume is produced as dry powder, 24 percent is produced as a pellets, 24 percent as a liquid solution, and 4 percent as a water-wet solid. Company A would report the following:

Dry Powder	50%
Pellets or Large Crystals	20%
Water- or Solvent-Wet Solid	0%
Other Solid	0%
Gas or Vapor	0%
Liquid	20%

4.8 Part III - Processing and Use Information

Information regarding processing or use activities must be reported only to the extent that it is readily obtainable (40 CFR 710.52(c)(4)).

In addition to completing Parts I and II, you would complete Part III of Form U for reportable chemical substances manufactured (including imported) for commercial purposes in an amount of 300,000 pounds or more at any one site during calendar year 2005 (40 CFR 710.52(c)(4)). **If you manufacture the chemical substance in an amount less than 300,000 pounds at a site, you do not need to complete Part III for the chemical at that site; instead, check the N/A box.** If you report information for more than one chemical, make the necessary number of photocopies of Part III and report information for only one chemical on each photocopy. Report industrial processing and use information for each reportable chemical substance at sites under your control, and at domestic sites that receive a reportable chemical substance from you directly or indirectly (including through a broker/distributor, from a customer of yours, etc.) (40 CFR 710.52(c)(4)). Note that you should only report domestic processing and use activities. Report information regarding processing or use activities occurring at sites not under your control only to the extent that it is readily obtainable (40 CFR 710.52). Section 4.2 contains additional information on the readily obtainable standard. You may check the CBI box next to each data element to claim the data confidential, as necessary. Additional guidance on reporting known end uses is available in the documents *Questions and Answers for Reporting for the 2006 Partial Updating of the TSCA*

Chemical Inventory Database and *Case Studies for Reporting for the 2006 Partial Updating of the TSCA Chemical Inventory Database*.

Note that if a chemical substance is fully reacted (i.e., reporting 'PC' for the type of processing or use code), then the chemical substance is consumed and further processing and use information for that chemical will not exist. In such a situation, there is no downstream processing and use information to be reported under 40 CFR 710.52(c)(4).

4.8.1 Part III - Section A: Industrial Processing and Use Data (Blocks 3.A.1 through 3.A.10)

Report for the chemical substance up to ten unique combinations of the following data elements: process or use code (described in Section 4.8.1.1), five-digit NAICS code (described in Section 4.8.1.2), and industrial function category (IFC) code (described in Section 4.8.1.3) (40 CFR 710.52(c)(4)(i)). A processing and use code, NAICS code, and IFC code combination defines a potential exposure scenario for risk-screening and priority-setting purposes. For each of these unique combinations, you are also required to report the percentage of production volume (described in Section 4.8.1.4), a number of sites code (described in Section 4.8.1.5), and a number of workers code (described in Section 4.8.1.6) (40 CFR 710.52(c)(4)(i)). If more than ten unique combinations apply to a chemical substance, you need only report the ten combinations for the chemical substance that cumulatively represent the largest percentage of production volume, measured by weight (40 CFR 710.52(c)(4)(i)(C)). If any information is not readily obtainable, enter 'NRO' for "not readily obtainable" in the box corresponding to that data element.

4.8.1.1 Type of Process or Use Code

To the extent that it is readily obtainable, report the process or use code, shown in Table 4-4, that corresponds to the appropriate processing or use operation for the particular combination of NAICS code and IFC code. Check the CBI box to claim the process or use code as confidential. Note that if a chemical substance is fully reacted (i.e., reporting "PC" for the processing code), then the chemical substance is consumed and further processing and use information for that chemical substance will not exist. A processing or use code may be reported more than once if more than one NAICS and/or IFC code applies to the same processing or use operation.

Table 4-4. Codes Corresponding to Industrial Processing or Use Operations

Code	Operation
PC	Processing as a reactant
PF	Processing—incorporation into formulation, mixture, or reaction product
PA	Processing—incorporation into article
PK	Processing—repackaging
U	Use—non-incorporative activities

Guidance is provided in Appendix E which may assist you in determining which code to report. To claim the code(s) you report as confidential business information, check the box(es) next to the information you report.

4.8.1.2 Five-Digit NAICS Code

The North American Industry Classification System (NAICS) codes published by the Office of Management and Budget (OMB) have superseded the 1987 Standard Industrial Classification (SIC) code system. Report the five-digit NAICS code that corresponds to the appropriate industrial setting for the particular combination of process/use and IFC codes. The NAICS code classification system is being used to describe the industrial setting in which chemical exposures may occur. You are required to report the five-digit NAICS code(s) for all sites that receive a reportable chemical substance from you either directly or indirectly (including through a broker/distributor, from a customer of yours, etc.) and that process and use the reportable chemical substance to the extent that this information is readily obtainable (40 CFR 710.52(c)(4)(i)(B)). However, EPA does not intend for you to survey your customers or distributors to precisely identify the appropriate NAICS codes at your "downstream" sites. Because a NAICS code may apply to more than one processing and use scenario for a chemical substance, the same NAICS code may be reported with different IFC codes. Check the CBI box to claim the NAICS code as confidential.

For additional information on NAICS codes and tables cross-referencing the NAICS codes and SIC codes, refer to the following website: http://www.census.gov/epcd/www/naics.html. The NAICS codes can contain a maximum of 6 digits, although you should only report to the first five digits for the IUR.

4.8.1.3 Industrial Function Category (IFC) Code

Report the IFC code, shown in Table 4-5, that corresponds to the appropriate function for the particular combination of process/use code and NAICS code reported (40 CFR 710.52(c)(4)(i)(C)). Guidance on the scope of each category is provided in Appendix E. Check the CBI box(es) to claim the IFC code(s) as confidential.

Table 4-5. Codes for Reporting Industrial Function Categories (IFCs)

Codes	Industrial Function Categories
U01	Adsorbents and absorbents
U02	Adhesives and binding agents
U03	Aerosol propellants
U04	Agricultural chemicals (non-pesticidal)
U05	Anti-adhesive agents
U06	Bleaching agents
U07	Coloring agents, dyes
U08	Coloring agents, pigments
U09	Corrosion inhibitors and antiscaling agents
U10	Fillers

Table 4-5. Codes for Reporting Industrial Function Categories (IFCs)

Codes	Industrial Function Categories
U11	Fixing agents
U12	Flame retardants
U13	Flotation agents
U14	Fuels
U15	Functional fluids
U16	Intermediates
U17	Lubricants
U18	Odor agents
U19	Oxidizing agents
U20	pH-regulating agents
U21	Photosensitive chemicals
U22	Plating agents and metal surface treating agents
U23	Processing aid, not otherwise listed
U24	Process regulators, used in vulcanization or polymerization processes
U25	Process regulators, other than polymerization or vulcanization processes
U26	Reducing agents
U27	Solvents (for cleaning or degreasing)
U28	Solvents (which become part of product formulation or mixture)
U29	Solvents (for chemical manufacture and processing and are not part of product at greater than 1% by weight)
U30	Stabilizers
U31	Surface active agents
U32	Viscosity adjustors
U33	Other

4.8.1.4 Percentage of Production Volume

Estimate the percentage of production volume that is attributable to each unique combination of process/use code, NAICS code, and IFC code. The quantity should be accurate to the extent that it is readily obtainable by you. Round the estimates to the nearest 10 percent of production volume (40 CFR 710.52(c)(4)(i)(D)). You may not round a particular combination that accounts for 5 percent or less of the total production volume of a reportable chemical substance to 0 percent if the production volume attributable to that combination is greater than or equal to 300,000 pounds. In such cases, you must report the percentage of production volume attributable to that combination to the nearest 1 percent of production volume (40 CFR 710.52(c)(4)(i)(D)). To claim this information as confidential, check the CBI box.

The total percentage of production volumes associated with the process/use code, NAICS code, and IFC code combinations may add up to more than 100 percent, given that you are reporting on distribution of a chemical to sites in your control as well as downstream sites, some of which are not immediate purchasers from your original manufacturing site. Additionally, the total percentage of production volume may add up to less than 100 percent if, for example, you

cannot readily obtain information about how all of your production volume is processed or used, there are more than ten combinations of codes applicable to your chemical, or you export a portion of the production volume. Table 4-6 provides examples of reporting industrial processing and use data.

Table 4-6. Examples of Reporting Industrial Processing and Use Information

Description	2006 Reporting Requirement
Site 1 manufactures 500,000 pounds of Chemical X for processing for incorporation into a mixture. All of the production is for use under industrial NAICS code 32519 (other basic organic chemical manufacturing). Of the production volume, 67% (335,000 pounds) is used as a dye and 33% (165,000 pounds) is used as a pigment.	On line 3.A.1 of Form U, enter PF for type of process or use, 32519 for NAICS code, U07 for IFC, and 70% for production volume. On line 3.A.2 of Form U, enter PF for type of process or use, 32519 for NAICS code, U08 for IFC, and 30% for production volume.
Site 1 manufactures 500,000 pounds of Chemical X for processing for incorporation into a mixture. All of the production is for use under NAICS code 32519. Of the production volume, 97% (485,000 pounds) is used as a coloring agent for dyes and 3% (15,000 pounds) is used as a coloring agent for pigments.	On line 3.A.1 of Form U, enter PF for type of process or use, 32519 for NAICS code, U07 for IFC, and 100% for production volume. Less than 300,000 pounds is used for pigments. On line 3.A.2 of Form U, enter PF for type of process or use, 32519 for NACIS code, U08 for IFC, and 0% for production volume.
Site 1 manufactures 12,000,000 pounds of Chemical X for processing for incorporation into a mixture. All of the production is for use under NAICS code 32519. Of the production volume, 97% (11,640,000 pounds) is used as a coloring agent for dyes and 3% (360,000 pounds) is used as a coloring agent for pigments.	On line 3.A.1 of Form U, enter PF for type of process or use, 32519 for NAICS code, U07 for IFC, and 100% for production volume. Because the use in pigments, IFC U08, accounts for 300,000 pounds or more, on line 3.A.2 of Form U, enter PF for type of process or use, 32519 for NAICS code, U08 for IFC, and 3% for production volume.

4.8.1.5 Number of Sites Code

For each unique combination of process/use, NAICS, and IFC codes, report the total number of industrial sites, including those not under your control, that process or use each reported chemical substance to the extent that such information is readily obtainable (40 CFR 710.52(c)(4)(i)(E)). In the event you both manufacture (including import) and process or use the same reportable chemical substance at the reporting plant site, your site would be counted as both a manufacturing site in Part II of Form U and a processing or use site reported in Part III of Form U (40 CFR 710.52(c)(4)). For each substance, report the code listed in Table 4-7 that corresponds to the appropriate number range. To claim this information as confidential, check the CBI box.

Table 4-7. Codes for Reporting Numbers of Sites

Codes	Range
S1	Less than 10
S2	At least 10 but less than 25
S3	At least 25 but less than 100
S4	At least 100 but less than 250
S5	At least 250 but less than 1,000
S6	At least 1,000 but less than 10,000
S7	10,000 or more

4.8.1.6 Number of Workers Code

For each unique combination of process/use code, NAICS code, and IFC code, estimate the total number of workers that are reasonably likely to be exposed to the chemical substance at sites that process or use the substance to the extent that such information is readily obtainable (40 CFR 710.52(c)(4)(i)(F)). Include workers at sites which are not under your control as well as those at sites you control. This information must be reported to the extent that it is readily obtainable. For each substance, report the range code listed in Table 4-8 that corresponds to the estimated number of workers. To claim this information as confidential, check the box adjacent to the reported information.

Table 4-8. Codes for Reporting Number of Workers Reasonably Likely to be Exposed During Processing and Use

Code	Range of Workers Reasonably Likely to be Exposed
W1	Fewer than 10
W2	At least 10 but fewer than 25
W3	At least 25 but fewer than 50
W4	At least 50 but fewer than 100
W5	At least 100 but fewer than 500
W6	At least 500 but fewer than 1,000
W7	At least 1,000 but fewer than 10,000
W8	10,000 or more

"Reasonably likely to be exposed" means "an exposure to a chemical substance which, under foreseeable conditions of manufacture (including import), processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures" (40 CFR 710.43).

Persons reasonably likely to be exposed to a chemical substance include workers whose employment requires them to pass through areas where chemicals are manufactured, processed, or used (e.g., production workers and foremen, process engineers, and plant managers). Workers employed to drive vehicles that transport the chemical should be included in the number of workers reasonably likely to be exposed to the chemical substance *if* they come into contact with the chemical during loading or unloading. For example, workers engaged in the connection or disengagement of hoses used to load or unload the chemical should be included. However, workers involved solely with transporting chemicals in sealed (totally enclosed with no potential for exposure) containers should not be included.

In addition, when a site employs temporary, seasonal, or contract workers in the manufacture of a reportable chemical substance, these workers should be included in the number of workers reasonably likely to be exposed to a chemical substance if they work in areas where the chemical is manufactured. The term does not include those employees whose jobs are unassociated with potential exposures to a substance or mixture (e.g., administrative staff who never enter areas where the chemical is manufactured) and who are unlikely to be exposed to a chemical substance for even a brief period of time. No allowance is made for personal protective equipment or for engineering controls that reduce but do not preclude exposure to a chemical substance; however, if contact between a worker and a chemical is highly improbable, the worker should not be included among those persons reasonably likely to be exposed to the chemical substance.

4.8.2 Part III - Section B: Commercial and Consumer Use Data (Blocks 3.B.1 through 3.B.10)

For purposes of IUR reporting, a commercial use means the use of a chemical substance or mixture in a commercial enterprise providing saleable goods or a service (such as painting contractors using paint products) (40 CFR 710.43). A consumer use, on the other hand, means the use of a chemical substance that is directly, or as part of a mixture, sold to or made available to consumers for their own use in or around a permanent or temporary household or residence or in or around a school or recreational area (40 CFR 710.43).

You are required to report readily obtainable information concerning the commercial and consumer end uses of each reportable chemical substance manufactured (including imported) at sites you control and at sites controlled by people to whom you have either directly or indirectly (including through a broker/distributor, from a customer, etc.) distributed the reportable chemical substance (40 CFR 710.52(c)(4)). As with the industrial processing and use information, this requirement applies only to each chemical substance manufactured (including imported) in annual quantities of 300,000 pounds or more, and you are required only to report information to the extent that it is readily obtainable. If this information is not readily obtainable, enter 'NRO' for "not readily obtainable" in the box corresponding to that data element. To claim this information as confidential, check the CBI box next to the information you entered.

4.8.2.1 Commercial and Consumer Product Category Code

You must designate up to ten commercial and consumer product categories that correspond to the actual use of the chemical substance by selecting from the codes listed in Table 4-9 (40 CFR 710.52(c)(4)(ii)(A)). Guidance on the scope of these categories is provided in

Appendix E. If more than ten codes apply, you need report only the ten codes for the chemical substance that cumulatively represent the largest percentage of production volume, measured by weight (40 CFR 710.52(c)(4)(ii)(A)). To claim this information as confidential, check the CBI box.

Table 4-9. Codes for Reporting Commercial and Consumer Product Categories

Codes	Category
C01	Adhesives and sealants
C02	Agricultural products (non-pesticidal)
C03	Artists' supplies
C04	Automotive care products
C05	Electrical and electronic products
C06	Fabrics, textiles and apparel
C07	Glass and ceramic products
C08	Lawn and garden products (non-pesticidal)
C09	Leather products
C10	Lubricants, greases and fuel additives
C11	Metal products
C12	Paints and coatings
C13	Paper products
C14	Photographic supplies
C15	Polishes and sanitation goods
C16	Rubber and plastic products
C17	Soaps and detergents
C18	Transportation products
C19	Wood and wood furniture
C20	Other

4.8.2.2 Use in Product(s) Intended for Children

You must determine, within each commercial and consumer product category reported, whether any amount of each reportable chemical substance manufactured (including imported) by you is present in or on any consumer product(s) intended for use by children age 14 or younger, regardless of the concentration of the substance remaining in or on the product (40 CFR 710.52(c)(4)(ii)(B)). If you determine, based on readily obtainable information, that your chemical substance or mixture is used in a consumer product intended for use by children, report a "Y" in the appropriate box in the "Used in Product(s) Intended for Children" column in Part III.B of Form U. If you determine, based on readily obtainable information, that your chemical substance or mixture is not used in a consumer product intended for use by children, report an "N." If this information is not readily obtainable, enter "NRO" in the appropriate box. To claim this information as confidential, check the CBI box.

EPA defines "intended for use by children" to mean the chemical substance or mixture is used in or on a product that is specifically intended for use by children age 14 or younger (40

CFR 710.43). Your chemical substance or mixture is intended for use by children when you answer "yes" to at least one of the following questions for the product into which your chemical substance or mixture is incorporated:

1. Is the product commonly recognized (i.e., by a reasonable person) as being intended for children age 14 or younger?

2. Does the manufacturer of the product state through product labeling or other written materials that the product is intended or will be used by children age 14 or younger? or

3. Is the advertising, promotion, or marketing of the product aimed at children age 14 or younger?

Table 4-10 illustrates some examples of "Use in Product(s) Intended for Children." For example, certain products, like crayons, coloring books, diapers, and toy cars - to name a few - are typically used by children age 14 or younger. If you determine, based on readily obtainable information, that your chemical substance or mixture is used in crayons, for example, you would report a "Y" in the Children's Product column for category C01.

Certain products, such as household cleaning products, automotive supplies, and lubricants, are not typically intended to be used by children age 14 or younger. As such, if you determine, based on readily obtainable information, that your chemical substance or mixture is used in automotive care products and lubricants, for example, you would report an "N" in the Children's Use column for categories C04 and C10.

