



# EPA Form 3520-21

## (Heavy duty highway/ off-road)

<b>Company Name:</b>	<b>Account Number:</b>
<b>Product or Component Characteristics and/or Commercial Description:</b>	<b>If EPA is not required please check the disclaim box below:</b>  <b>DISCLAIM</b>
<b>Harmonized Tariff Schedule (HTS)Number:</b>	<b>Manufacturer Trade Name/Brand Name:</b>
<b>Engine Number (ENN) or Serial Number (SE):</b>	<b>Manufacturer Model:</b>
<b>Vehicle Identification Number (AKG/VIN)</b>	<b>Manufacturer Month and Year (MMYYYY):</b>
<b>Import/Commodity Qualifier Codes</b> <i>(Refer to the import code* and commodity qualifier code** matrices. Additional data elements may be required in the LPCO section below, dependent upon the import code selected)</i>	
<b>*Import Code:</b>	<b>**Commodity Qualifier Code:</b>
<b>Licenses, Permits, Certificates or Other (LPCO) Required Data Elements</b> <i>(see Import Codes Matrix for additional LPCO details)</i>	
<b>LPCO Type:</b> (where applicable, will be either EP4 Test Group (Exhaust engine Family Name)Name/Number, EP7 (Bond Policy Number) or EP9 (EPA Exemption Number))	<b>LPCO Number Assigned:</b>
<b>EPA Entities (*Required)</b>	
<b>*Importer (IM) Company Name:</b>	<b>Owner (DFP) Company Name &amp; State/Province:</b>
<b>Importer (IM) Address:</b>	<b>Owner (DFP) Contact Name:</b>
<b>Importer (IM) Contact Name:</b>	<b>Owner (DFP) Telephone Number:</b>
<b>Importer (IM) Telephone Number:</b>	<b>Owner (DFP) Email Address:</b>
<b>Importer (IM) Email Address:</b>	<b>NAIC Bond Issuer (NAI):</b>
<b>Storage Location (STL) Company Name:</b>	<b>*Certifying Individual (CI) Company Name:</b>
<b>Storage Location (STL) Contact Name:</b>	<b>Certifying Individual (CI) Contact Name:</b>
<b>Storage Location (STL) Contact Phone Number:</b>	<b>Certifying Individual (CI) Contact Phone Number:</b>
<b>Storage Location (STL) Contact Email Address:</b>	<b>Certifying Individual (CI) Contact Email Address:</b>



## \*EPA 3520-21 IMPORT/INDUSTRY CODE MATRICES

**For use with EP1 (Vehicles Bond Exemption), EP2 (EPA Vehicles and Engines Import Code), EP3 (EPA Vehicles and Engines Industry Code), Remarks Type Codes**

