



Instructions For Form ERC-3 Application For Transfer Of Emission Reduction Credits North Carolina Division Of Air Quality

This form is for the use of holders of Emission Reduction Credits Certificates who wish to transfer all or part of their credits to another holder. A separate application must be submitted for each ERCs Certificate for which credits are being transferred from one holder to another.

I. Facility With Original Emission Reduction Credits (ERCs) Certificate Information

This section provides information to identify the facility that generated the emission reduction.. This information can be found on the ERCs Certificate itself. Complete this section for all applications.

- A. Owner's Name: The full business name of the facility as registered with the NC Secretary of State's office and the owner's name that generated the emission reduction.
- B. Site Name: The name of the plant or facility that generated the emission reduction. If the facility operates under a different name than the owner name, enter it in this space.
- C. Site Address: The 911 street address (physical location) of the plant or facility that generated the emission reduction, not the corporate mailing address. Where the Division Of Air Quality (DAQ) would go to inspect the facility.
- D. City: The city in which the plant or facility that generated the emission reduction is located.
- E. State: North Carolina already entered.
- F. Zip Code: The postal zip code for the plant or facility that generated the emission reduction.
- G. County: The county in which the plant or facility that generated the emission reduction is located.
- H. Facility ID No. The unique identification number assigned to the facility by the DAQ. This number is located on the first page of the air permit. The facility ID No. should reflect the facility that generated the emission reduction.
- I. Original ERC Certification No: The number of the first, or original, ERC certificate that was issued for the emission reduction. This number will be referenced on the current ERCs certificate. If no credits have been traded or used since the original certificate was issued, then the original and current certificate numbers should be the same.
- J. Date Issued The date on which the original ERCs certificate was issued. This date should be referenced on the current ERCs certificate.

II. Current Owner of ERCs Certificate Information (if different from generating facility above)

Complete this section if the current owner of the ERCs is other than the facility that generated the emission reduction.

- A. Owner's Name: The full business name of the facility as registered with the NC Secretary of State's office currently holding the ERCs Certificate.



Instructions For Form ERC-3 Application For Transfer Of Emission Reduction Credits North Carolina Division Of Air Quality

- B. Mailing Address: Address where the owner may be contacted by mail.
- C. City: The city corresponding to the owners mailing address.
- D. State: The state corresponding to the owners mailing address.
- E. Zip Code: The postal zip code corresponding to the owners mailing address.
- F. Current ERC Certification No: The number of the current ERC certificate that was issued for the emission reduction. This number will be referenced on the new ERCs certificate.
- G. Date Issued: The date on which the current ERCs certificate was issued. This date should be referenced on the current ERCs certificate.

III. Current Contact for Sale of ERCs (if different from current ERCs Certificate)

Use this section to provide information for the principal contact for questions regarding the transfer or sale of the ERCs. This person will be contacted by facilities interested in purchasing the ERCs for use as offsets. Complete this section for all applications.

- A. Contact Name: Name of the principal contact for questions regarding the transfer or sale of the ERCs.
- B. Title: Official title of the principal contact listed above.
- C. Facility: Facility or firm employing the principal contact.
- D. Telephone: Telephone number for the principal contact.
- E. Fax: Facsimile number for the principal contact.
- F. Mailing Address: Street address or P.O. Box number where the principal contact may be contacted by mail.
- G. Email: List email address if you would like to be contacted by email.
- H. City: The city corresponding to the principal contact's mailing address.
- I. State: The state corresponding to the principal contact's mailing address.
- J. Zip Code: The postal zip code corresponding to the principal contact's mailing address.

IV. Buyer Of Emission Reduction Credits Information

This section provides identifying information for the future holder or owner of all or a portion of the Emission Reduction Credits. Complete this section for all applications.



Instructions For Form ERC-3 Application For Transfer Of Emission Reduction Credits North Carolina Division Of Air Quality

- A. Facility Name: The name of the facility that will hold all or a portion of the ERCs.
- B. Facility ID No.: The unique identification number assigned to the facility by the DAQ. This number is located on the first page of the air permit.
(if any)
- C. Mailing Address: Address where the holding facility may be contacted by mail.
- D. City: The city corresponding to the holding facility's mailing address.
- E. County: The county in which the plant or facility is located.
- F. State: The state corresponding to the holding facility's mailing address.
- G. Zip Code: The postal zip code corresponding to the holding facility's mailing address.

V. Buyer's Contact for Future Sale of Emission Reduction Credits

Use this section to provide information for the principal contact for questions regarding the future transfer or sale of the ERCs. This person will be contacted by companies interested in purchasing the ERCs for use as offsets. Complete this section for all applications.

- A. Contact Name: Name of the principal contact for questions regarding the future transfer or sale of the ERCs.
- B. Title: Official title of the principal contact listed above.
- C. Company: Company or firm employing the principal contact.
- D. Telephone: Telephone number for the principal contact.
- E. Fax: Facsimile number for the principal contact.
- F. Mailing Address: Street address or P.O. Box number where the principal contact may be contacted by mail.
- G. Email: List email address if you would like to be contacted by email.
- H. City: The city corresponding to the principal contact's mailing address.
- I. State: The state corresponding to the principal contact's mailing address.
- J. Zip Code: The postal zip code corresponding to the principal contact's mailing address.

VI. Emission Reduction Credits to Be Transferred

This section identifies the current ERC certificate number and the amount of emission reduction credits to be transferred in this transaction. Complete this section for all applications.



Instructions For Form ERC-3 Application For Transfer Of Emission Reduction Credits North Carolina Division Of Air Quality

- Column 1: Provide the current ERC certificate number. This number appears on the ERC certificate itself.
- Column 2: Provide the date on which the current ERC certificate was issued.
- Column 3: Provide the total amount of emission reduction credits for the current certificate. This value appears on the ERC certificate.
- Column 4: Provide the amount of emission reduction credits to be transferred.
- Column 5: Provide the amount of emission reduction credits to be retained by the current holder. The sum of the values in columns 4 and 5 should equal the value of column 3.
- Column 6: Identify the pollutant associated with the emission reduction credits. The pollutant is identified on the ERC certificate.

VII. Purchase Dates and Prices

This section provides information on the effective date of the transfer of the emission reduction credits.

- A. Acquisition Date: Provide the date on which the transfer of the emission reduction credits from the current holder to the future holder becomes effective.
- B. ERC Purchase Price: Provide the negotiated price of the emission reduction credits (in dollars per ton) that are being transferred (optional).

VIII. Certification by Responsible Official

The application to transfer emission reduction credits must be signed by an authorized representative of the facility that currently holds the ERC certificate. If this facility is a major source subject to the federal Title V operating permit program, then the signatory must meet the regulatory criteria for "Responsible Officials" listed in 40 CFR Part 70.2 (definition of "Responsible Official"). If the facility is a non-Title V facility, then preferably an officer or company official as defined in 15A NCAC 2Q .0304. Please provide the name, title and signature of the facility's authorized representative or Responsible Official and the date on which the application was signed.