Table 4-10. Examples of Products Intended for Children

Codes	Category	Examples
C01	Adhesives and sealants	Craft glue, model glue
C02	Agricultural products (non-pesticidal)	Typically, products in this category are not likely to be intended for use by children 14 or younger
C03	Artists' supplies	Chemicals used as colorants in crayons, coloring inks, markers
C04	Automotive care products	Typically, products in this category are not likely to be intended for use by children 14 or younger
C05	Electrical and electronic products	Electronic games, remote control cars
C06	Fabrics, textiles and apparel	Children's clothing, generally
C07	Glass and ceramic products	Porcelain dolls
C08	Lawn and garden products (non-pesticidal)	Lawn and gardening tools designed specifically for children (e.g., kids rake)
C09	Leather products	Shoes, jackets, baseball gloves
C10	Lubricants, greases and fuel additives	Typically, products in this category are not likely to be intended for use by children 14 or younger
C11	Metal products	Toy trucks, toy cars, wagons
C12	Paints and coatings	Finger paints, water colors intended for use by children
C13	Paper products	Diapers, baby wipes, coloring books

Table 4-10. Examples of Products Intended for Children

Codes	Category	Examples
C14	Photographic supplies	Typically, products in this category are not likely to be intended for use by children 14 or younger
C15	Polishes and sanitation goods	Typically, products in this category are not likely to be intended for use by children 14 or younger
C16	Rubber and plastic products	Pacifiers, action figures, balls
C17	Soaps and detergents	Baby shampoo, children's bubble bath
C18	Transportation products	Child's car seat
C19	Wood and wood furniture	Baby cribs, changing tables, wooden toys
C20	Other	Other items specifically intended for use by children age 14 or younger

4.8.2.3 Percentage of Production Volume

Estimate the percentage of your production volume for each reportable chemical substance that is attributable to each specific commercial and consumer end use carried out at sites under your control, as well as at sites that receive a reportable chemical substance from you either directly or indirectly (including through a broker/distributor, from a customer, etc.), to the extent that such information is readily obtainable (40 CFR 710.52(c)(4)(ii)(C)). You should round estimates to the nearest 10 percent of production volume (40 CFR 710.52(c)(4)(ii)(C)). However, you may not round a commercial and consumer product category that accounts for 5 percent or less of the total production volume of a reportable chemical substance to 0 percent if the production volume attributable to that commercial and consumer product category is greater than or equal to 300,000 pounds (40 CFR 710.52(c)(4)(ii)(C)). In such cases, you must report the percentage of production volume attributable to that commercial and consumer product category to the nearest one percent of the production volume (40 CFR 710.52(c)(4)(ii)(C)). To claim this information as confidential for this substance, check the CBI box.

The total percentage of production volumes reported may add up to more than 100 percent, given that you are reporting production volumes to the nearest 10 percent. The total percentage of production volume may add up to less than 100 percent due to rounding, or if a portion of your production is consumed in industrial uses, or if you cannot readily obtain information about how all of your production volume is used in commercial and consumer products, or if there are more than 10 commercial or consumer product categories applicable to your chemical substance.

4.8.2.4 Maximum Concentration Code

When the chemical substance you manufacture (including import) is used in commercial and consumer products, you are required to report the estimated typical maximum concentration (measured by weight) of each chemical substance in each commercial and consumer product category reported in Part III of Form U (40 CFR 710.52(c)(4)(ii)(D)). For each substance used in a commercial and consumer product reported in Part III, select the appropriate concentration range listed in Table 4-3, and enter the corresponding reporting code in Part III, Section B of Form U. Such information is required only to the extent that it is readily obtainable by you;

otherwise, insert NRO in this box to denote that the information is not readily obtainable. The reporting range codes are the same as those listed in Table 4-3. To claim this information as confidential, check the CBI box adjacent to the information you report.

5.0 How to Assert Confidentiality Claims

Under the proper circumstances, information submitted to EPA under the IUR can be claimed confidential. However, such claims will not be accepted and honored if they are not asserted as required at the time information is submitted to EPA or if they are submitted in a manner inconsistent with the regulations.

You can claim certain information submitted to EPA under the IUR regulation as confidential if you believe that doing so is warranted under the questions for determining confidentiality found within 40 CFR 2.208. EPA's procedures for processing and reviewing confidentiality claims are set forth at 40 CFR Part 2, Subpart B and 40 CFR 710.58. To claim information as confidential, you must check the appropriate boxes on Form U and have an authorized official sign the certification statement on the reporting form (40 CFR 710.58). If you fail to do so, EPA could release the information to the public without further notice to you. By signing the certification statement you certify that your claims of confidentiality are made to the best of your knowledge. EPA strongly encourages you to review confidentiality claims carefully to ensure that the information in question falls under the protection of TSCA Section 14 and fully meets the substantive questions within the Part 2 regulations referred to above.

Procedures for claiming information submitted electronically (such as a submission on a CD) as confidential are specified in 40 CFR 710.52(c). **CBI must not be submitted by e-mail**. Instructions for submitting CBI using the electronic reporting software can be found on the IUR Website at www.epa.gov/oppt/iur.

Specific procedures to claim the identity of the reported chemical and the identity of the site as CBI are addressed in the following subsections. Table 5-1 summarizes the special considerations for these data elements.

Table 5-1. Special Considerations for Asserting Confidentiality Claims

Data Element	Asserting a Confidentiality Claim
Chemical Identity	Check CBI box in Part II Section A, and submit answers to questions in 40 CFR 710.58(b)(1). (The questions are reproduced in Table 5-2.)
Site Identity	Check CBI box in Part II Block 2.B.2 and submit written answers to questions in Table 5-3. See 40 CFR 710.58(c)(1). (The questions are reproduced in Table 5-3.)

5.1 Chemical Identity

You may assert a confidentiality claim for the specific identity of a chemical substance only if EPA treats the identity of that substance as confidential in the TSCA Inventory at the time your report is submitted (i.e., the substance is not on the public portion of the Inventory) (40 CFR 710.58(b)). Both confidential and nonconfidential substances can be included in the same submission. Confidential substances can be included in reports submitted on electronic media but confidential information should not be submitted thru the internet unless the report is encoded and submitted through EPA's electronic data exchange. Do not submit confidential business information by email.

A claim of confidentiality for the identity of a chemical will not be accepted unless accompanied by a separate written substantiation for each chemical substance claimed as CBI. To assert a claim of confidentiality for the identity of a reportable chemical substance, you must check the appropriate CBI box in Part II, Section A of Form U **and** submit detailed written answers to the questions at 40 CFR 710.58(b)(1), which are repeated in Table 5-2. In addition, an authorized official from your company must sign and date the certification statement on Form U. The answers must be complete and specific as to the chemical substance in question. If any of the information contained in the answers to these questions is asserted to contain CBI, you must clearly identify the information that is claimed confidential by marking the specific information on each page with a label such as "confidential business information," "proprietary," or "trade secret" (40 CFR 710.58(b)(2)). If the required substantiation does not accompany your Form U, EPA may make the chemical identities reported on the form available to the public without further notice to you.

If you are manufacturing (including importing) a chemical substance that is currently listed in the TSCA Inventory as confidential, you are encouraged not to assert confidentiality claims if circumstances are now such that confidentiality is no longer necessary. If you report a previously confidential substance as nonconfidential, that substance will subsequently be listed in the TSCA Inventory as nonconfidential.

Table 5-2. Substantiation Questions To Be Answered When Making Chemical Identity CBI Claims (from 40 CFR 710.58(b)(1))

No.	Question
1.	What harmful effects to your competitive position, if any, do you think would result from the identity of the chemical substance being disclosed in connection with reporting under the IUR? How could a competitor use such information? Would the effects of disclosure be substantial? What is the causal relationship between the disclosure and the harmful effects?
2.	How long should confidential treatment be given? Until a specific date, the occurrence of a specific event, or permanently? Why?
3.	Has the chemical substance been patented? If so, have you granted licenses to others with respect to the patent as it applies to the chemical substance? If the chemical substance has been patented, and therefore disclosed through the patent, why should it be treated as confidential?
4.	Has the identity of the chemical substance been kept confidential to the extent that your competitors do not know it is being manufactured or imported for a commercial purpose by anyone?
5.	Is the fact that the chemical substance is being manufactured (including imported) for a commercial purpose available to the public, for example, in technical journals, libraries, or State, local, or Federal agency public files?
6.	What measures have you taken to prevent undesired disclosure of the fact that the chemical substance is being manufactured (including imported) for a commercial purpose?
7.	To what extent has the fact that this chemical substance is manufactured (including imported) for commercial purposes been revealed to others? What precautions have been taken regarding these disclosures? Have there been public disclosures or disclosures to competitors?
8.	Does this particular chemical substance leave the site of manufacture (including import) in any form (e.g., as product, effluent, emission)? If so, what measures have been taken to guard against the discovery of its identity?
9.	If the chemical substance leaves the site in a product that is available to the public or your competitors, can the substance be identified by analysis of the product?

Table 5-2. Substantiation Questions To Be Answered When Making Chemical Identity CBI Claims (from 40 CFR 710.58(b)(1))

No.	Question
10.	For what purpose do you manufacture (including import) the substance?
11.	Has EPA, another Federal agency, or any Federal court made any pertinent confidentiality determinations regarding this chemical substance? If so, please attach copies of such determinations.

5.2 Site Identity

Under the IUR, you may assert a claim of confidentiality for the identity of the manufacturing site if the linkage of the site with a reportable chemical is confidential and not publicly available (40 CFR 710.58(c). Claiming plant site as confidential protects the release of plant site name, address, city, county, state, zip code, and Dun & Bradstreet number. Claims for CBI should be limited to circumstances in which they are absolutely necessary. Note that claiming plant site as confidential does not protect the link between the chemical and the company name. It does protect the identity of the site where the chemical was manufactured (including imported).

To assert a claim of confidentiality for site identity, check the CBI box at Block 2.B.2 of Part II on IUR Form U indicating a confidentiality claim for plant site identity information **and** substantiate that claim (40 CFR 710.58(c)). To substantiate your claim, you must submit with Form U detailed written answers to the two questions at 40 CFR 710.58(c)(1), which are also listed in Table 5-3. In addition, an authorized official from your company must sign and date the certification statement (40 CFR 710.58(c)(1)). Please note that both site and company information claims are to be made in conjunction with a specific chemical substance on page 2 of Form U. For instance, if you report four chemical substances manufactured (including imported) at a given site on Form U (by photocopying additional pages of Parts II and III), you are able to claim the site identity as confidential for one chemical while releasing this information for the other three. This upfront substantiation is not required for company information CBI claims (Block 2.B.1 on Form U). You may claim company information non-CBI (Block 2.B.1) and plant site CBI (Block 2.B.2) but not vice-versa. If company information is CBI, the plant site must also be CBI.

Table 5-3. Substantiation Questions To Be Answered When Making Plant Site Identity CBI Claims (from 40 CFR 710.58(c)(1))

No.	Question
1.	Has site information been linked with a chemical identity in any other Federal, state, or local reporting scheme? For example, is the chemical identity linked to a facility in a filing under the EPCRA section 311, namely through a Material Safety Data Sheet (MSDS)? If so, identify all such schemes. Was the linkage claimed as confidential in any of these instances?
2.	What harmful effect, if any, to your competitive position do you think would result from disclosure of the identity of the site and the chemical substance? How could a competitor use such information? Would the effects of disclosure be substantial? What is the causal relationship between the disclosure and the harmful effects?

If you assert that any of the information contained in the answers to these questions contains CBI, you must clearly identify the information that is claimed confidential by marking the specific information on each page with a label such as "confidential business information," "proprietary," or "trade secret" (40 CFR 720.58(c)(2)). If no claim of confidentiality is indicated on the Form U submitted to EPA under this part, or if confidentiality claim substantiation is not submitted with Form U, EPA may make the information available to the public without further notice to you.

5.3 Additional Data Elements

You may claim any of the information reported under the IUR as confidential. Form U contains CBI boxes for the data elements reported in Parts II and III. To assert a claim of confidentiality for a given data element, check the CBI box for that data element as discussed in Section 4.0.

6.0 How to Submit Your Form U to EPA

Information reported for the IUR must be submitted either on electronic media (not e-mail) or on a printed copy of Form U (40 CFR 710.52). Information may also be submitted electronically using EPA's Central Data Exchange as described below. Separate forms are required for each plant site (40 CFR 710.52). If you report information for more than one chemical at your site, you should make the necessary number of photocopies of Parts II and III (i.e. the second page of IUR Form U) and report information for only one chemical on each photocopy. Each preprinted copy of the 2006 Form U bears an individual report number. EPA will assign report numbers to electronic submissions and forms obtained from the Internet when they are received from you. You are not required to enter any information in the report number box in the upper right hand corner of Form U. See Chapter 7 for information on obtaining copies of Form U.

EPA will mail a reminder of the need to report and instructions on how to get the reporting documents, including the reporting form and reporting instructions, to those companies that reported in the IUR submission period that occurred immediately prior to the current submission period (i.e. to the 2002 IUR submitters). Failure to receive such a letter does not obviate or otherwise affect the requirement to submit a timely report. If you did not receive a letter but are required to report, you may obtain a copy of the reporting package from EPA by accessing the EPA website at www.epa.gov/oppt/iur, by calling the EPA TSCA Hotline at (202) 554-1404 or TDD (202)-554-0551, or by sending an e-mail message to the EPA TSCA Hotline at *TSCA-Hotline@epa.gov*. If you wish to send a written request for this information, send your request through the U.S. Postal Service to:

TSCA Hotline (7408M)
U.S. Environmental Protection Agency
Office of Pollution Prevention and Toxics
Ariel Rios Building
1200 Pennsylvania Avenue, N.W.
Washington, DC 20460

You may also deliver your request by hand or courier to the following address:

IUR Submissions Coordinator
U.S. EPA - OPPT
EPA East Bldg., Room 6428
1201 Constitution Avenue, N.W.
Washington, DC

6.1 Sending Forms to EPA

You must use EPA's IUR Form U to submit information in response to the requirements of this regulation (40 CFR 710.59(a)). Section 7.3 explains how you may obtain copies of Form U.

Submit your completed written and/or electronic reporting form(s), certified by an authorized official, along with any CBI substantiation letters, to EPA at either of the following addresses (40 CFR 710.59(d)):

Submissions sent by the U.S. Postal Service:	Submissions sent by courier:
IUR Submissions Coordinator (7407M) U. S. Environmental Protection Agency Office of Pollution Prevention and Toxics Ariel Rios Building 1200 Pennsylvania Avenue, N.W. Washington, DC 20460	IUR Submissions Coordinator U.S. EPA - OPPT EPA East Building Room 6428 1201 Constitution Ave., N.W. Washington, DC

To reduce the likelihood of damage to electronic media, it is suggested that diskettes or CDs be submitted by hand delivery.

6.2 Submitting Forms through the Central Data Exchange (CDX)

Beginning in 2006, Inventory Update Reporting may be accomplished electronically using EPA's Central Data Exchange (CDX). Before you can submit data using CDX, you must register with CDX for the Electronic IUR program at http://cdx.epa.gov/epa_home.asp. You will be asked to agree to Terms and Conditions, provide information about your organization and yourself, select a user name and password, create a secret question and answer pair for password resets, and download, complete, and mail an electronic signature agreement to EPA. Once EPA receives the agreement, EPA will send a notice to your registered email address notifying you that your CDX account has been activated, allowing you to upload your IUR submission through CDX using the software provided by EPA.

To create an IUR file for electronic submission through CDX, use the IUR Reporting Software (eIUR) developed and made available by EPA for downloading at http://www.epa.gov/opptintr/iur/. The IUR Reporting Software will guide you through the process of creating an IUR submission at your local workstation. Once your submission has been completed, validate your submission using the software, create and save the submission as an XML (default format) and a PDF file (for your records), and choose CDX as the submission path. The person submitting the report will be asked to provide their CDX user name and password to electronically sign and certify the submission. The software will encrypt the file and allow you to save it on your computer. Selecting the "Connect to CDX Website" button on the software will open a web browser to the CDX home page and begin the electronic submission process. You will need to log in and select eIUR from your "MY CDX" Homepage. At the file upload screen, select your eIUR file and then press "submit."

After your IUR submission has been sent to CDX, you will be taken to a page which provides a transaction identifier that uniquely identifies your submission. After the file is processed and the signature validated, messages will be sent to the registered email address and the associated CDX inbox. These messages will confirm receipt of the IUR submission and validation of the signature.

To maintain the confidentiality of information submitted to EPA, the IUR Reporting Tool encrypts submissions using a Federal Information Processing Standards (FIPS) compliant encryption module. The submission is encrypted by the IUR Reporting Tool and remains encrypted during transmission to CDX, while stored and archived in CDX, and during transmission from CDX to EPA's operational data repository. The file can only be decrypted with OPPT's private key when it has reached its final destination, much like a hard copy submission that was mailed and can only be opened by the recipient for whom it was intended.

You may obtain a paper copy of record, in accordance with the Cross-Media Electronic Reporting Rule (CROMERR) of the file stored in EPA's operational data repository by submitting a request to: U.S. Environmental Protection Agency, Attention: IUR Document Control Officer, Mail Code 7407M, 1200 Pennsylvania Avenue, NW, Washington, DC 20460-0001. In your request, provide the transaction identifier provided to you upon submission of your report. A paper copy of your submission will be sent to the address provided at the time of registration. The paper copy can be compared to the PDF file that was saved prior to submitting the file through CDX. If any discrepancies are noted, notify EPA immediately using the same address as used for requesting the paper copy of your submission.

6.3 Correcting Errors in Submissions for Original Inventory

In reporting under the IUR, you may find that an error was made when you reported for the original Inventory in 1978 or 1979. If that error falls into one of the following categories:

- The chemical identity originally reported was incomplete or inaccurate;
- An isolated intermediate produced during the manufacture of a substance was not recognized when previously reported for the Inventory; or
- EPA informed your company of a reporting error and requested a correction from you, to which you did not respond.

You should file an Inventory Correction, following the procedures outlined in the *Federal Register* notice of July 29, 1980 (45 FR 50544). Reference the original Inventory report form and page number (if appropriate) when you file a correction. For copies of the *Federal Register* notice or further assistance with an Inventory Correction, you may contact:

TSCA Hotline (7408M)
U.S. Environmental Protection Agency
Office of Pollution Prevention and Toxics
Ariel Rios Building
1200 Pennsylvania Avenue, N.W.
Washington, DC 20460

You may also contact the TSCA-Hotline by telephone at (202) 554-1404 or by email sent to tsca-hotline@epa.gov.

Submit your Inventory Correction requests to EPA with your copies of Form U. Your Form U should report the chemical substance you are actually manufacturing or importing.

Explain the correction in a cover letter that specifically references the number of the correction form, the Form U number, and the Form U report line number. The act of correcting errors in submissions to the original Inventory does not grant the person making the correction immunity from enforcement action for any possible violations of the original Inventory Reporting Rule.

6.4 Recordkeeping Requirements

The Inventory regulations require you to retain records on IUR reports for 5 years beginning on the last day of the applicable submission period (40 CFR 710.57). For example, if you submit an IUR report for a submission period ending December 23, 2006, you would be required to retain the records on which the report is based until December 23, 2011. Submitters are encouraged to retain their records longer than 5 years to ensure that past records are available as a reference when new submissions are being generated.

As long as the records are maintained in a manner consistent with normal business practice, you may determine their exact format. Required records include those that show the production volume, plant site, and site-limited status of each substance reported. If a substance is not reported because its site-specific annual production is less than 25,000 pounds, EPA suggests you maintain records to document your reasons for not filing Form U.

If you qualify as an exempt small manufacturer, you need to keep records only for those chemical substances that you are required to report; however, in claiming an exemption, you bear the burden of documenting that you qualify for the exemption.

6.5 Special Instructions for Importers

This section applies to importers who do not know the specific chemical identity of a substance because the foreign supplier chooses to keep it confidential. If you are such an importer, you are still responsible for ensuring that the IUR information is submitted to EPA. You can accomplish this by having your foreign supplier complete some of the information on Form U, as follows:

1. Include a cover letter with your Form U, stating, "The identifying numbers and specific chemical identities for the substances on this form and the technical contact will be submitted by our foreign supplier."