Data Element	Code	Description	LPCO/Required Data Element or Image
<b>Bond Exemption Status Codes (For use when EP1 is Remarks Type Code)</b>			
<b>Remarks Codes (Bond Exemption Status Codes)</b>	<b>E1Y</b>	The engine is exempt from Bond	
	<b>E1N</b>	The engine is not exempt from Bond	
<b>Import Codes (For use when EP2 is Remarks Type Code)</b>			
<b>Remarks Codes (Categories of Vehicles and Engine Imports - Permanent exemptions for Nonconforming Engines [1-9])</b>	<b>1</b>	U.S. certified engine or engine installed in a certified vehicles	EP4 - Test Group or Engine Family Name; NAIC Bond also required if BOTH industry code "G" and import code "1"
	<b>2</b>	National Security	EP9 - Exemption Number
	<b>3</b>	Manufacturer-owned engine	EP4 - Test Group or Engine Family Name
	<b>4</b>	Replacement engine	EP4 - Test Group or Engine Family Name
	<b>5</b>	Extraordinary circumstances/hardship	EP9 - Exemption Number
	<b>6</b>	Hardship for small volume manufacturers	EP9 - Exemption Number
	<b>7</b>	Equipment-manufacturer hardship	EP9 - Exemption Number
	<b>8</b>	Identical configuration	
	<b>9</b>	Ancient engine	
<b>Remarks Codes (Categories of Vehicle and Engine Imports - Temporary exemptions for Nonconforming Engines [10-16]; Importation of Engines Excluded from U.S. EPA Emissions Standards [17-21]; Exemptions for Specific Engine Categories or Other Special Cases [22-35])</b>	<b>10</b>	Repairs or alterations	EP9 - Exemption Number
	<b>11</b>	Testing	EP9 - Exemption Number
	<b>12</b>	Display	EP9 - Exemption Number
	<b>13</b>	Export	
	<b>14</b>	Diplomatic or military	EP9 - Exemption Number
	<b>15</b>	Delegated assembly	
	<b>16</b>	Partially complete engine	EP4 - Test Group or Engine Family Name
	<b>17</b>	Engine manufactured before emission standards started to apply	
	<b>18</b>	Competition engine	EP9 - Exemption Number
	<b>19</b>	Stationary compression-ignition engine with displacement at or above 30 liters per cylinder or stationary spark-ignition engine above 19kW that is not designed to run on gasoline or, if rich-burn, on liquefied petroleum gas	
	<b>20</b>	Underground mining	
	<b>21</b>	Hobby engine	
	<b>22</b>	Transition program for equipment manufacturers	EP7 - bond Policy Number; Commodity qualifier code V03, requires engine power rating in kW or HP
	<b>23</b>	Personal-use exemption for small spark-ignition engines	
	<b>24</b>	Engine imported by an independent commercial importer recognized by the EPA	EP4 - (24a) Test Group or Engine Family Name EP7 - (24c) Bond Policy Number
	<b>25</b>	Other exemption	
<b>Industry Codes (For use when EP3 is Remarks Type Code)</b>			
<b>Remarks Codes (Categories of Vehicle and Engine Imports)</b>	<b>A</b>	Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500lb)	
	<b>B</b>	Locomotives or locomotive engines	
	<b>C</b>	Marine compression-ignition engines	
	<b>D</b>	Other non-road compression-ignition engines	
	<b>E</b>	Marine spark-ignition engines	
	<b>F</b>	Recreational engines and vehicles, including snowmobiles, off-highway motorcycles, all-terrain vehicles, and off-road utility vehicles	
	<b>G</b>	Other non-road spark-ignition engines at or below 19kW or below 30kW if total displacement is at or below 1000cc	NAIC Bond required if BOTH industry code "G" and import code "1"
	<b>H</b>	Other non-road spark-ignition engines above 19kW	
	<b>I</b>	Stationary compression-ignition engines	
	<b>J</b>	Stationary spark-ignition engines	



**\*\*COMMODITY QUALIFIER CODES:**

**AT LEAST ONE COMMODITY QUALIFIER CODE WILL BE REQUIRED FOR ALL 3520-21 ENTRIES. ADDITIONAL COMMODITY QUALIFIER CODES ARE OPTIONAL AND CAN BE TRANSMITTED AT THE DISCRETION OF THE FILER TO PROVIDE ADDITIONAL CHARACTERISTICS OF A PRODUCT OR COMPONENT**

Qualifier Code	Definition	Commodity Characteristic Qualifiers
V03	Engine Power Rating	Engine power rating in kW or HP
V05	Manufacture Date (location) of the vehicle or engine	ENG-Engine, VEH-Vehicle, OTH-Other (explains the <b>location</b> of the manufacture date of the vehicle or engine) actual manufacturer date is reported in PG 07
V06	Model year of the vehicle or engine	

**EPA DISCLAIMER:**

**Valid disclaim codes:**

**A=product is not regulated by this agency**

**B=data is not required per agency guidance**

**C=data filed through other agency means**

**D=data filed through paper**

**\*no disclaimer is allowed if the HTS is flagged as “must be” provided**