2. Use a separate Form U for each foreign supplier who does not inform you of the identity of the chemical substances you are importing. Do not report by diskette or other electronic media. Do not combine submissions for chemical substances whose identity is unknown with reports for chemicals whose identity is known.

3. Photocopy a blank Form U before entering any information on the form.

4. On the original form, sign the certification statement, enter the technical contact, and complete Parts I through III for each chemical substance. In Part II, Section A, Block 2.A.1, instead of entering the identifying number, enter the trade name or other designation by which you know each chemical substance. Leave Block 2.A.2 blank. Check the "Chemical CBI" box only if you wish to claim the

identities of the chemicals identified on the form as confidential (you must answer the substantiation questions described in Section 5.1). Send this original form to EPA at the address given in Section 6.1.

5. On the photocopy of the blank form, enter only the plant site information. Send this copy to your foreign supplier to complete and forward to EPA at the address in Section 6.1.

6. The foreign supplier should enter its technical contact and company information on the copy, complete Parts I through III, and enter the appropriate specific chemical identities in Part II, Section A. Make sure that your supplier understands which chemical identities belong with each copy of the Form U. If the foreign supplier wishes to claim the chemical identities as confidential, the supplier should check the "CBI" box and submit substantiation as described in Section 5.1. The supplier should include with Form U a letter stating that this information is being submitted by a foreign supplier on behalf of the importer, who should be identified. Information in the letter may be claimed as confidential by circling or bracketing the text to be protected and marking the page "CONFIDENTIAL." Failure to so mark this information may result in EPA making the information available to the public without further notice to the supplier. The foreign supplier should then send the form and letter to EPA at the address in Section 6.1.

7.0 How To Obtain Copies of Documents Cited in This Guidance Document

7.1 Obtaining Copies of the TSCA Regulations

The chemical inventory regulations, 40 CFR Part 710, are available on the internet at the following address:

http://www.access.gpo.gov/nara/cfr/waisidx_05/40cfr710_05.html

You may also contact the TSCA hotline by telephone at (202) 554-1404 or by email tsca-hotline@epa.gov for assistance.

7.2 Obtaining Copies of the Public Portion of the TSCA Inventory

The public portion of the TSCA Inventory is available on computer tape, diskettes, and CD-ROM. These can be obtained from the National Technical Information Service (703-487-4650 or 1-800-553-NTIS). The computer tape version consists of two tapes. The first tape, the Inventory Preferred Name File, is sorted by CAS Registry Number. It contains the CAS Registry Number, CA Index/Preferred Name, molecular formula, and if applicable, the substance definition and appropriate EPA flags (including the "XU" flag for substances exempt from reporting under the Inventory Update Rule) for nonconfidential substances. The second tape, the Inventory Synonym Name file, contains the same data elements as the first tape but differs in two ways. First, it is sorted by chemical name, not CAS Registry Number. Second, in addition to the CA Index/Preferred names, this file also includes valid names (synonyms) as supplied to EPA by Inventory submitters. In contrast to the printed version of the Public Inventory, which includes CAS-derived synonyms, the synonyms listed on this tape are only those reported to EPA by Inventory submitters.

The CD ROM version contains the information on both computer tapes combined, with duplicate information removed. CAS Registry Numbers are listed in numerical order.

The tapes and CD ROM contain only information on nonconfidential chemical substances. They do not refer in any way to chemicals on the TSCA Inventory claimed as confidential.

Contact the following for ordering information for these products:

National Technical Information Service
5285 Port Royal Road
Springfield, VA 22161
Telephone: (703) 487-4650 or (800) 553-NTIS

7.3 Obtaining Copies of Form U

A copy of IUR Form U may be downloaded or printed from the OPPT IUR website found at the following address:

http://www.epa.gov/oppt/iur

Electronic and printed copies of Form U can be obtained from the TSCA hotline at the following address:

TSCA Hotline (7408M)
U.S. Environmental Protection Agency
Office of Pollution Prevention and Toxics
Ariel Rios Building
1200 Pennsylvania Avenue, N.W.
Washington, DC 20460

You may also contact the TSCA Hotline by telephone at (202) 554-1404 or by email at tsca-hotline@epa.gov.

8.0 How to Request Assistance with IUR Reporting

Write to the address below if you need additional information on or assistance with:

- Determining your reporting obligations;
- Mechanics of completing Form U;
- Entering data onto a computer diskette or CD for submission; and
- Determining the status of forms/diskettes you have submitted.

Send requests by the U.S. Postal Service to:

TSCA Hotline (7408M)
U.S. Environmental Protection Agency
Office of Pollution Prevention and Toxics
Ariel Rios Building
1200 Pennsylvania Avenue, N.W.
Washington, DC 20460

Or by hand delivery to:

IUR Submissions Coordinator
U.S. EPA - OPPT
EPA East Building
Room 6428
1201 Constitution Ave., N.W.
Washington, DC

You can also contact the TSCA Hotline by telephone at (202) 554-1404 or by email at tsca-hotline@epa.gov for assistance.

Appendix A

2006 Form U

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PAGE 1 of ____

(IMPORTANT: Type only, read instructions before completing form)

FOR EPA USE ONLY

Report Number	
Mark "X" here if this is a revision to the previous report	

EPA

FORM U **2006**

U.S. Environmental Protection Agency
Washington, DC 20460
Partial Updating of TSCA Inventory Data Base
Site Report
(Section 8(a) Toxic Substances Control Act, 15 U.S.C. 2607(a))

CERTIFICATION

Certification Statement: I hereby certify to the best of my knowledge and belief that Parts I and II have been completed in compliance with the requirements of 40 CFR 710.52(c)(1), (2), and (3); Part III of this form has been completed in compliance with the requirements of 40 CFR 710.52(c)(4); and any confidentiality claims are true and correct as to that information for which they have been asserted.			
Signature		Date signed	
Name (printed)		Official Title	

PART I. SITE IDENTIFICATION INFORMATION

SECTION A. COMPANY INFORMATION*		
1.A.1	Company Name	
1.A.2	Company Dun & Bradstreet Number	

SECTION B. SITE INFORMATION*					
1.B.1	Site Name				
1.B.2	Site Dun & Bradstreet Number		EPA Facility Identification Number	For EPA Use Only Leave Blank	
1.B.3	Street Address (Line 1)				
1.B.4	Street Address (Line 2)				
1.B.5	City		**1.B.6**	County / Parish	
1.B.7	State		**1.B.8**	Zip code	

SECTION C. TECHNICAL CONTACT INFORMATION*							
1.C.1	Name				**1.C.2**	Telephone	
1.C.3	Email Address						
1.C.4	Mailing Address (Line 1)						
1.C.5	Mailing Address (Line 2)						
1.C.6	City		**1.C.7**	State		**1.C.8**	Zip Code

* Confidentiality claims for information in Part I, Sections A, B, and C, are made, as necessary, for each chemical substance on subsequent pages.
EPA Form Number <7740-8> (Rev 06/07/06) - Previous editions are obsolete
Form Approved OMB Number: 2070-0162 (expiration May 2009)

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Page ___ of ___
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PART II. MANUFACTURING INFORMATION

SECTION A. CHEMICAL IDENTIFICATION					CBI	
2.A.1	Chemical Identifying Number		**2.A.2**	ID Code		
2.A.3	Chemical Name					

SECTION B. MANUFACTURING INFORMATION										
			CBI			a. Physical Form		b. Percent of Production Volume in Each Physical Form	
2.B.1	Company Information								
2.B.2	Site Information†								
2.B.3	Technical Contact Information					Check All That Apply	CBI	Percent	CBI
2.B.4	Site Limited (Y/N)			**2.B.10**	Dry Powder				
2.B.5	Activity (Check all that apply)	☐ Manufacture ☐ Import		**2.B.11**	Pellets or Large Crystals				
2.B.6	Manufactured Production Volume (LB)			**2.B.12**	Water or Solvent Wet Solid				
2.B.7	Imported Production Volume (LB)			**2.B.13**	Other Solid				
2.B.8	Number of Workers (code)			**2.B.14**	Gas or Vapor				
2.B.9	Maximum Concentration (code)			**2.B.15**	Liquid				

PART III. PROCESSING AND USE INFORMATION

Complete Part III, Sections A and B if the sum of the production volumes noted in Blocks 2.B.6 and 2.B.7 is 300,000 pounds or more.

SECTION A. INDUSTRIAL PROCESSING AND USE DATA													N/A	
	a. Type of Process or Use		b. (5-digit) NAICS Code		c. Industrial Function Category		d. Percent Production Volume		e. Number of Sites		f. Number of Workers			
	Code	**CBI**	**Code**	**CBI**	**Code**	**CBI**	**Percent**	**CBI**	**Code**	**CBI**	**Code**	**CBI**		
3.A.1														
3.A.2														
3.A.3														
3.A.4														
3.A.5														
3.A.6														
3.A.7														
3.A.8														
3.A.9														
3.A.10														

SECTION B. COMMERCIAL AND CONSUMER USE DATA									N/A	
	a. Commercial and Consumer Product Category		b. Used in Products Intended for Children		c. Percent Production Volume associated with each category		d. Maximum Concentration associated with each category			
	Code	**CBI**	**Y/N/NRO**	**CBI**	**Percent**	**CBI**	**Code**	**CBI**		
3.B.1										
3.B.2										
3.B.3										
3.B.4										
3.B.5										
3.B.6										
3.B.7										
3.B.8										
3.B.9										
3.B.10										

†Substantiation required for CBI claims on chemical identity and site information.

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Concerning EPA Disclosure Information

If you submit information to EPA and claim any of it as confidential, EPA will publicly disclose that information only as allowed by the procedures set forth in 40 CFR Part 2. If no such claim accompanies the information when it is received, EPA may make that information public without further notice to you.

Confidentiality Statements

Information reported to EPA on the above form may be claimed as confidential by checking the appropriate CBI boxes. The person signing the certification statement attests to the truth of the following four statements concerning all information claimed as confidential:

1. My company has taken measures to protect the confidentiality of the information and intends to continue to take such measures.
2. The information is not, and has not been, reasonably obtainable by other persons without our consent (other than through discovery based on a showing of special need in a judicial or quasi-judicial proceeding).
3. The information is not publicly available elsewhere.
4. Disclosure of the information would cause substantial harm to our competitive position.

Paperwork Reduction Act Notice

The annual public burden for this collection of information, which is approved under OMB Control Number 2070-0162, is estimated to be approximately 265 hours per response for manufacturers of inorganic chemical substances and 560 hours per response for manufacturers of organic chemical substances. According to the Paperwork Reduction Act, "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. For this collection it 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 or 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 number. The OMB control number for this collection appears above. In addition, the OMB control numbers for EPA's regulations, after initial display in the final rule, are listed in 40 CFR part 9.

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 the use of automated collection techniques) to: Director, Collection Strategies Division, U.S. Environmental Protection Agency (Mail Code 2822), 1200 Pennsylvania Ave, N.W., Washington, D.C. 20460. Include the OMB control number in any correspondence, but do not submit the completed form to this address. The requested information should be submitted in accordance with the instructions accompanying the form, or as specified in the corresponding regulation.

Submitting Form U

Submissions sent via the U.S. Postal Service:	Submissions sent by Courier or Hand Delivery
IUR Submissions Coordinator (7407M) U. S. Environmental Protection Agency Office of Pollution Prevention and Toxics Ariel Rios Building 1200 Pennsylvania Avenue, N.W. Washington, DC 20460	IUR Submissions Coordinator U.S. EPA - OPPT EPA East Building Room 6428 1201 Constitution Ave., N.W. Washington, DC

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Appendix B

Glossary

The definitions and descriptions of terms used in IUR reporting provided below are taken from 40 CFR part 710 unless otherwise noted.

Act is the Toxic Substances Control Act.

Administrator means the Administrator of the U.S. Environmental Protection Agency, any employee or authorized representative of the Agency to whom the Administrator may either herein or by order delegate his/her authority to carry out his/her functions, or any other person who will by operation of law be authorized to carry out such functions.

An **Article** is any manufactured item (1) which is formed to a specific shape or design during manufacture, (2) which has end-use function(s) dependent in whole or in part upon its shape or design during end use, and (3) which has either no change of chemical composition during its end use or only those changes of composition that have no commercial purpose separate from that of the article and that may occur as described in 40 CFR 710.4(d)(5); except that fluids and particles are not considered articles regardless of shape or design.

Byproduct means a chemical substance produced without separate commercial intent during the manufacture or processing of another chemical substance(s) or mixture(s).

Chemical substance means any organic or inorganic substance of a particular molecular identity, including any combination of such substances occurring in whole or in part as a result of a chemical reaction or occurring in nature, and any chemical element or uncombined radical; "chemical substance" does *not* include:

(1) Any mixture;
(2) Any pesticide when manufactured, processed, or distributed in commerce for use as a pesticide;
(3) Tobacco or any tobacco product, but not including any derivative products;
(4) Any source material, special nuclear material, or byproduct material;
(5) Any pistol, firearm, revolver, shells, and cartridges; and
(6) Any food, food additive, drug, cosmetic, or device, when manufactured, processed, or distributed in commerce for use as a food, food additive, drug, cosmetic, or device.

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Commerce means trade, traffic, transportation, or other commerce: (1) between a place in a State and any place outside of such State, or (2) which affects trade, traffic, transportation, or commerce described in (1).

Commercial use means the use of a chemical substance or mixture in a commercial enterprise providing saleable goods or services (e.g., dry cleaning establishment, painting contractor).

Consumer use means the use of a chemical substance that is directly, or as part of a mixture, sold or made available to consumers for their use in or around a permanent or temporary household or residence, in or around a school, or in or around recreational areas.

Customs territory of the United States, as referenced in TSCA section 3 and defined in general note 2 of the Harmonized Tariff Schedule of the United States, includes only the States, the District of Columbia, and Puerto Rico.

Distribute in commerce and distribution in commerce, when used to describe an action taken with respect to a chemical substance or mixture or article containing a substance or mixture, mean to sell or the sale of the substance, mixture, or article in commerce; to introduce or deliver for introduction into commerce, or the introduction or delivery for introduction into commerce of the substance, mixture, or article; or to hold or the holding of the substance, mixture, or article after its introduction into commerce.

Importer means any person who imports any chemical substance or any chemical substance as part of a mixture or article into the customs territory of the United States and includes: (1) the person primarily liable for the payment of any duties on the merchandise, or (2) an authorized agent acting on his/her behalf (as defined in 19 CFR 101.1).

Impurity means a chemical substance which is unintentionally present with another chemical substance.

Industrial Function Categories represent the specific manner in which a chemical substance is used. The industrial function categories and their corresponding codes are listed in 40 CFR 710.52(c)(4)(C) and are further described in Appendix E.

Industrial use means use at a site at which one or more chemical substances or mixtures are manufactured (including imported) or processed.

An **Inorganic chemical substances** is any chemical substances that does not contain carbon or contains carbon only in the form of carbonato [=CO3], cyano [–CN], cyanato [–OCN], isocyano [–NC], or isocyanato [–NCO] groups, or the chalcogen analogues of such groups. For purposes of the IUR regulation, the following substances (with their associated CAS Registration Numbers) are also considered to be inorganic, even though they do not meet the section 710.46(b)(3) definition of an inorganic substance: Carbon black, 1333-86-4; Carbon, 7440-44-0; Diamond, 7782-40-3; Graphite, 7782-42-5; and Charcoal, 16291-96-6.

Intended for use by children means the chemical substance or mixture is used in a product that is specifically intended for use by children age 14 or younger. A chemical

substance or mixture is intended for use by children when the submitter answers "yes" to at least one of the following questions for the product into which the submitter's chemical substance or mixture is incorporated:

(1) Is the product commonly recognized (i.e., by a reasonable person) as being intended for children age 14 or younger?
(2) Does the manufacturer of the product state through product labeling or other written materials that the product is intended or will be used by children age 14 or younger?
(3) Is the advertising, promotion, or marketing of the product aimed at children age 14 or younger?

Intermediate means any chemical substance:

(1) Which is intentionally removed from the equipment in which it is manufactured; and
(2) Which either is consumed in whole or in part in chemical reaction(s) used for the intentional manufacture of other chemical substance(s) or mixture(s), or is intentionally present for the purpose of altering the rate of such chemical reaction(s).

NOTE: The *equipment in which it was manufactured* includes the reaction vessel in which the chemical substance was manufactured and other equipment that is strictly ancillary to the reaction vessel, and any other equipment through which the chemical substance may flow during a continuous flow process, but does not include tanks or other vessels in which the chemical substance is stored after its manufacture.

Known to or reasonably ascertainable by means all information in a person's possession or control, plus all information that a reasonable person similarly situated might be expected to possess, control, or know.

Manufacture means to manufacture, produce, or import for commercial purposes.

Manufacture or import "for commercial purposes" means to import, produce, or manufacture with the purpose of obtaining an immediate or eventual commercial advantage and includes, for example, the manufacture or import of any amount of a chemical substance or mixture for commercial distribution, including for test marketing, or for use by the manufacturer, including use for product research and development, or as an intermediate.

Master Inventory File is EPA's comprehensive list of chemical substances which constitute the Chemical Substance Inventory compiled under section 8(b) of TSCA. It includes substances reported under 40 CFR 710 subpart A and substances reported under 40 CFR part 720 for which a Notice of Commencement of Manufacture or Import has been received under 40 CFR 720.120.

Microorganism means any combination of chemical substances that is a living organism and that meets the definition of microorganism at 40 CFR 725.3. Any chemical substance produced from a living microorganism is reportable under the IUR regulation unless otherwise excluded.

Mixture is any combination of two or more chemical substances if the combination does not occur in nature and is not, in whole or in part, the result of a chemical reaction; except that "mixture" does include:

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(1) Any combination that occurs, in whole or in part, as a result of a chemical reaction if the combination could have been manufactured for commercial purposes without a chemical reaction at the time the chemical substances comprising the combination were combined and if, after the effective date or premanufacture notification requirements, none of the chemical substances comprising the combination is a new chemical substance; and
(2) Hydrates of a chemical substance or hydrated ions formed by association of a chemical substance with water.

Naturally occurring substance is any chemical substance which is naturally occurring and: (1) which is (i) unprocessed or (ii) processed only by gravitational means, by dissolution in water, by flotation, or by heating solely to remove water; or (2) which is extracted from air by any means (40 CFR 710.4(b)).

New chemical substance means any chemical substance that is not included in the inventory compiled and published under subsection 8(b) of TSCA.

Non-isolated intermediate means any intermediate that is not intentionally removed from the equipment in which it is manufactured, including the reaction vessel in which it is manufactured, equipment which is ancillary to the reaction vessel, and any equipment through which the substance passes during a continuous flow process, but not including tanks or other vessels in which the substance is stored after its manufacture.

Person means any natural or juridical person including any individual, corporation, partnership, or association, any State or political subdivision thereof, or any municipality, any interstate body and any department, agency, or instrumentality of the Federal government.

Polymer means any chemical substance described with the word fragments "*polym*", "*alkyd", or "oxylated" in the Chemical Abstracts Service Index or Preferred Nomenclature in the Chemical Substance Identities section of the 1985 edition of the TSCA Chemical Substance Inventory or in the Master Inventory File, where the asterisk (*) indicates that any sets of characters may precede, or follow, the character string defined. Polymers also include any chemical substance identified in the 1985 edition of the Inventory or the Master Inventory File as siloxane and silicone, silsesquioxane, a protein (albumin, casein, gelatin, gluten, hemoglobin), an enzyme, a polysaccharide starch, cellulose, or gum), rubber, or lignin. However, substances that result from hydrolysis, depolymerization, or chemical modification, regardless of the extent of these processes, of polymers so that the final products are no longer polymeric (e.g., a mixture of amino acids that is the result of hydrolysis of a polypeptide) are not considered to be polymers for purposes of IUR.

Process means the preparation of a chemical substance or mixture, after its manufacture, for distribution in commerce (1) in the same form or physical state as, or in a different form or physical state from, that in which it was received by the person so preparing such substance or mixture; or (2) as part of a mixture or article containing the chemical substance or mixture.

Process for "commercial purposes" means to process: (1) for distribution in commerce, including for test marketing purposes, or (2) for use as an intermediate.

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Processor means any person who processes a chemical substance or mixture.

Readily obtainable information means information known to or readily obtainable by management and supervisory employees of the submitter company who are responsible for manufacturing, processing, technical services, or marketing of the reportable chemical substance. Extensive file searches are not required.

Reasonably likely to be exposed means an exposure to a chemical substance which, under foreseeable conditions of manufacture (including import), processing, distribution in commerce, or use of the chemical substance, is more likely to occur than not to occur. Such exposures would normally include, but would not be limited to, activities such as charging reactor vessels, drumming, bulk loading, cleaning equipment, maintenance operations, materials handling and transfers, and analytical operations. Covered exposures include exposures through any route of entry (inhalation, ingestion, skin contact, absorption, etc.), but excludes accidental or theoretical exposures.

Repackaging means the physical transfer of a chemical substance or mixture, as is, from one container to another container or containers in preparation for distribution of the chemical substance or mixture in commerce.

Reportable chemical substance means any chemical substance which is in the Master Inventory File at the beginning of a submission period described in 40 CFR 710.53, unless the substance is specifically exempted by 40 CFR 710.46.

Reporting year is the calendar year in which information to be reported to EPA during an IUR submission period is generated (i.e., calendar year 2005 and the calendar year at 5-year intervals thereafter).

Site means a contiguous property unit. Property divided only by a public right-of-way will be considered one site. There may be more than one manufacturing plant on a single site. For the purposes of imported chemical substances, the site will be the business address of the importer.

Site-limited means a chemical substance is manufactured and processed only within a site and is not distributed for commercial purposes as a substance or as part of a mixture or article outside the site. Imported substances are never site-limited. Although a site-limited chemical substance is not distributed for commercial purposes outside the site at which it is manufactured and processed, the substance is considered to have been manufactured and processed for commercial purposes.

Small quantities for purposes of scientific experimentation or analyses or chemical research on, or analysis of, such substance or another substance, including any such research or analysis for the development of a product means quantities of a chemical substance manufactured, imported, or processed or proposed to be manufactured, imported or processed that:

(1) Are no greater than reasonably necessary for such purposes, and
(2) After the publication of the revised inventory, are used by, or directly under the supervision of, a technically qualified individual(s).

NOTE: Any chemical substances manufactured, imported, or processed in quantities less than 1,000 pounds (454 kg) annually will be presumed to be manufactured, imported, or processed for research and development purposes. No person may report for the inventory any chemical substance in such quantities unless that person can certify that the substance was not manufactured, imported, or processed solely in small quantities for research and development.

State is any state of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Northern Mariana Islands, or any other territory or possession of the United States.

Submission period means the period in which the information generated during the reporting year is submitted to EPA.

Technically qualified individual is a person:

(1) Who because of his/her education, training, or experience, or a combination of these factors, is capable of appreciating the health and environmental risks associated with the chemical substance that is used under his/her supervision,

(2) Who is responsible for enforcing appropriate methods of conducting scientific experimentation, analysis, or chemical research in order to minimize such risks, and

(3) Who is responsible for the safety assessments and clearances related to the procurement, storage, use, and disposal of the chemical substance as may be appropriate or required within the scope of conducting the research and development activity. The responsibilities in this paragraph may be delegated to another individual, or other individuals, as long as each meets the criteria in paragraph (1) of this definition.

Test marketing means the distribution in commerce of no more than a predetermined amount of chemical substance, mixture, or article containing that chemical substance or mixture, by a manufacturer or processor to no more than a defined number of potential customers to explore market capability in a competitive situation during a predetermined testing period prior to the broader distribution of that chemical substance, mixture, or article in commerce.

United States, when used in the geographic sense, means all of the states, territories, and possessions of the United States.

Use means any utilization of a chemical substance or mixture that is not otherwise covered by the terms “manufacture” or “process.” Relabeling or redistributing a container holding a chemical substance or mixture where no repackaging of the chemical substance or mixture occurs does not constitute use or processing of the chemical substance or mixture.

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Appendix C

Chemical Substances that are the Subject of Certain TSCA Orders, Proposed or Final TSCA Rules, or Relief Granted under Civil Actions

(as of June 2006)

Listed below are the CAS Registry Numbers (for non-confidential chemical substances) or Accession Numbers (for confidential substances) of substances that are the subject of a rule, proposed or promulgated under TSCA section 4, 5(a)(2), 5(b)(4), or 6; an order issued under section 5(e)or 5(f) of TSCA; or relief that has been granted under a civil action under sections 5 or 7 of TSCA as of March 2006 (see 40 CFR 710.46 and 710.49).

IMPORTANT: This document is intended to be an information resource. While EPA has tried to provide an accurate list of chemicals, the list may contain errors and omissions. This list should not be relied upon in lieu of relevant orders, *Federal Register* documents, or the *Code of Federal Regulations*. In the event of a conflict between this list and orders, *Federal Register* documents, or the *Code of Federal Regulations*, this list will not be considered controlling.

In addition, please note that this list does NOT contain a full listing of all chemicals subject to the IUR rule. The list is only intended to include those chemicals which would otherwise be wholly or partially exempted from IUR requirements but for which information must be reported because they are the subject of certain TSCA actions as noted above. The exemptions for polymers, inorganic substances, or microorganisms do not apply for substances on these lists. The exemption for small businesses does not apply to some of the chemicals on these lists. The exemption for naturally occurring substances is still valid for chemicals on these lists, as discussed in Section 2.1.2.4 of this Instruction Manual. If after consulting the list you are uncertain as to the regulatory status of a chemical substance, see Section 8.0 for information on how to request assistance from EPA.

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Table C-1. Chemicals which are the Subject of a Proposed or Final Significant New Use Rule (TSCA Section 5(a)(2))

By Accession Number

15544	80912	127992	141629
30309	81426	128111	141889
32178	84801	128155	141925
38585	87560	128520	142086
41259	87968	129147	142360
42741	88063	129169	143034
43313	88472	129487	143410
44292	90212	129750	143501
45002	91680	129829	143636
49435	93835	130348	143807
49457	97008	130360	143896
50567	97291	130428	143965
52381	97859	130940	144117
52676	101601	131103	144388
53215	101974	131125	144719
53862	102057	131830	144797
55904	102966	132311	145756
56236	103378	132355	145814
57397	103798	132537	146282
58834	105090	132651	146340
59531	105578	132811	146453
59622	106720	132855	146588
60787	106877	133256	146646
62283	107450	133336	146975
62625	108260	133370	147036
64621	109525	133438	147229
65328	112233	133507	147570
65599	112380	134077	147809
65851	112766	134179	147923
66387	113236	134704	148073
66503	114024	135149	148164
66616	115981	135649	148459
67993	119585	135672	148835
68101	120208	135945	149021
68474	121585	136335	149281
69239	121621	136482	150595
71546	121972	136722	150711
72414	122395	136880	151247
73484	122704	137361	151372
73542	122908	137418	151690
73906	123116	137963	152115
73939	123296	138104	152386
73995	123401	138217	152897
75015	123650	138342	152955
76972	123785	138455	153196
77511	123898	138557	153232
77668	124540	138751	153312
77759	124595	139674	153889
77873	125792	139787	154473
78581	125883	140502	154724
79164	126002	141072	154768
80376	126615	141323	154917

Table C-1 (Continued)

155750	165516	175032	251491
156015	165538	176091	252187
156128	166519	176875	254003
156140	167261	176911	255471
156413	167512	176922	255686
156424	167830	177969	256872
156526	167910	178097	257002
157109	167943	178495	257455
157701	168377	178508	260561
158226	168504	179090	261348
158511	168935	179329	262874
158635	169290	190762	262932
158715	170059	211871	264472
158726	171063	230967	267391
158975	172055	232532	268576
159003	172088	234798	269626
159138	172351	234914	270565
159229	172691	236807	274067
159570	172737	237684	274498
160180	172793	238085	274943
160840	173014	240983	275219
161070	173296	242207	275253
161887	173310	242901	275468
161898	173343	243313	275651
162222	173489	243799	276825
162415	173649	244009	276836
162459	173876	244941	277102
163474	174131	246469	277293
163929	174313	247495	278627
163985	174324	249297	278638
165141	174368	250023	279084
165505	174722	250089	279573

By CAS Registry Number

50-07-7	94-04-2	335-77-3	460-92-4
50-29-3	95-69-2	335-97-7	531-85-1
50-55-5	95-94-3	353-50-4	573-58-0
51-79-6	99-35-4	354-21-2	591-78-6
56-04-2	101-55-3	354-25-6	608-93-5
56-49-5	107-04-0	355-03-3	615-53-2
56-53-1	109-86-4	355-46-4	622-86-6
62-44-2	110-49-6	372-39-4	680-31-9
62-50-0	110-80-5	375-03-1	690-27-7
70-25-7	111-15-9	375-81-5	693-38-9
70-30-4	123-54-6	375-92-8	693-57-2
75-88-7	123-63-7	376-14-7	773-14-8
76-01-7	126-72-7	383-07-3	811-97-2
85-22-3	306-83-2	423-50-7	930-55-2
87-63-8	307-35-7	423-82-5	931-35-1
92-66-0	307-51-7	423-86-9	1116-54-7
92-86-4	335-24-0	428-59-1	1129-42-6
92-87-5	335-71-7	460-70-8	1187-03-7

Table C-1 (Continued)

1489-69-6	3811-71-0	21807-69-2	51851-37-7
1511-62-2	3820-83-5	22094-81-1	51868-46-3
1649-08-7	3871-50-9	22094-83-3	52032-20-9
1652-63-7	3871-99-6	22094-85-5	52166-82-2
1660-95-3	3872-25-1	22576-65-4	52495-71-3
1690-76-2	3984-22-3	23153-23-3	52550-45-5
1691-99-2	4151-50-2	24307-26-4	54423-67-5
1705-60-8	4161-22-2	24448-09-7	55120-77-9
1737-93-5	4335-09-5	24924-36-5	56553-60-7
1763-23-1	4694-91-1	25245-34-5	55910-10-6
1869-77-8	5117-12-4	25268-77-3	56372-23-7
1888-71-7	5397-03-5	25608-40-6	56553-60-7
1893-52-3	5958-25-8	26172-55-4	56773-42-3
1937-37-7	6196-98-1	26694-69-9	56875-68-4
2052-07-5	6304-39-8	27603-25-4	57589-85-2
2113-57-7	6358-80-1	27610-48-6	58576-98-0
2250-98-8	6360-29-8	27753-52-2	58577-08-5
2263-09-4	6360-54-9	27858-07-7	58857-49-1
2302-97-8	6752-33-6	27936-88-5	58920-31-3
2368-80-1	7345-69-9	28554-31-6	59071-10-2
2417-04-1	7439-97-6	29081-56-9	59447-55-1
2429-73-4	7446-14-2	29091-20-1	59789-51-4
2429-79-0	7758-97-6	29117-08-6	60270-55-5
2429-81-4	7789-99-3	29457-72-5	60466-61-7
2429-82-5	8014-91-3	30025-38-8	60825-27-6
2429-83-6	8068-03-9	30381-98-7	61577-14-8
2429-84-7	10190-55-3	30486-37-4	61660-12-6
2432-99-7	10192-46-8	30813-81-1	62435-71-6
2479-46-1	12027-96-2	31506-32-8	63936-56-1
2586-58-5	12031-65-1	31775-16-3	64712-27-2
2602-46-2	12036-37-2	32315-10-9	64723-18-8
2615-25-0	12056-51-8	32534-81-9	65992-66-7
2682-20-4	12057-17-9	32536-52-0	66008-68-2
2706-91-4	12141-67-2	32539-16-5	66008-69-3
2716-10-1	12175-02-9	34415-31-1	66008-70-6
2716-12-3	12656-57-4	34455-03-3	67584-42-3
2795-39-3	12656-85-8	34621-99-3	67584-48-9
2840-00-8	13417-01-1	35544-45-7	67584-49-0
2893-80-3	13439-89-9	36177-92-1	67584-50-3
2965-52-8	13654-09-6	36355-01-8	67584-52-5
2991-50-6	14650-24-9	36483-60-0	67584-53-6
2991-51-7	14720-55-9	38006-74-5	67584-54-7
2991-52-8	15827-56-2	38850-52-1	67584-56-9
3052-70-8	16068-37-4	38850-58-7	67584-57-0
3083-25-8	16071-86-6	38850-60-1	67584-58-1
3089-19-8	16079-88-2	39142-28-4	67584-60-5
3107-18-4	16096-31-4	40088-47-9	67584-61-6
3132-64-7	16298-38-7	41088-52-2	67584-62-7
3165-93-3	17202-41-4	41240-76-0	67906-38-1
3377-92-2	19019-43-3	43048-08-4	67906-40-5
3389-71-7	19201-36-6	50598-28-2	67906-41-6
3397-65-7	19372-44-2	50598-29-3	67906-42-7
3530-19-6	19721-22-3	50622-20-3	67906-70-1
3567-65-5	21055-88-9	51032-47-4	67906-71-2
3626-28-6	21160-95-2	51160-97-5	67906-73-4

Table C-1 (Continued)

67906-74-5	68299-20-7	68958-60-1	91788-83-9
67923-61-9	68299-21-8	68958-61-2	92484-07-6
67939-36-0	68299-29-6	69938-76-7	93072-06-1
67939-37-1	68299-39-6	70225-14-8	93589-69-6
67939-42-8	68310-02-1	70225-15-9	94133-90-1
67939-61-1	68310-17-8	70225-16-0	94148-67-1
67939-87-1	68310-75-8	70225-17-1	94213-53-3
67939-88-2	68318-34-3	70225-20-6	94317-64-3
67939-90-6	68318-36-5	70225-24-0	94933-05-8
67939-92-8	68329-56-6	70225-26-2	95590-48-0
67939-93-9	68391-09-3	70248-52-1	96152-42-0
67939-94-0	68541-01-5	70776-36-2	96478-09-0
67939-96-2	68541-02-6	70900-40-2	96549-95-0
67939-97-3	68541-80-0	71463-74-6	98999-57-6
67939-98-4	68555-69-1	71463-78-0	100545-50-4
67940-02-7	68555-70-4	71463-79-1	100912-15-0
67969-69-1	68555-71-5	71463-80-4	101646-62-2
68081-83-4	68555-72-6	71463-81-5	101646-63-3
68084-62-8	68555-73-7	71487-20-2	103490-06-8
68156-00-3	68555-74-8	71526-07-3	103490-08-0
68156-01-4	68555-75-9	72785-08-1	103580-64-9
68156-06-9	68555-76-0	72804-49-0	103697-96-7
68156-07-0	68555-78-2	73018-93-6	104503-68-6
68227-87-2	68555-79-3	73019-19-9	105362-40-1
68227-94-1	68555-81-7	73019-20-2	105658-30-8
68227-96-3	68555-90-8	73019-28-0	106008-93-9
68227-97-4	68555-91-9	73038-33-2	106008-94-0
68227-98-5	68555-92-0	73275-59-9	106359-91-5
68227-99-6	68568-77-4	73772-32-4	106790-31-2
68228-00-2	68586-14-1	73772-33-5	110726-28-8
68239-72-5	68608-13-9	73772-34-6	110843-97-5
68239-73-6	68608-14-0	75405-06-0	110843-98-6
68239-74-7	68649-26-3	78245-94-0	111109-77-4
68239-75-8	68797-76-2	79710-86-4	116671-32-0
68259-06-3	68815-72-5	79771-08-7	117397-31-6
68259-07-4	68867-60-7	79771-09-8	117806-54-9
68259-08-5	68867-62-9	81190-38-7	118716-61-3
68259-09-6	68877-32-7	81711-69-5	118716-62-4
68259-12-1	68891-96-3	82799-44-8	119438-11-8
68259-14-3	68891-97-4	83048-65-1	119462-56-5
68259-15-4	68891-98-5	83748-27-0	119535-63-6
68259-38-1	68891-99-6	83748-28-1	121144-97-6
68259-39-2	68909-15-9	84268-08-6	121255-03-6
68298-06-6	68928-80-3	85029-61-4	121776-57-6
68298-08-8	68957-31-3	85137-09-3	122035-71-6
68298-09-9	68957-32-4	85586-67-0	124993-63-1
68298-10-2	68957-53-9	85712-26-1	125630-94-6
68298-11-3	68957-54-0	85712-27-2	125904-10-1
68298-13-5	68057-55-1	85736-97-6	125904-11-2
68298-60-2	68957-57-3	86917-58-0	125997-20-8
68298-62-4	68957-58-4	87676-07-1	126213-50-1
68298-78-2	68957-60-8	89610-32-2	126505-35-9
68298-80-6	68957-61-9	90884-29-0	127133-66-8
68298-81-7	68957-62-0	91081-99-1	129733-59-1
68298-89-5	68957-63-1	91144-26-2	129813-71-4

Table C-1 (Continued)

130097-33-5	152007-82-4	182238-10-4	251099-16-8
130169-66-3	153454-44-5	182635-99-0	258839-39-3
130353-62-7	153590-17-1	183562-46-1	259871-68-6
130728-76-6	153699-23-1	184719-88-8	290364-23-7
132482-53-2	155613-93-7	184785-38-4	290364-24-8
132767-86-3	156294-54-1	186321-98-2	297175-71-4
133911-74-7	157627-99-1	189120-62-5	300371-38-4
134701-20-5	157707-95-4	189120-63-6	306973-46-6
134818-69-2	159574-72-8	189354-73-2	306973-47-7
135011-47-1	160901-25-7	190525-00-9	306974-19-6
136040-19-2	163206-28-8	192439-46-6	306974-28-7
136504-96-6	163206-29-9	192662-29-6	306974-45-8
137787-41-8	163292-61-3	192726-23-1	306974-63-0
137873-52-0	163436-84-8	193635-72-2	306975-56-4
138495-42-8	163879-69-4	195008-77-6	306975-57-5
138859-29-7	163961-26-0	196109-17-8	306975-62-2
141420-50-0	163961-34-0	197527-19-8	306975-84-8
142828-65-7	164383-18-0	199487-82-6	306975-85-9
144761-93-3	166432-58-2	201167-69-3	306976-25-0
145556-04-3	167412-23-9	202483-48-5	306976-55-6
147129-86-0	168113-88-0	203809-20-5	306977-10-6
147170-38-5	168811-65-2	204336-40-3	306977-58-2
147170-47-6	170678-69-0	204401-83-2	306978-04-1
147732-58-9	174254-18-3	205764-98-3	306978-65-4
147783-69-5	174305-36-3	206009-82-7	306979-40-8
148240-78-2	174333-80-3	208343-47-9	306980-27-8
148240-80-6	178094-69-4	208408-03-1	327177-98-0
148240-81-7	178452-72-7	210181-71-8	329928-84-9
148240-82-8	178535-22-3	220075-01-4	333784-10-4
148373-01-7	179005-06-2	221279-59-0	364059-77-8
148684-79-1	180031-79-2	222975-06-6	391232-99-8
149303-87-7	180685-86-3	235083-88-2	474095-58-4
149564-65-8	180850-95-7	235083-90-6	595585-15-2
151686-36-1	181828-07-9	238420-68-3	
151717-27-0	182238-09-1	249297-16-3	

Also, chemical substances which are nitrates of the alkali metals (Group 1A in the periodic classification of chemical elements) lithium, sodium, potassium, rubidium, cesium, and francium when used as an ingredient in metalworking fluids. (see 40 CFR 721.470)

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Table C-2. Chemicals which are the Subject of a Proposed or Final Test Rule (TSCA Section 4)

By CAS Registry Number

57-10-3	107-21-1	594-42-3	17557-23-2
74-93-1	107-31-3	608-71-9	17963-04-1
74-95-3	108-03-2	608-93-5	20217-01-0
74-97-5	108-10-1	615-58-7	21850-44-2
75-05-8	108-19-0	624-83-9	22421-59-6
75-15-0	108-31-6	640-19-7	25013-15-4
75-35-4	108-39-4	930-37-0	25155-23-1
75-36-5	108-60-1	933-75-5	25327-89-3
77-73-6	108-90-7	1163-19-5	26447-14-3
78-11-5	108-93-0	1241-94-7	26761-45-5
78-33-1	109-66-0	1324-76-1	27193-86-8
78-59-1	109-99-9	1330-78-5	28108-99-8
78-87-5	110-12-3	1940-42-7	29761-21-5
79-00-5	110-44-1	2210-79-9	32534-81-9
79-20-9	111-11-5	2224-15-9	32536-52-0
79-31-2	111-42-2	2238-07-5	32568-89-1
79-46-9	111-84-2	2425-01-6	34590-94-8
79-94-7	112-52-7	2425-79-8	35243-89-1
79-95-8	115-86-6	2426-08-6	37853-59-1
80-62-6	118-75-2	2461-15-6	37853-61-5
84-65-1	118-79-6	2528-36-1	38304-52-8
85-44-9	118-82-1	2530-83-8	54208-63-8
87-10-5	120-36-5	2897-60-1	56803-37-3
87-65-0	120-80-9	2941-64-2	60501-41-9
91-20-3	120-82-1	3072-84-2	61578-04-9
92-52-4	120-83-2	3101-60-8	65652-41-7
95-48-7	121-69-7	3188-83-8	65996-78-3
95-77-2	122-39-4	3194-55-6	68134-06-5
95-80-7	122-60-1	3568-29-4	68134-07-6
95-95-4	123-30-8	3772-94-9	68153-30-0
98-29-3	123-33-1	4016-11-9	68517-02-2
98-86-2	123-42-2	4016-14-2	68609-96-1
99-28-5	126-80-7	4162-45-2	68611-64-3
100-00-5	126-99-8	5026-74-4	68937-41-7
100-01-6	127-19-5	5255-75-4	68959-23-9
100-21-0	128-39-2	5493-45-8	68987-80-4
100-41-4	141-78-6	7328-97-4	69155-42-6
100-44-7	142-82-5	7422-52-8	71033-08-4
101-90-6	149-44-0	7647-01-0	71808-64-5
104-76-7	150-76-5	7664-39-3	72319-24-5
106-42-3	320-72-9	7665-72-7	74398-71-3
106-44-5	409-02-9	7782-50-5	75150-13-9
106-46-7	463-58-1	8005-02-5	85322-38-9
106-90-1	556-52-5	13236-02-7	
106-92-3	576-24-9	13561-08-5	
107-06-2	576-26-1	14228-73-0	
107-13-1	583-78-8	16532-79-9	

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Table C-3. Chemicals which are the Subject of a TSCA Section 5(e) Consent Order

By Accession Number

30309	91680	133336	173343
32178	93835	137361	174324
38585	97008	138499	175032
41259	97291	139674	176364
42741	101601	140502	176853
43313	102057	140591	176922
44292	102966	141072	178495
45002	103378	141323	179090
50567	103798	141925	190762
53862	105090	142086	232918
56236	105578	143310	235152
57397	106720	144402	236501
59531	106877	144797	237026
59622	107450	145165	240212
60787	108260	145563	242467
62283	109525	145643	242956
62625	112233	146453	243313
64621	112380	146588	243335
65328	112766	148084	247826
65599	113236	148164	249720
66387	114024	150595	250476
66503	115981	150711	251333
66616	119585	152386	252290
67993	120208	153174	254456
68101	121621	153232	254489
68474	121972	154473	254978
71546	122395	154688	256214
72414	122704	155750	256236
73484	122908	156424	256634
73542	123116	156526	256645
73906	123296	157825	257922
73939	123401	159003	259360
73995	123785	159650	260721
75015	123898	160044	263526
76972	124540	162222	264949
77511	124595	163474	266218
77668	125792	163929	266865
77759	126002	165141	269820
77873	126615	166597	270565
78581	128155	168162	271739
79164	129169	168504	272721
80376	129750	169290	275651
80912	129829	170059	276314
81426	130291	171358	277339
84801	130428	171596	279744
87560	131103	172691	279755
87968	131125	172737	
88472	132651	173296	
90212	132811	173310	

Table C-3 (Continued)

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By CAS Registry Number

94-04-2	19829-42-6	96549-95-0	155613-93-7
359-07-9	20138-28-7	99636-32-5	156294-54-1
372-39-4	20783-50-0	99742-80-0	158948-13-1
622-86-6	21160-95-2	100402-91-3	161717-32-4
693-57-2	21807-69-2	103490-06-8	163206-29-9
1129-42-6	27610-48-6	103490-08-0	163206-32-4
1489-69-6	28554-31-6	103697-96-7	163292-64-6
1511-62-6	29091-20-1	105658-30-8	166432-57-1
1660-95-3	30486-37-4	106790-31-2	166514-73-4
1690-76-2	30813-81-1	110843-97-5	167412-23-9
1705-60-8	31775-16-3	110843-98-6	174974-45-9
1737-93-5	32315-10-9	116671-32-0	175205-96-6
2146-71-6	34415-31-1	119438-11-8	177528-09-5
2417-04-1	34621-99-3	119914-24-8	180071-71-0
2479-46-1	39290-90-9	121144-97-6	181828-07-9
2615-25-0	39318-30-4	121255-03-6	182238-10-4
2716-10-1	51160-97-5	121776-57-6	182970-05-4
2716-12-3	52495-71-3	122035-71-6	189120-62-5
2840-00-8	54423-67-5	124756-59-8	189120-63-6
3052-70-8	59447-55-1	124993-63-1	192726-23-1
3377-92-2	59789-51-4	125904-10-1	193635-72-2
3971-28-6	60466-61-7	125904-11-2	195888-92-7
3984-22-3	60825-27-6	125997-20-8	196521-82-1
4694-91-1	62435-71-6	126505-35-9	200443-94-3
5117-12-4	65992-66-7	126682-74-4	201167-69-3
5958-25-8	66988-04-3	130169-66-3	206886-68-2
6196-98-1	69938-76-7	130353-62-7	211389-36-5
6304-39-8	71526-07-3	130728-76-6	211578-04-0
6921-17-1	73231-04-6	132299-20-8	211578-08-4
7789-99-3	75405-06-0	133911-74-7	212335-59-6
12027-96-2	77939-50-5	135011-47-1	212335-62-1
12031-65-1	77986-14-2	136504-96-6	215856-72-7
12032-75-6	78245-94-0	137622-07-2	216583-60-7
12036-37-2	78543-39-2	137622-08-3	216583-66-3
12049-47-7	84268-08-6	137873-52-0	216583-91-4
12056-51-8	85029-61-4	138859-29-7	216583-94-7
12057-17-9	85712-26-1	141420-50-0	216583-95-8
12163-45-0	85712-27-2	144761-93-3	216593-48-5
12230-80-7	86917-58-0	145556-04-3	216593-49-6
12232-96-1	87676-07-1	147732-58-9	216593-54-3
12438-71-0	90884-29-0	148124-41-8	216593-55-4
15827-56-2	92044-87-6	148124-42-9	216977-01-4
16096-31-4	92484-07-6	148373-01-7	218163-12-3
18241-31-1	93589-69-6	149303-87-7	224646-44-0
18934-00-4	94054-35-0	151686-36-1	251553-55-6
19372-44-2	94317-64-3	153454-44-5	253685-23-3
19721-22-3	96478-09-0	153699-23-1	258839-39-3

Table C-3 (Continued)

329928-84-9	332350-93-3	352661-91-7	392662-40-7
332350-90-0	350820-95-0	359427-90-0	406207-51-0

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Table C-4. Chemicals which are the Subject of a TSCA Section 5(f) Order

By Accession Number

62705

By CAS Registry Number

85204-21-3

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Table C-5. Chemical Substances which are the Subject of a Proposed or Final TSCA Section 6 Rule

By Accession Number

62705

By CAS Registry Number

1332-21-4	7775-11-3	10588-01-9	13530-68-2
1333-82-0	7778-50-9	11103-86-9	14018-95-2
1336-36-3	7789-00-6	13530-65-9	85204-21-3
7738-94-5			

Also hexavalent chromium-based water treatment chemicals used in cooling systems; examples include: sodium dichromate (CAS No. 10588-01-9), chromic acid (CAS No. 7738-94-5), chromium trioxide (CAS No. 1333-83-0), dichromic acid (CAS No. 13530-68-2), potassium chromate (CAS No. 7789-00-6), sodium chromate (CAS No. 7775-11-3), zinc chromate (CAS No. 13530-65-9), zinc chromate hydroxide (CAS No. 153936-94-6), zinc dichromate (CAS No. 14018-95-2), and zinc potassium chromate (CAS No. 11103-86-9).

Also asbestos, the asbestiform varieties of chrysotile (serpentine); crocidolite (riebeckite); amosite (cummingtonite-grunerite; tremolite; anthophylite; and actinolite.

Also polychlorinated biphenyls collectively given the CAS No. 1336-36-3 and which include any chemical substance containing the biphenyl molecule that has been chlorinated to varying degrees or any combination of substances which may contain such substances.

Appendix D

Chemicals Partially Exempt from Reporting in 2006

Chemical substances that are partially exempt from reporting requirements under the IUR regulation in 2006 are listed in 40 CFR 710.46(b)(1) and 710.46(b)(2); these lists are copied below. Note that inorganic chemicals are also partially exempt from reporting requirements in 2006 although they are not listed in this appendix (40 CFR 710.46(b)(3)).

IMPORTANT: This document is intended to be an information resource. While EPA has tried to provide an accurate list of chemicals, the list may contain errors and omissions. This list should not be relied upon in lieu of the *Code of Federal Regulations*. In the event of a conflict between this list and the *Code of Federal Regulations*, this list will not be considered controlling.

Partially Exempt Chemicals Termed "Petroleum Process Streams" Under §710.46(b)(1)

CAS No.	Product
7732–18–5	Water
8002–05–9	Petroleum
8002–74–2	Paraffin waxes and hydrocarbon waxes
8006–20–0	Fuel gases, low and medium B.T.U.
8008–20–6	Kerosine (petroleum)
8009–03–8	Petrolatum
8012–95–1	Paraffin oils
8030–30–6	Naphtha
8032–32–4	Ligroine
8042–47–5	White mineral oil (petroleum)
8052–41–3	Stoddard solvent
8052–42–4	Asphalt
61789-60-4	Pitch
63231–60–7	Paraffin waxes and hydrocarbon waxes, microcryst.
64741–41–9	Naphtha (petroleum), heavy straight-run
64741–42–0	Naphtha (petroleum), full-range straight-run
64741–43–1	Gas oils (petroleum), straight-run
64741–44–2	Distillates (petroleum), straight-run middle

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
64741–45–3	Residues (petroleum), atm. Tower
64741–46–4	Naphtha (petroleum), light straight-run
64741–47–5	Natural gas condensates (petroleum)
64741–49–7	Condensates (petroleum), vacuum tower
64741–50–0	Distillates (petroleum), light paraffinic
64741–51–1	Distillates (petroleum), heavy paraffinic
64741–52–2	Distillates (petroleum), light naphthenic
64741–53–3	Distillates (petroleum), heavy naphthenic
64741–54–4	Naphtha (petroleum), heavy catalytic cracked
64741–55–5	Naphtha (petroleum), light catalytic cracked
64741–56–6	Residues (petroleum), vacuum
64741–57–7	Gas oils (petroleum), heavy vacuum
64741–58–8	Gas oils (petroleum), light vacuum
64741–59–9	Distillates (petroleum), light catalytic cracked
64741–60–2	Distillates (petroleum), intermediate catalytic cracked
64741–61–3	Distillates (petroleum), heavy catalytic cracked
64741–62–4	Clarified oils (petroleum), catalytic cracked
64741–63–5	Naphtha (petroleum), light catalytic reformed
64741–64–6	Naphtha (petroleum), full-range alkylate
64741–65–7	Naphtha (petroleum), heavy alkylate
64741–66–8	Naphtha (petroleum), light alkylate
64741–67–9	Residues (petroleum), catalytic reformer fractionator
64741–68–0	Naphtha (petroleum), heavy catalytic reformed
64741–69–1	Naphtha (petroleum), light hydrocracked
64741–70–4	Naphtha (petroleum), isomerization
64741–73–7	Distillates (petroleum), alkylate
64741–74–8	Naphtha (petroleum), light thermal cracked
64741–75–9	Residues (petroleum), hydrocracked
64741–76–0	Distillates (petroleum), heavy hydrocracked
64741–77–1	Distillates (petroleum), light hydrocracked
64741–78–2	Naphtha (petroleum), heavy hydrocracked
64741–79–3	Coke (petroleum)
64741–80–6	Residues (petroleum), thermal cracked
64741–81–7	Distillates (petroleum), heavy thermal cracked
64741–82–8	Distillates (petroleum), light thermal cracked

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
64741–83–9	Naphtha (petroleum), heavy thermal cracked
64741–84–0	Naphtha (petroleum), solvent-refined light
64741–85–1	Raffinates (petroleum), sorption process
64741–86–2	Distillates (petroleum), sweetened middle
64741–87–3	Naphtha (petroleum), sweetened
64741–88–4	Distillates (petroleum), solvent-refined heavy paraffinic
64741–89–5	Distillates (petroleum), solvent-refined light paraffinic
64741–90–8	Gas oils (petroleum), solvent-refined
64741–91–9	Distillates (petroleum), solvent-refined middle
64741–92–0	Naphtha (petroleum), solvent-refined heavy
64741–95–3	Residual oils (petroleum), solvent deasphalted
64741–96–4	Distillates (petroleum), solvent-refined heavy naphthenic
64741–97–5	Distillates (petroleum), solvent-refined light naphthenic
64741–98–6	Extracts (petroleum), heavy naphtha solvent
64741–99–7	Extracts (petroleum), light naphtha solvent
64742–01–4	Residual oils (petroleum), solvent-refined
64742–03–6	Extracts (petroleum), light naphthenic distillate solvent
64742–04–7	Extracts (petroleum), heavy paraffinic distillate solvent
64742–05–8	Extracts (petroleum), light paraffinic distillate solvent
64742–06–9	Extracts (petroleum), middle distillate solvent
64742–07–0	Raffinates (petroleum), residual oil decarbonization
64742–08–1	Raffinates (petroleum), heavy naphthenic distillate decarbonization
64742–09–2	Raffinates (petroleum), heavy paraffinic distillate decarbonization
64742–10–5	Extracts (petroleum), residual oil solvent
64742–11–6	Extracts (petroleum), heavy naphthenic distillate solvent
64742–12–7	Gas oils (petroleum), acid-treated
64742–13–8	Distillates (petroleum), acid-treated middle
64742–14–9	Distillates (petroleum), acid-treated light
64742–15–0	Naphtha (petroleum), acid-treated
64742–16–1	Petroleum resins
64742–18–3	Distillates (petroleum), acid-treated heavy naphthenic
64742–19–4	Distillates (petroleum), acid-treated light naphthenic
64742–20–7	Distillates (petroleum), acid-treated heavy paraffinic
64742–21–8	Distillates (petroleum), acid-treated light paraffinic
64742–22–9	Naphtha (petroleum), chemically neutralized heavy

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
64742–23–0	Naphtha (petroleum), chemically neutralized light
64742–24–1	Sludges (petroleum), acid
64742–25–2	Lubricating oils (petroleum), acid-treated spent
64742–26–3	Hydrocarbon waxes (petroleum), acid-treated
64742–27–4	Distillates (petroleum), chemically neutralized heavy paraffinic
64742–28–5	Distillates (petroleum), chemically neutralized light paraffinic
64742–29–6	Gas oils (petroleum), chemically neutralized
64742–30–9	Distillates (petroleum), chemically neutralized middle
64742–31–0	Distillates (petroleum), chemically neutralized light
64742–32–1	Lubricating oils (petroleum), chemically neutralized spent
64742–33–2	Hydrocarbon waxes (petroleum), chemically neutralized
64742–34–3	Distillates (petroleum), chemically neutralized heavy naphthenic
64742–35–4	Distillates (petroleum), chemically neutralized light naphthenic
64742–36–5	Distillates (petroleum), clay-treated heavy paraffinic
64742–37–6	Distillates (petroleum), clay-treated light paraffinic
64742–38–7	Distillates (petroleum), clay-treated middle
64742–39–8	Neutralizing agents (petroleum), spent sodium carbonate
64742–40–1	Neutralizing agents (petroleum), spent sodium hydroxide
64742–41–2	Residual oils (petroleum), clay-treated
64742–42–3	Hydrocarbon waxes (petroleum), clay-treated microcryst.
64742–43–4	Paraffin waxes (petroleum), clay-treated
64742–44–5	Distillates (petroleum), clay-treated heavy naphthenic
64742–45–6	Distillates (petroleum), clay-treated light naphthenic
64742–46–7	Distillates (petroleum), hydrotreated middle
64742–47–8	Distillates (petroleum), hydrotreated light
64742–48–9	Naphtha (petroleum), hydrotreated heavy
64742–49–0	Naphtha (petroleum), hydrotreated light
64742–50–3	Lubricating oils (petroleum), clay-treated spent
64742–51–4	Paraffin waxes (petroleum), hydrotreated
64742–52–5	Distillates (petroleum), hydrotreated heavy naphthenic
64742–53–6	Distillates (petroleum), hydrotreated light naphthenic
64742–54–7	Distillates (petroleum), hydrotreated heavy paraffinic
64742–55–8	Distillates (petroleum), hydrotreated light paraffinic
64742–56–9	Distillates (petroleum), solvent-dewaxed light paraffinic
64742–57–0	Residual oils (petroleum), hydrotreated

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
64742–58–1	Lubricating oils (petroleum), hydrotreated spent
64742–59–2	Gas oils (petroleum), hydrotreated vacuum
64742–60–5	Hydrocarbon waxes (petroleum), hydrotreated microcryst.
64742–61–6	Slack wax (petroleum)
64742–62–7	Residual oils (petroleum), solvent-dewaxed
64742–63–8	Distillates (petroleum), solvent-dewaxed heavy naphthenic
64742–64–9	Distillates (petroleum), solvent-dewaxed light naphthenic
64742–65–0	Distillates (petroleum), solvent-dewaxed heavy paraffinic
64742–67–2	Foots oil (petroleum)
64742–68–3	Naphthenic oils (petroleum), catalytic dewaxed heavy
64742–69–4	Naphthenic oils (petroleum), catalytic dewaxed light
64742–70–7	Paraffin oils (petroleum), catalytic dewaxed heavy
64742–71–8	Paraffin oils (petroleum), catalytic dewaxed light
64742–72–9	Distillates (petroleum), catalytic dewaxed middle
64742–73–0	Naphtha (petroleum), hydrodesulfurized light
64742–75–2	Naphthenic oils (petroleum), complex dewaxed heavy
64742–76–3	Naphthenic oils (petroleum), complex dewaxed light
64742–78–5	Residues (petroleum), hydrodesulfurized atmospheric tower
64742–79–6	Gas oils (petroleum), hydrodesulfurized
64742–80–9	Distillates (petroleum), hydrodesulfurized middle
64742–81–0	Kerosine (petroleum), hydrodesulfurized
64742–82–1	Naphtha (petroleum), hydrodesulfurized heavy
64742–83–2	Naphtha (petroleum), light steam-cracked
64742–85–4	Residues (petroleum), hydrodesulfurized vacuum
64742–86–5	Gas oils (petroleum), hydrodesulfurized heavy vacuum
64742–87–6	Gas oils (petroleum), hydrodesulfurized light vacuum
64742–88–7	Solvent naphtha (petroleum), medium aliph.
64742–89–8	Solvent naphtha (petroleum), light aliph.
64742–90–1	Residues (petroleum), steam-cracked
64742–91–2	Distillates (petroleum), steam-cracked
64742–92–3	Petroleum resins, oxidized
64742–93–4	Asphalt, oxidized
64742–94–5	Solvent naphtha (petroleum), heavy arom.
64742–95–6	Solvent naphtha (petroleum), light arom.
64742–96–7	Solvent naphtha (petroleum), heavy aliph.

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
64742–97–8	Distillates (petroleum), oxidized heavy
64742–98–9	Distillates (petroleum), oxidized light
64742–99–0	Residual oils (petroleum), oxidized
64743–00–6	Hydrocarbon waxes (petroleum), oxidized
64743–01–7	Petrolatum (petroleum), oxidized
64743–02–8	Alkenes, C>10 .alpha.-
64743–03–9	Phenols (petroleum)
64743–04–0	Coke (petroleum), recovery
64743–05–1	Coke (petroleum), calcined
64743–06–2	Extracts (petroleum), gas oil solvent
64743–07–3	Sludges (petroleum), chemically neutralized
64754–89–8	Naphthenic acids (petroleum), crude
64771–71–7	Paraffins (petroleum), normal C>10
64771–72–8	Paraffins (petroleum), normal C5-20
67254-74-4	Naphthenic oils
67674–12–8	Residual oils (petroleum), oxidized, compounds with triethanolamine
67674–13–9	Petrolatum (petroleum), oxidized, partially deacidified
67674–15–1	Petrolatum (petroleum), oxidized, Me ester
67674–16–2	Hydrocarbon waxes (petroleum), oxidized, partially deacidified
67674–17–3	Distillates (petroleum), oxidized light, compounds with triethanolamine
67674–18–4	Distillates (petroleum), oxidized light, Bu esters
67891–79–6	Distillates (petroleum), heavy arom.
67891–80–9	Distillates (petroleum), light arom.
67891-81-0	Distillates (petroleum), oxidized light, potassium salts
67891–82–1	Hydrocarbon waxes (petroleum), oxidized, compounds with ethanolamine
67891–83–2	Hydrocarbon waxes (petroleum), oxidized, compounds with isopropanolamine
67891–85–4	Hydrocarbon waxes (petroleum), oxidized, compounds with triisopropanolamine
67891-86-5	Hydrocarbon waxes (petroleum), oxidized, compounds with diisopropanolamine
68131–05–5	Hydrocarbon oils, process blends
68131–49–7	Aromatic hydrocarbons, C6-10, acid-treated, neutralized
68131–75–9	Gases (petroleum), C3-4
68153–22–0	Paraffin waxes and Hydrocarbon waxes, oxidized
68187–57–5	Pitch, coal tar-petroleum
68187–58–6	Pitch, petroleum, arom.
68187–60–0	Hydrocarbons, C4, ethane-propane-cracked

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68307–98–2	Tail gas (petroleum), catalytic cracked distillate and catalytic cracked naphtha fractionation absorber
68307–99–3	Tail gas (petroleum), catalytic polymn. naphtha fractionation stabilizer
68308–00–9	Tail gas (petroleum), catalytic reformed naphtha fractionation stabilizer, hydrogen sulfide-free
68308–01–0	Tail gas (petroleum), cracked distillate hydrotreater stripper
68308–02–1	Tail gas (petroleum), distn., hydrogen sulfide-free
68308–03–2	Tail gas (petroleum), gas oil catalytic cracking absorber
68308–04–3	Tail gas (petroleum), gas recovery plant
68308–05–4	Tail gas (petroleum), gas recovery plant deethanizer
68308–06–5	Tail gas (petroleum), hydrodesulfurized distillate and hydrodesulfurized naphtha fractionator, acid-free
68308–07–6	Tail gas (petroleum), hydrodesulfurized vacuum gas oil stripper, hydrogen sulfide-free
68308–08–7	Tail gas (petroleum), isomerized naphtha fractionation stabilizer
68308–09–8	Tail gas (petroleum), light straight-run naphtha stabilizer, hydrogen sulfide-free
68308–10–1	Tail gas (petroleum), straight-run distillate hydrodesulfurizer, hydrogen sulfide-free
68308–11–2	Tail gas (petroleum), propane-propylene alkylation feed prep deethanizer
68308–12–3	Tail gas (petroleum), vacuum gas oil hydrodesulfurizer, hydrogen sulfide-free
68308–27–0	Fuel gases, refinery
68333–22–2	Residues (petroleum), atmospheric
68333–23–3	Naphtha (petroleum), heavy coker
68333–24–4	Hydrocarbon waxes (petroleum), oxidized, compds. with triethanolamine
68333–25–5	Distillates (petroleum), hydrodesulfurized light catalytic cracked
68333–26–6	Clarified oils (petroleum), hydrodesulfurized catalytic cracked
68333–27–7	Distillates (petroleum), hydrodesulfurized intermediate catalytic cracked
68333–28–8	Distillates (petroleum), hydrodesulfurized heavy catalytic cracked
68333–29–9	Residues (petroleum), light naphtha solvent extracts
68333–30–2	Distillates (petroleum), oxidized heavy thermal cracked
68333–81–3	Alkanes, C4-12
68333–88–0	Aromatic hydrocarbons, C9-17
68334–30–5	Fuels, diesel
68409–99–4	Gases (petroleum), catalytic cracked overheads
68410–00–4	Distillates (petroleum), crude oil
68410–05–9	Distillates (petroleum), straight-run light
68410–12–8	Distillates (petroleum), steam-cracked, C5-10 fraction, high-temp. stripping products with light steamcracked petroleum naphtha C5 fraction polymers
68410–71–9	Raffinates (petroleum), catalytic reformer ethylene glycol-water countercurrent exts.

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68410–96–8	Distillates (petroleum), hydrotreated middle, intermediate boiling
68410–97–9	Distillates (petroleum), light distillate hydrotreating process, low-boiling
68410–98–0	Distillates (petroleum), hydrotreated heavy naphtha, deisohexanizer overheads
68411–00–7	Alkenes, C>8
68425–29–6	Distillates (petroleum), naphtha-raffinate pyrolyzate-derived, gasoline-blending
68425–33–2	Petrolatum (petroleum), oxidized, barium salt
68425–34–3	Petrolatum (petroleum), oxidized, calcium salt
68425–35–4	Raffinates (petroleum), reformer, Lurgi unit-sepd.
68425–39–8	Alkenes, C>10 .alpha.-, oxidized
68441–09–8	Hydrocarbon waxes (petroleum), clay-treated microcryst., contg. polyethylene, oxidized
68459–78–9	Alkenes, C18-24 .alpha.-, dimers
68475–57–0	Alkanes, C1-2
68475–58–1	Alkanes, C2-3
68475–59–2	Alkanes, C3-4
68475–60–5	Alkanes, C4-5
68475–61–6	Alkenes, C5, naphtha-raffinate pyrolyzate-derived
68475–70–7	Aromatic hydrocarbons, C6-8, naphtha-raffinate pyrolyzate-derived
68475–79–6	Distillates (petroleum), catalytic reformed depentanizer
68475–80–9	Distillates (petroleum), light steam-cracked naphtha
68476–26–6	Fuel gases
68476-27-7	Fuel gases, amine system residues
68476–28–8	Fuel gases, C6-8 catalytic reformer
68476–29–9	Fuel gases, crude oil distillates
68476–30–2	Fuel oil, no. 2
68476–31–3	Fuel oil, no. 4
68476–32–4	Fuel oil, residues-straight-run gas oils, high-sulfur
68476–33–5	Fuel oil, residual
68476–34–6	Fuels, diesel, no. 2
68476–39–1	Hydrocarbons, aliph.-arom.-C4-5-olefinic
68476–40–4	Hydrocarbons, C3-4
68476–42–6	Hydrocarbons, C4-5
68476–43–7	Hydrocarbons, C4-6, C5-rich
68476–44–8	Hydrocarbons, C>3
68476–45–9	Hydrocarbons, C5-10 arom. conc., ethylene-manuf.-by-product
68476–46–0	Hydrocarbons, C3-11, catalytic cracker distillates

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68476–47–1	Hydrocarbons, C2-6, C6-8 catalytic reformer
68476–49–3	Hydrocarbons, C2-4, C3-rich
68476–50–6	Hydrocarbons, C>5, C5-6-rich
68476–52–8	Hydrocarbons, C4, ethylene-manuf.-by-product
68476–53–9	Hydrocarbons, C>20, petroleum wastes
68476–54–0	Hydrocarbons, C3-5, polymn. unit feed
68476–55–1	Hydrocarbons, C5-rich
68476–56–2	Hydrocarbons, cyclic C5 and C6
68476–77–7	Lubricating oils, refined used
68476–81–3	Paraffin waxes and Hydrocarbon waxes, oxidized, calcium salts
68476–84–6	Petroleum products, gases, inorg.
68476–85–7	Petroleum gases, liquefied
68476–86–8	Petroleum gases, liquefied, sweetened
68477–25–8	Waste gases, vent gas, C1-6
68477–26–9	Wastes, petroleum
68477–29–2	Distillates (petroleum), catalytic reformer fractionator residue, high-boiling
68477–30–5	Distillates (petroleum), catalytic reformer fractionator residue, intermediate-boiling
68477–31–6	Distillates (petroleum), catalytic reformer fractionator residue, low-boiling
68477–33–8	Gases (petroleum), C3-4, isobutane-rich
68477–34–9	Distillates (petroleum), C3-5, 2-methyl-2-butene-rich
68477–35–0	Distillates (petroleum), C3-6, piperylene-rich
68477–36–1	Distillates (petroleum), cracked steam-cracked, C5-18 fraction
68477–38–3	Distillates (petroleum), cracked steam-cracked petroleum distillates
68477–39–4	Distillates (petroleum), cracked stripped steam-cracked petroleum distillates, C8-10 fraction
68477–40–7	Distillates (petroleum), cracked stripped steam-cracked petroleum distillates, C10-12 fraction
68477–41–8	Gases (petroleum), extractive, C3-5, butadiene-butene-rich
68477–42–9	Gases (petroleum), extractive, C3-5, butene-isobutylene-rich
68477–44–1	Distillates (petroleum), heavy naphthenic, mixed with steam-cracked petroleum distillates C5-12 fraction
68477–47–4	Distillates (petroleum), mixed heavy olefin vacuum, heart-cut
68477–48–5	Distillates (petroleum), mixed heavy olefin vacuum, low-boiling
68477–53–2	Distillates (petroleum), steam-cracked, C5-12 fraction
68477–54–3	Distillates (petroleum), steam-cracked, C8-12 fraction
68477–55–4	Distillates (petroleum), steam-cracked, C5-10 fraction, mixed with light steam-cracked petroleum naphtha C5 fraction

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68477–58–7	Distillates (petroleum), steam-cracked petroleum distillates, C5-18 fraction
68477–59–8	Distillates (petroleum), steam-cracked petroleum distillates cyclopentadiene conc.
68477–60–1	Extracts (petroleum), cold-acid
68477–61–2	Extracts (petroleum), cold-acid, C4-6
68477–62–3	Extracts (petroleum), cold-acid, C3-5, butene-rich
68477–63–4	Extracts (petroleum), reformer recycle
68477–64–5	Gases (petroleum), acetylene manuf. off
68477–65–6	Gases (petroleum), amine system feed
68477–66–7	Gases (petroleum), benzene unit hydrodesulfurizer off
68477–67–8	Gases (petroleum), benzene unit recycle, hydrogen-rich
68477–68–9	Gases (petroleum), blend oil, hydrogen-nitrogen-rich
68477–69–0	Gases (petroleum), butane splitter overheads
68477–70–3	Gases (petroleum), C2-3
68477–71–4	Gases (petroleum), catalytic-cracked gas oil depropanizer bottoms, C4-rich acid-free
68477–72–5	Gases (petroleum), catalytic-cracked naphtha debutanizer bottoms, C3-5-rich
68477–73–6	Gases (petroleum), catalytic cracked naphtha depropanizer overhead, C3-rich acid-free
68477–74–7	Gases (petroleum), catalytic cracker
68477–75–8	Gases (petroleum), catalytic cracker, C1-5-rich
68477–76–9	Gases (petroleum), catalytic polymd. naphtha stabilizer overhead, C2-4-rich
68477–77–0	Gases (petroleum), catalytic reformed naphtha stripper overheads
68477–79–2	Gases (petroleum), catalytic reformer, C1-4-rich
68477–80–5	Gases (petroleum), C6-8 catalytic reformer recycle
68477–81–6	Gases (petroleum), C6-8 catalytic reformer
68477–82–7	Gases (petroleum), C6-8 catalytic reformer recycle, hydrogen-rich
68477–83–8	Gases (petroleum), C3-5 olefinic-paraffinic alkylation feed
68477–84–9	Gases (petroleum), C2-return stream
68477–85–0	Gases (petroleum), C4-rich
68477–86–1	Gases (petroleum), deethanizer overheads
68477–87–2	Gases (petroleum), deisobutanizer tower overheads
68477–88–3	Gases (petroleum), deethanizer overheads, C3-rich
68477–89–4	Distillates (petroleum), dependanizer overheads
68477–90–7	Gases (petroleum), depropanizer dry, propene-rich
68477–91–8	Gases (petroleum), depropanizer overheads
68477–92–9	Gases (petroleum), dry sour, gas-concn.-unit-off
68477–93–0	Gases (petroleum), gas concn. reabsorber distn.

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68477–94–1	Gases (petroleum), gas recovery plant depropanizer overheads
68477–95–2	Gases (petroleum), Girbatol unit feed
68477–96–3	Gases (petroleum), hydrogen absorber off
68477–97–4	Gases (petroleum), hydrogen-rich
68477–98–5	Gases (petroleum), hydrotreater blend oil recycle, hydrogen-nitrogen rich
68477–99–6	Gases (petroleum), isomerized naphtha fractionater, C4-rich, hydrogen sulfide-free
68478–00–2	Gases (petroleum), recycle, hydrogen-rich
68478–01–3	Gases (petroleum), reformer make-up, hydrogen-rich
68478–02–4	Gases (petroleum), reforming hydrotreater
68478–03–5	Gases (petroleum), reforming hydrotreater, hydrogen-methane-rich
68478–04–6	Gases (petroleum), reforming hydrotreater make-up, hydrogen-rich
68478–05–7	Gases (petroleum), thermal cracking distn.
68478–08–0	Naphtha (petroleum), light steam-cracked, C5-fraction, oligomer conc.
68478–10–4	Naphtha (petroleum), light steam-cracked, debenzenized, C8-16-cycloalkadiene conc.
68478–12–6	Residues (petroleum), butane splitter bottoms
68478–13–7	Residues (petroleum), catalytic reformer fractionator residue distn.
68478–15–9	Residues (petroleum), C6-8 catalytic reformer
68478–16–0	Residual oils (petroleum), deisobutanizer tower
68478–17–1	Residues (petroleum), heavy coker gas oil and vacuum gas oil
68478–18–2	Residues (petroleum), heavy olefin vacuum
68478–19–3	Residual oils (petroleum), propene purifn. splitter
68478–20–6	Residues (petroleum), steam-cracked petroleum distillates cyclopentadiene conc., C4-cyclopentadienefree
68478–22–8	Tail gas (petroleum), catalytic cracked naphtha stabilization absorber
68478–24–0	Tail gas (petroleum), catalytic cracker, catalytic reformer and hydrodesulfurizer combined fractionater
68478–25–1	Tail gas (petroleum), catalytic cracker refractionation absorber
68478–26–2	Tail gas (petroleum), catalytic reformed naphtha fractionation stabilizer
68478–27–3	Tail gas (petroleum), catalytic reformed naphtha separator
68478–28–4	Tail gas (petroleum), catalytic reformed naphtha stabilizer
68478–29–5	Tail gas (petroleum), cracked distillate hydrotreater separator
68478–30–8	Tail gas (petroleum), hydrodesulfurized straight-run naphtha separator
68478-31-9	Tail gas (petroleum), isomerized naphtha fractionates, hydrogen sulfide-free
68478–32–0	Tail gas (petroleum), saturate gas plant mixed stream, C4-rich
68478–33–1	Tail gas (petroleum), saturate gas recovery plant, C1-2-rich

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68478–34–2	Tail gas (petroleum), vacuum residues thermal cracker
68512–61–8	Residues (petroleum), heavy coker and light vacuum
68512–62–9	Residues (petroleum), light vacuum
68512–78–7	Solvent naphtha (petroleum), light arom., hydrotreated
68512–91–4	Hydrocarbons, C3-4-rich, petroleum distillates
68513–02–0	Naphtha (petroleum), full-range coker
68513–03–1	Naphtha (petroleum), light catalytic reformed, aromatic-free
68513–11–1	Fuel gases, hydrotreater fractionation, scrubbed
68513–12–2	Fuel gases, saturate gas unit fractionater-absorber overheads
68513–13–3	Fuel gases, thermal cracked catalytic cracking residue
68513–14–4	Gases (petroleum), catalytic reformed straight-run naphtha stabilizer overheads
68513–15–5	Gases (petroleum), full-range straight-run naphtha dehexanizer off
68513–16–6	Gases (petroleum), hydrocracking depropanizer off, hydrocarbon-rich
68513–17–7	Gases (petroleum), light straight-run naphtha stabilizer off
68513–18–8	Gases (petroleum), reformer effluent high-pressure flash drum off
68513–19–9	Gases (petroleum), reformer effluent low-pressure flash drum off
68513–62–2	Disulfides, C5-12-alkyl
68513–63–3	Distillates (petroleum), catalytic reformed straight-run naphtha overheads
68513–65–5	Butane, branched and linear
68513–66–6	Residues (petroleum), alkylation splitter, C4-rich
68513–67–7	Residues (petroleum), cyclooctadiene bottoms
68513–68–8	Residues (petroleum), deethanizer tower
68513–69–9	Residues (petroleum), steam-cracked light
68513–74–6	Waste gases, ethylene oxide absorber-reactor
68514–15–8	Gasoline, vapor-recovery
68514–29–4	Hydrocarbons, amylene feed debutanizer overheads nonextractable raffinates
68514–31–8	Hydrocarbons, C1-4
68514–32–9	Hydrocarbons, C10 and C12, olefin-rich
68514–33–0	Hydrocarbons, C12 and C14, olefin-rich
68514–34–1	Hydrocarbons, C9-14, ethylene-manuf.-by-product
68514–35–2	Hydrocarbons, C14-30, olefin-rich
68514–36–3	Hydrocarbons, C1-4, sweetened
68514–37–4	Hydrocarbons, C4-5-unsatd.
68514–38–5	Hydrocarbons, C4-10-unsatd.
68514-39-6	Naphtha (petroleum), light steam-cracked, isoprene-rich

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68514–79–4	Petroleum products, hydrofiner-powerformer reformates
68515–25–3	Benzene, C1-9-alkyl derivs.
68515–26–4	Benzene, di-C12-14-alkyl derivs.
68515–27–5	Benzene, di-C10-14-alkyl derivs., fractionation overheads, heavy ends
68515–28–6	Benzene, di-C10-14-alkyl derivs., fractionation overheads, light ends
68515–29–7	Benzene, di-C10-14-alkyl derivs., fractionation overheads, middle cut
68515–30–0	Benzene, mono-C20-48-alkyl derivs.
68515–32–2	Benzene, mono-C12-14-alkyl derivs., fractionation bottoms
68515–33–3	Benzene, mono-C10-12-alkyl derivs., fractionation bottoms, heavy ends
68515–34–4	Benzene, mono-C12-14-alkyl derivs., fractionation bottoms, heavy ends
68515–35–5	Benzene, mono-C10-12-alkyl derivs., fractionation bottoms, light ends
68515–36–6	Benzene, mono-C12-14-alkyl derivs., fractionation bottoms, light ends
68516–20–1	Naphtha (petroleum), steam-cracked middle arom.
68526–52–3	Alkenes, C6
68526–53–4	Alkenes, C6-8, C7-rich
68526–54–5	Alkenes, C7-9, C8-rich
68526–55–6	Alkenes, C8-10, C9-rich
68526–56–7	Alkenes, C9-11, C10-rich
68526–57–8	Alkenes, C10-12, C11-rich
68526–58–9	Alkenes, C11-13, C12-rich
68526–77–2	Aromatic hydrocarbons, ethane cracking scrubber effluent and flare drum
68526–99–8	Alkenes, C6-9 .alpha.-
68527–00–4	Alkenes, C8-9 .alpha.-
68527–11–7	Alkenes, C5
68527–13–9	Gases (petroleum), acid, ethanolamine scrubber
68527–14–0	Gases (petroleum), methane-rich off
68527–15–1	Gases (petroleum), oil refinery gas distn. off
68527–16–2	Hydrocarbons, C1-3
68527–18–4	Gas oils (petroleum), steam-cracked
68527–19–5	Hydrocarbons, C1-4, debutanizer fraction
68527–21–9	Naphtha (petroleum), clay-treated full-range straight-run
68527–22–0	Naphtha (petroleum), clay-treated light straight-run
68527–23–1	Naphtha (petroleum), light steam-cracked arom.
68527–26–4	Naphtha (petroleum), light steam-cracked, debenzenized
68527–27–5	Naphtha (petroleum), full-range alkylate, butane-contg.

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68553–00–4	Fuel oil, no. 6
68553–14–0	Hydrocarbons, C8-11
68602–79–9	Distillates (petroleum), benzene unit hydrotreater dipentanizer overheads
68602–81–3	Distillates, hydrocarbon resin prodn. higher boiling
68602–82–4	Gases (petroleum), benzene unit hydrotreater depentenizer overheads
68602–83–5	Gases (petroleum), C1-5, wet
68602–84–6	Gases (petroleum), secondary absorber off, fluidized catalytic cracker overheads fractionater
68602–96–0	Distillates (petroleum), oxidized light, strong acid components, compds. with diethanolamine
68602–97–1	Distillates (petroleum), oxidized light, strong acid components, sodium salts
68602–98–2	Distillates (petroleum), oxidized light, strong acid components
68602–99–3	Distillates (petroleum), oxidized light, strong acid-free
68603–00–9	Distillates (petroleum), thermal cracked naphtha and gas oil
68603–01–0	Distillates (petroleum), thermal cracked naphtha and gas oil, C5-dimer-contg.
68603–02–1	Distillates (petroleum), thermal cracked naphtha and gas oil, dimerized
68603–03–2	Distillates (petroleum), thermal cracked naphtha and gas oil, extractive
68603–08–7	Naphtha (petroleum), arom.-contg.
68603–09–8	Hydrocarbon waxes (petroleum), oxidized, calcium salts
68603–10–1	Hydrocarbon waxes (petroleum), oxidized, Me esters, barium salts
68603–11–2	Hydrocarbon waxes (petroleum), oxidized, Me esters, calcium salts
68603–12–3	Hydrocarbon waxes (petroleum), oxidized, Me esters, sodium salts
68603–13–4	Petrolatum (petroleum), oxidized, ester with sorbitol
68603–14–5	Residual oils (petroleum), oxidized, calcium salts
68603–31–6	Alkenes, C10, tert-amylene concentrator by-product
68603–32–7	Alkenes, C15-20 .alpha.-, isomerized
68606–09–7	Fuel gases, expander off
68606–10–0	Gasoline, pyrolysis, debutanizer bottoms
68606–11–1	Gasoline, straight–run, topping-plant
68606–24–6	Hydrocarbons, C4, butene concentrator by-product
68606–25–7	Hydrocarbons, C2-4
68606–26–8	Hydrocarbons, C3
68606–27–9	Gases (petroleum), alkylation feed
68606–28–0	Hydrocarbons, C5 and C10-aliph. and C6-8-arom.
68606–31–5	Hydrocarbons, C3-5, butadiene purifn. by-product
68606–34–8	Gases (petroleum), depropanizer bottoms fractionation off
68606–36–0	Hydrocarbons, C5-unsatd. rich, isoprene purifn. by-product

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68607–11–4	Petroleum products, refinery gases
68607–30–7	Residues (petroleum), topping plant, low-sulfur
68608–56–0	Waste gases, from carbon black manuf.
68647-60–9	Hydrocarbons, C>4
68647–61–0	Hydrocarbons, C4-5, tert-amylene concentrator by-product
68647–62–1	Hydrocarbons, C4-5, butene concentrator by-product, sour
68650–36–2	Aromatic hydrocarbons, C8, *o*-xylene-lean
68650–37–3	Paraffin waxes (petroleum), oxidized, sodium salts
68782–97–8	Distillates (petroleum), hydrofined lubricating-oil
68782–98–9	Extracts (petroleum), clarified oil solvent, condensed-ring-arom.-contg.
68782–99–0	Extracts (petroleum), heavy clarified oil solvent, condensed-ring-arom.-contg.
68783–00–6	Extracts (petroleum), heavy naphthenic distillate solvent, arom. conc.
68783–01–7	Extracts (petroleum), heavy naphthenic distillate solvent, paraffinic conc.
68783–02–8	Extracts (petroleum), intermediate clarified oil solvent, condensed-ring-arom.-contg.
68783–04–0	Extracts (petroleum), solvent-refined heavy paraffinic distillate solvent
68783–05–1	Gases (petroleum), ammonia-hydrogen sulfide, water-satd.
68783–06–2	Gases (petroleum), hydrocracking low-pressure separator
68783–07–3	Gases (petroleum), refinery blend
68783–08–4	Gas oils (petroleum), heavy atmospheric
68783–09–5	Naphtha (petroleum), catalytic cracked light distd.
68783–12–0	Naphtha (petroleum), unsweetened
68783–13–1	Residues (petroleum), coker scrubber, condensed-ring-arom.-contg.
68783–15–3	Alkenes, C6-7 .alpha.-
68783–61–9	Fuel gases, refinery, sweetened
68783–62–0	Fuel gases, refinery, unsweetened
68783–64–2	Gases (petroleum), catalytic cracking
68783–65–3	Gases (petroleum), C2-4, sweetened
68783–66–4	Naphtha (petroleum), light, sweetened
68814–47–1	Waste gases, refinery vent
68814–67–5	Gases (petroleum), refinery
68814–89–1	Extracts (petroleum), heavy paraffinic distillates, solvent-deasphalted
68814–87–9	Distillates (petroleum), full-range straight-run middle
68814–90–4	Gases (petroleum), platformer products separator off
68814–91–5	Alkenes, C5-9 .alpha.-
68855–57–2	Alkenes, C6-12 .alpha.-

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68855–58–3	Alkenes, C10-16 .alpha.-
68855–59–4	Alkenes, C14-18 .alpha.-
68855–60–7	Alkenes, C14-20 .alpha.-
68911–58–0	Gases (petroleum), hydrotreated sour kerosine depentanizer stabilizer off
68911–59–1	Gases (petroleum), hydrotreated sour kerosine flash drum
68915–96–8	Distillates (petroleum), heavy straight-run
68915–97–9	Gas oils (petroleum), straight-run, high-boiling
68918–69–4	Petrolatum (petroleum), oxidized, zinc salt
68918–73–0	Residues (petroleum), clay-treating filter wash
68918–93–4	Paraffin waxes and Hydrocarbon waxes, oxidized, alkali metal salts
68918–98–9	Fuel gases, refinery, hydrogen sulfide-free
68918–99–0	Gases (petroleum), crude oil fractionation off
68919–00–6	Gases (petroleum), dehexanizer off
68919–01–7	Gases (petroleum), distillate unifiner desulfurization stripper off
68919–02–8	Gases (petroleum), fluidized catalytic cracker fractionation off
68919–03–9	Gases (petroleum), fluidized catalytic cracker scrubbing secondary absorber off
68919–04–0	Gases (petroleum), heavy distillate hydrotreater desulfurization stripper off
68919–05–1	Gases (petroleum), light straight run gasoline fractionation stabilizer off
68919–06–2	Gases (petroleum), naphtha unifiner desulfurization stripper off
68919–07–3	Gases (petroleum), platformer stabilizer off, light ends fractionation
68919–08–4	Gases (petroleum), preflash tower off, crude distn.
68919–09–5	Gases (petroleum), straight-run naphtha catalytic reforming off
68919–10–8	Gases (petroleum), straight-run stabilizer off
68919–11–9	Gases (petroleum), tar stripper off
68919–12–0	Gases (petroleum), unifiner stripper off
68919–15–3	Hydrocarbons, C6-12, benzene-recovery
68919-16-4	Hydrocarbons, catalytic alkylation, by-products, C3-6
68919–17–5	Hydrocarbons, C12-20, catalytic alkylation by-products
68919–19–7	Gases (petroleum), fluidized catalytic cracker splitter residues
68919–20–0	Gases (petroleum), fluidized catalytic cracker splitter overheads
68919–37–9	Naphtha (petroleum), full-range reformed
68920–06–9	Hydrocarbons, C7-9
68920–07–0	Hydrocarbons, C<10-linear
68920–64–9	Disulfides, di-C1-2-alkyl
68921–07–3	Distillates (petroleum), hydrotreated light catalytic cracked

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68921–09–5	Distillates (petroleum), naphtha unifiner stripper
68921–08–4	Distillates (petroleum), light straight-run gasoline fractionation stabilizer overheads
68921–67–5	Hydrocarbons, ethylene-manuf.-by-product distn. residues
68952–76–1	Gases (petroleum), catalytic cracked naphtha debutanizer
68952–77–2	Tail gas (petroleum), catalytic cracked distillate and naphtha stabilizer
68952–78–3	Tail gas (petroleum), catalytic hydrodesulfurized distillate fractionation stabilizer, hydrogen sulfide-free
68952–79–4	Tail gas (petroleum), catalytic hydrodesulfurized naphtha separator
68952–80–7	Tail gas (petroleum), straight-run naphtha hydrodesulfurizer
68952–81–8	Tail gas (petroleum), thermal-cracked distillate, gas oil and naphtha absorber
68952–82–9	Tail gas (petroleum), thermal cracked hydrocarbon fractionation stabilizer, petroleum coking
68953–80–0	Benzene, mixed with toluene, dealkylation product
68955–27–1	Distillates (petroleum), petroleum residues vacuum
68955–28–2	Gases (petroleum), light steam-cracked, butadiene conc.
68955–31–7	Gases (petroleum), butadiene process, inorg.
68955–32–8	Natural gas, substitute, steam-reformed desulfurized naphtha
68955–33–9	Gases (petroleum), sponge absorber off, fluidized catalytic cracker and gas oil desulfurizer overhead fractionation
68955–34–0	Gases (petroleum), straight-run naphtha catalytic reformer stabilizer overhead
68955–35–1	Naphtha (petroleum), catalytic reformed
68955–36–2	Residues (petroleum), steam-cracked, resinous
68955–76–0	Aromatic hydrocarbons, C9-16, biphenyl deriv.-rich
68955–96–4	Disulfides, dialkyl and di-Ph, naphtha sweetening
68956–47–8	Fuel oil, isoprene reject absorption
68956–48–9	Fuel oil, residual, wastewater skimmings
68956–52–5	Hydrocarbons, C4-8
68956–54–7	Hydrocarbons, C4-unsatd.
68956–55–8	Hydrocarbons, C5-unsatd.
68956–70–7	Petroleum products, C5-12, reclaimed, wastewater treatment
68988–79–4	Benzene, C10-12-alkyl derivs., distn. residues
68988–99–8	Phenols, sodium salts, mixed with sulfur compounds, gasoline alk. scrubber residues
68989–88–8	Gases (petroleum), crude distn. and catalytic cracking
68990–35–2	Distillates (petroleum), arom., hydrotreated, dicyclopentadiene-rich
68991–49–1	Alkanes, C10-13, arom.-free desulfurized
68991–50–4	Alkanes, C14-17, arom.-free desulfurized

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
68991–51–5	Alkanes, C10-13, desulfurized
68991–52–6	Alkenes, C10-16
69013–21–4	Fuel oil, pyrolysis
69029–75–0	Oils, reclaimed
69430–33–7	Hydrocarbons, C6-30
70024–88–3	Ethene, thermal cracking products
70528–71–1	Distillates (petroleum), heavy distillate solvent ext. heart-cut
70528–72–2	Distillates (petroleum), heavy distillate solvent ext. vacuum overheads
70528–73–3	Residues (petroleum), heavy distillate solvent ext. vacuum
70592–76–6	Distillates (petroleum), intermediate vacuum
70592–77–7	Distillates (petroleum), light vacuum
70592–78–8	Distillates (petroleum), vacuum
70592–79–9	Residues (petroleum), atm. tower, light
70693–00–4	Hydrocarbon waxes (petroleum), oxidized, sodium salts
70693–06–0	Aromatic hydrocarbons, C9-11
70913–85–8	Residues (petroleum), solvent-extd. vacuum distilled atm. residuum
70913–86–9	Alkanes, C18-70
70955–08–7	Alkanes, C4-6
70955–09–8	Alkenes, C13-14 .alpha.-
70955–10–1	Alkenes, C15-18 .alpha.-
70955–17–8	Aromatic hydrocarbons, C12-20
71243–66–8	Hydrocarbon waxes (petroleum), clay-treated, microcryst., oxidized, potassium salts
71302–82–4	Hydrocarbons, C5-8, Houdry butadiene manuf. by-product
71329–37–8	Residues (petroleum), catalytic cracking depropanizer, C4-rich
71808–30–5	Tail gas (petroleum), thermal cracking absorber
72230–71–8	Distillates (petroleum), cracked steam-cracked, C5-17 fraction
72623–83–7	Lubricating oils (petroleum), C>25, hydrotreated bright stock-based
72623–84–8	Lubricating oils (petroleum), C15-30, hydrotreated neutral oil-based, contg. solvent deasphalted residualoil
72623–85–9	Lubricating oils (petroleum), C20-50, hydrotreated neutral oil-based, high-viscosity
72623–86–0	Lubricating oils (petroleum), C15-30, hydrotreated neutral oil-based
72623–87–1	Lubricating oils (petroleum), C20-50, hydrotreated neutral oil-based
73138-65-5	Hydrocarbon waxes (petroleum), oxidized, magnesium salts
92045-43-7	Lubricating oils (petroleum) hydrocracked nonaromatic solvent deparaffined
92045-58-4	Naphtha (petroleum), isomerization, C6-fration

Partially Exempt Chemicals termed Petroleum Process Streams Under §710.46(b)(1) (Continued)

CAS No.	Product
92062-09-4	Slack wax (petroleum), hydrotreated
93762–80–2	Alkenes, C15-18
98859-55-3	Distillates (petroleum), oxidized heavy, compounds with diethanolamine
98859-56-4	Distillates (petroleum), oxidized heavy, sodium salts
101316-73-8	Lubricating oils (petroleum), used, noncatalytically refined
164907-78-2	Extracts (petroleum), asphaltene-low vacuum residue solvent
164907-79-3	Residues (petroleum), vacuum, asphaltene-low
178603-63-9	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C10-25
178603-64-0	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C15-30, branched and cyclic
178603-65-1	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C20-40, branched and cyclic
178603-66-2	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C25-55, branched and cyclic
212210-93-0	Solvent naphtha (petroleum), heavy aromatic, distillation residues
221120-39-4	Distillates (petroleum), cracked steam-cracked, C5-12 fraction
445411-73-4	Gas oils (petroleum), vacuum, hydrocracked, hydroisomerized, hydrogenated, C10-25, branched and cyclic

Partially Exempt Chemical Substances Under 40 CFR 710.46(b)(2)

CAS No.	Chemical Name
50-70-4	D-Glucitol
50-81-7	L-Ascorbic acid
50-99-7	D-Glucose
56-87-1	L-Lysine
56-81-5	1,2,3-Propanetriol
57-50-1	.alpha.-D-Glucopyranoside, .beta.-D-fructofuranosyl
58-95-7	2H-1-Benzopyran-6-ol, 3,4-dihydro-2,5,7,8-tetramethyl-2-[(4R,8R)-4,8,12-trimethyltridecyl]-,acetate, (2R)-
59-02-9	2H-1-Benzopyran-6-ol, 3,4-dihydro-2,5,7,8-tetramethyl-2-[(4R,8R)-4,8,12-trimethyltridecyl]-, (2R)-
59-51-8	Methionine
69-65-8	D-Mannitol
87-79-6	L-Sorbose
87-99-0	Xylitol
96-10-6	Aluminum, chlorodiethyl-
97-93-8	Aluminum, triethyl-
100-99-2	Aluminum, tris(2-methylpropyl)-
123-94-4	Octadecanoic acid, 2,3-dihydroxypropyl ester
124-38-9	Carbon dioxide
137-08-6	.beta.-Alanine, N-[(2R)-2,4-dihydroxy-3,3-dimethyl-1-oxobutyl]-, calcium alt (2:1)
142-47-2	L-Glutamic acid, monosodium salt
150-30-1	Phenylalanine
563-43-9	Aluminum, dichloroethyl-
1070-00-4	Aluminium, trioctyl
1116-70-7	Aluminum, tributyl-
1116-73-0	Aluminum, trihexyl-
1191-15-7	Aluminum, hydrobis (2-methylpropyl)-
1317-65-3	Limestone
1333-74-0	Hydrogen
1592-23-0	Octadecanoic acid, calcium salt
7440-37-1	Argon
7440-44-0	Carbon
7727-37-9	Nitrogen
7782-42-5	Graphite
7782-44-7	Oxygen
8001-21-6	Sunflower oil
8001-22-7	Soybean oil
8001-23-8	Safflower oil
8001-26-1	Linseed oil
8001-29-4	Cottonseed oil

Partially Exempt Chemical Substances Under 40 CFR 710.46(b)(2) (Continued)

CAS No.	Chemical Name
8001-30-7	Corn oil
8001-31-8	Coconut oil
8001-78-3	Caster oil, hydrogenated
8001-79-4	Castor oil
8002-03-7	Peanut oil
8002-13-9	Rape oil
8002-43-5	Lecithins
8002-75-3	Palm oil
8006-54-0	Lanolin
8016-28-2	Lard, oil
8016-70-4	Soybean oil, hydrogenated
8021-99-6	Charcoal, bone
8029-43-4	Syrups, hydrolyzed starch
9004-53-9	Dextrin
9005-25-8	Starch
9050-36-6	Maltodextrin
11103-57-4	Vitamin A
12075-68-2	Aluminum, di-.mu.-chlorochlorotriethyldi-
12542-85-7	Aluminum, trichlorotrimethyldi-
16291-96-6	Charcoal
26836-47-5	D-Glucitol, monooctadecanoate
61789-44-4	Fatty acids, castor-oil
61789-97-7	Tallow
61789-99-9	Lard
64147-40-6	Castor oil, dehydrated
64755-01-7	Fatty acids, tallow, calcium salts
65996-63-6	Starch, acid-hydrolyzed
65996-64-7	Starch, enzyme-hydrolyzed
67701-01-3	Fatty acids, C12-18
68002-85-7	Fatty acids, C14-22 and C16-22-unsatd.
68131-37-3	Syrups, hydrolyzed starch, dehydrated
68188-81-8	Grease, poultry
68308-36-1	Soybean meal
68308-54-3	Glycerides, tallow mono-, di- and tri-, hydrogenated
68334-00-9	Cottonseed oil, hydrogenated
68334-28-1	Fats and Glyceridic oils, vegetable, hydrogenated
68409-76-7	Bone meal, steamed
68424-45-3	Fatty acids, linseed-oil
68424-61-3	Glycerides, C16-18 and C18-unsatd. mono- and di-
68425-17-2	Syrups, hydrolized starch, hydrogenated

Partially Exempt Chemical Substances Under 40 CFR 710.46(b)(2) (Continued)

CAS No.	Chemical Name
68439-86-1	Bone, ash
68442-69-3	Benzene, mono-C10-14-alkyl derivs.
68476-78-8	Molasses
68514-27-2	Grease, catch basin
68514-74-9	Palm oil, hydrogenated
68525-87-1	Corn oil, hydrogenated
68648-87-3	Benzene, C10-16-alkyl derivs.
68918-42-3	Soaps, stocks, soya
68952-94-3	Soaps, stocks, vegetable-oil
68956-68-3	Fats and glyceridic oils, vegetable
68989-98-0	Fats and Glyceridic oils, vegetable, residues
73138-67-7	Lard, hydrogenated
120962-03-0	Canola oil
129813-58-7	Benzene, mono-C10-13-alkyl derivs.
129813-59-8	Benzene, mono-C12-14-alkyl derivs.
129813-60-1	Benzene, mono-C14-16-alkyl derivs.

Appendix E

Descriptions of Codes for Reporting Industrial, Commercial, and Consumer Processing and Use Information

The following descriptions were developed by EPA to assist persons submitting information in response to 40 CFR 710.52(c)(4) and reported on Part III of IUR Form U. For more information, see EPA's document, "Inventory Update Rule (IUR) Amendment Technical Support Document: Exposure-Related Data Useful for Chemical Risk Screening" and "Inventory Update Rule (IUR) Technical Support Document: Selection of Consumer and Commercial Product Categories" located in the rulemaking record (EPA-HQ-OPPT-2004-0054).

Processing or Use Operation Descriptions

Code	Operation	Description
PC	Processing as a reactant	Chemical substance is used in chemical reactions for the manufacturing of another chemical substance or product.
PF	Processing—incorporation into formulation, mixture, or reaction product	Chemical substance is added to a product (or product mixture) prior to further distribution of the product.
PA	Processing—incorporation into article	Chemical substance becomes an integral component of an article distributed for industrial, trade, or consumer use.
PK	Processing—repackaging	Preparation of a chemical substance for distribution in commerce in a different form, state, or quantity. This includes transferring the substance from a bulk container into smaller containers. This definition does not apply to sites that only relabel or redistribute the reportable chemical substance without removing the chemical substance from the container in which it is received or purchased.
U	Use—non-incorporative activities	Chemical substance is otherwise used (e.g., as a chemical processing or manufacturing aid).

Industrial Function Categories

Code	Industrial Function Categories	Description
U01	Adsorbents and absorbents	Substances that hold another substance by allowing it to penetrate into its inner structure. Examples of absorbents include straw oil, alkaline solutions, and kerosene. Examples of adsorbents include silica gel, bauxite, activated carbon, and activated alumina.
U02	Adhesives and binding agents	Substances that promote bonding between other substances by surface attachment.
U03	Aerosol propellants	Substances (usually compressed gases or liquids) used to dissolve or suspend other substances and to expel those substances from a container in the form of aerosols.
U04	Agricultural chemicals (nonpesticidal)	Compounds or mixtures used to increase the productivity and quality of farm crops. Examples include fertilizers and soil conditioners.
U05	Anti-adhesive agents	Substances that prevent bonding between substances by discouraging surface attachment. Examples include adherents, antiblock agents, detackifiers, dusting agents, and parting agents.
U06	Bleaching agents	Substances that lighten or whiten a substrate through chemical reaction, usually an oxidative or reductive process which degrades the color system. The most common bleaching agents belong to one of two groups: chlorine-containing bleaching agents (e.g., chlorine, hypochlorites, N-chloro compounds, and chlorine dioxide) and peroxygen bleaching agents (e.g., hydrogen peroxide and sodium perborate).
U07	Coloring agents, dyes	Substances that impart color to other materials or mixtures (i.e. substrates) by penetrating into the surface of the substrate. Examples of types of dyes include azo, anthraquinone, amino azo, aniline, eosin, stilbene, acid, basic or cationic, reactive, disperse, and natural dyes.
U08	Coloring agents, pigments	Substances that impart color to other materials or mixtures (i.e. substrates) by attaching themselves to the surface of the substrate through binding or adhesion. The Pigments category includes fluorescent agents, luminescent agents, whitening agents, pearlizing agents, and opacifiers. Examples of pigments include metallic oxides of iron, titanium, zinc, cobalt, and chromium; metal powder suspensions; lead chromates; vegetable and animal products; and synthetic organic pigments.
U09	Corrosion inhibitors and antiscaling agents	Agents which prevent or retard corrosion or the formation of scale. Examples include aniline and pyridine.
U10	Fillers	Substances that are incorporated into a matrix to provide bulk, increase strength, hardness, or resistance to impact; and reduce production costs by minimizing the amount of more expensive raw materials used in the production process. Examples include calcium carbonate, barium sulfates, silicates, soft clays, and zinc oxides.
U11	Fixing agents	Substances that are used to permanently fix another material onto a substrate within a wet process. Examples of fixing agents include albumin, trivalent chromium complexes, metallic hydroxides, tannic acid, rosin size, alum, and glycerol.
U12	Flame retardants	Substances that are applied to the surface of or incorporated into combustible materials to reduce or eliminate their tendency to ignite when exposed to heat or a flame for a short period of time. Examples of flame retardants include inorganic salts, chlorinated or brominated organic compounds, or organic phosphates/phosphonates.

Industrial Function Categories (Continued)

Code	Industrial Function Categories	Description
U13	Flotation agents	Chemical additives which are used to aid in the process of flotation by increasing the degree of aggregation in a suspension. Examples include xanthates, sulfonates, thiophosphates, primary and secondary alcohols, and ethers.
U14	Fuels	Substances that evolve energy in controlled chemical reactions; the most common type of reaction is combustion. Examples of types of fuels include fossil, nuclear, and synthetic fuels.
U15	Functional fluids	Liquid or gaseous substances that are used for one or more operational properties. Examples of functional fluids include: antifreezes and deicing fluids, heat transfer agents (e.g., coolants and refrigerants), and dielectric fluids. This category does not include fluids used as lubricants and hydraulic/transmission fluids.
U16	Intermediates	Substances that are formed during the production of a chemical, but are consumed in a subsequent chemical reaction.
U17	Lubricants	Substances that reduce friction between two adjacent solid surfaces and prevent the wear and seizing of the surfaces. Examples include greases, oils, and solid film lubricants.
U18	Odor agents	Substances used to control odors, remove odors, mask odors, or impart odors. Examples include deodorants and fragrances.
U19	Oxidizing agents	Substances that oxidize a chemical compound, usually by accepting electrons from that compound. Examples include ozone, nitric acid, hexavalent chromium, and vanadium pentoxide.
U20	pH-regulating agents	Substances used to maintain or change the pH level of a given solution. A pH regulating agent tends to fall into one of three categories: an acid, an alkali (base), or a buffer.
U21	Photosensitive chemicals	Substances that alter their physical or chemical structure through absorption of light resulting in the emission of light, dissociation, discoloration, or other chemical reaction. Examples include sensitizers, fluorescents, photovoltaic agents, ultraviolet absorbers, and ultraviolet stabilizers.
U22	Plating agents and metal surface treating agents	Substances that are deposited on the surface of a substrate to change its physical or chemical properties. Metal surface treating agents are typically used in aqueous solutions for metal surface treatment operations such as electroplating, electroless plating, anodizing, and chemical conversion coating (e.g., phosphate conversion). Also included are non-aqueous metal deposition operations such as vapor deposition, ion beam implantation, and sputtering.
U23	Processing aid, not otherwise listed	Substance that, when added to a process or to a substance or mixture to be processed, improves the processing characteristics or the operation of the process equipment. Processing aids are not intended to become part of the finished product formulation or article.
U24	Process regulators, used in vulcanization or polymerization processes	Substances that change the rate of a chemical reaction, start or stop the reaction, or otherwise influence the course of the reaction. Process regulators do not become part of the reaction product and are therefore not considered to be reactants.
U25	Process regulators, other than polymerization or vulcanization processes	Substances that change the rate of a chemical reaction, start or stop the reaction, or otherwise influence the course of the reaction. Process regulators do not become part of the reaction product and are therefore not considered to be reactants.

Industrial Function Categories (Continued)

Code	Industrial Function Categories	Description
U26	Reducing agents	Substances that reduce a chemical compound, usually be donating electrons. Reduction generally occurs by the donation of one or more electrons by an atom of the reducing agent, the removal of oxygen from a compound, or the addition of hydrogen to a compound.
U27	Solvents (for cleaning or degreasing)	Substances that are capable of dissolving another substance (solute) to form a uniformly dispersed mixture (solution) at the molecular level. The category includes diluents used to reduce the concentration of an active material to achieve a specified effect, or low-gravity materials used primarily to reduce cost.
U28	Solvents (which become part of product formulation or mixture)	Substances that are capable of dissolving another substance (solute) to form a uniformly dispersed mixture (solution) at the molecular level. The category includes diluents used to reduce the concentration of an active material to achieve a specified effect, or low-gravity materials used primarily to reduce cost.
U29	Solvents (for chemical manufacture and processing and are not part of product at greater than one percent by weight)	Substances that are capable of dissolving another substance (solute) to form a uniformly dispersed mixture (solution) at the molecular level. The category includes diluents used to reduce the concentration of an active material to achieve a specified effect, or low-gravity materials used primarily to reduce cost.
U30	Stabilizers	Substances that function to keep a compound, mixture, or solution from changing its form or chemical structure. Stabilizers typically act to retard a reaction rate, preserve a chemical equilibrium, act as antioxidants, keep pigments and other components in emulsion form, or prevent particles in a colloidal suspension from precipitating and settling out. Examples of stabilizers include antihydrolysis agents, antioxidants, antiozonants, and heat stabilizers.
U31	Surface active agents	Compounds that reduce surface tension when dissolved in water or water solutions, or which reduce interfacial tension between two liquids or between a liquid and a solid. Examples include carboxylates, sulfonates, phosphates, carboxylic acid, esters, and quaternary ammonium salts.
U32	Viscosity adjustors	Substances that alter the viscosity of another substance. Examples include: viscosity index (VI) improvers, pour point depressants, and thickeners.
U33	Other	Substances that cannot be defined by any other category listed in this table.

Commercial and Consumer Product Categories

Codes	Commercial and Consumer Product Category	Description
C01	Adhesives and sealants	Chemicals contained in industrial and household adhesives; glues; caulking compounds; sealants; and linoleum, tile and rubber cements from natural or synthetic base stocks.
C02	Agricultural products (non-pesticidal)	Chemicals used to increase the productivity and quality of farm crops. Examples include fertilizers and soil conditioners.
C03	Artists' supplies	Chemicals contained in commercial and consumer artists' supplies such as crayons, drawing inks, and markers.
C04	Automotive care products	Chemicals contained in products intended for commercial and consumer use in automotive cleaning and care of external and within vehicle surfaces.
C05	Electrical and electronic products	Chemicals contained in computers; office equipment; household appliances; electric lighting and wiring; video and audio recording and communication equipment intended for commercial or consumer use.
C06	Fabrics, textiles and apparel	Chemicals contained in commercial and consumer products made of cotton, silk, wool, or other natural or manmade fibers.
C07	Glass and ceramic products	Chemicals contained in commercial and consumer glass and ceramic products. Included in this category are raw clay materials used in producing artists' materials.
C08	Lawn and garden products (nonpesticidal)	Chemicals contained in ready-to-use lawn and household garden products for commercial and consumer use.
C09	Leather products	Chemicals contained in hides and skins and artificial leather products for commercial and consumer use.
C10	Lubricants, greases and fuel additives	Chemicals added to gasoline, kerosene, and distillate fuel oil after refining. These are generally commercial or consumer additives to enhance performance or clean components of combustion devices. These chemicals may be added at the refining stage (SIC 2911) or in the secondary market.
C11	Metal products	Metals and metallic substances contained in metal products for commercial and consumer use. Metal furniture and furnishings are included in this category.
C12	Paints and coatings	Chemicals contained in commercial and consumer paints (paste or ready-mix) including artists' paints; varnishes; lacquers; enamels and shellac; paint and varnish removers and cleaners. Putties and woodfillers are generally included in this category, but may also appear in adhesives and sealants.
C13	Paper products	Chemicals contained in commercial and consumer paper products.
C14	Photographic supplies	Chemicals contained in photographic apparatus, equipment and parts; film, paper, plates, and prepared photographic chemicals for commercial and consumer use.

Industrial Function Categories (Continued)

Codes	Commercial and Consumer Product Category	Description
C15	Polishes and sanitation goods	Chemicals contained in polishes and cleaners for furniture, metal, glass, and other hard surfaces; waxes and dressings for leather and other materials; household and industrial disinfectants and bleaches.
C16	Rubber and plastic products	Chemicals contained in commercial and consumer rubber and plastic products not elsewhere classified. Products include: tires; footwear; flooring; bottles; and similar articles.
C17	Soaps and detergents	Chemicals (natural and synthetic) contained in liquid, granulated, caked, and flaked washing detergents and personal soaps; dishwashing compounds; presoaks and scouring compounds for commercial and consumer use.
C18	Transportation products	Chemicals contained in commercial and consumer transportation products other than lubricants, greases, and fuel additives.
C19	Wood and wood furniture	Chemicals contained in wood products and wood furniture for commercial and consumer use.
C20	Other	Chemicals contained in commercial and consumer products not elsewhere classified.