



# 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>Engine Manufacturer Trade Name/Brand Name:</b>
<b>Engine Number (ENN) or Serial Number (SE):</b>	<b>Engine Manufacturer Model:</b>
<b>Vehicle Identification Number (AKG/VIN)</b>	<b>Engine Manufacture 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>*Industry Code:</b>
	<b>**Commodity Qualifier Code</b> (information other than model year only required for certain imports):
<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 Name (DFP) (Optional):</b>
<b>*Importer (IM) Address:</b>	<b>Owner (DFP) Address and Telephone (Optional):</b>
<b>*Importer (IM) Contact Name:</b>	<b>Owner (DFP) e-mail (Optional):</b>
<b>*Importer (IM) Telephone Number:</b>	<b>The following fields are only required for certain engine imports detailed on the matrices below</b>
<b>*Importer (IM) Email Address:</b>	<b>NAIC Bond Issuer and Policy Number (NAI):</b>
<b>*Certifying Individual (CI) Company Name:</b>	<b>Storage Location (STL) Company Name:</b> (required for 24a and 24b)
<b>*Certifying Individual (CI) Contact Name:</b>	<b>Storage Location (STL) Contact Name:</b>
<b>*Certifying Individual (CI) Contact Phone Number:</b>	<b>Storage Location (STL) Contact Phone Number:</b>
<b>*Certifying Individual (CI) Contact Email Address:</b>	<b>Storage Location (STL) Contact Email Address:</b>

Please attach pictures of any EPA engine labels to this form



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

Data Element	Code	Description	LPCO/Required Data Element or Image
<b>Import Codes (Choose One)</b>			
<b>Import Codes Categories of Vehicles and Engine Imports</b>  <b>Permanent exemptions for Nonconforming Engines [1-9]</b>	1	<b>U.S. Certified Engine or engine installed in a certified vehicle</b> , covered by a valid EPA certificate of conformity and bearing an EPA emission control label in English. Additional information for Category G engines from 2010 and later model years (see 40 CFR 90.1007 or 1054.690): If not exempt from bond, NAIC# for bond issuer, policy number and state of issue is required.	Test Group or Engine Family Name; NAIC# for Bond issuer, Bond Policy number and model year also required if BOTH industry code "G" and import code "1"
	2	<b>National Security</b> . Importing a labeled (where applicable) engine subject to 40 CFR 1068.315(a). For certain types of tactical equipment, this exemption may require prior EPA approval	Exemption Number (EPA Letter of Approval)
	3	<b>Manufacturer-owned engine</b> . Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity subject to 40 CFR 1068.315(b)	Test Group Name/Engine Family Number
	4	<b>Replacement engine</b> . Importing a labeled engine by an engine manufacturer holding a current U.S. EPA certificate of conformity subject to 40 CFR 1068.315(c). This exemption does not apply to locomotive engines.	Test Group Name/Engine Family Number
	5	<b>Extraordinary circumstances/hardship</b> . Importing a labeled engine subject to 40 CFR 1068.315(d). <u>An EPA letter of approval must be attached.</u>	Exemption Number (EPA Letter of Approval)
	6	<b>Hardship for small volume manufacturers</b> . Importing a labeled engine subject to 40 CFR 1068.15(e). <u>An EPA letter of approval must be attached to this form.</u>	Exemption Number (EPA Letter of Approval)
	7	<b>Equipment-manufacturer hardship</b> . Importing a labeled engine subject to 40 CFR 1068.315(f). This may also apply to secondary engine manufacturers. <u>An EPA letter of approval must be attached to this form.</u>	Exemption Number (EPA Letter of Approval)
	8	<b>Identical configuration</b> . Importing an engine subject to 40 CFR 1068.315(h). Such an engine must be identical in all material respects to a U.S.-certified version, and the importer must have owned it for at least six months before importation. <u>An EPA letter of approval must be attached to this form.</u> This exemption does not apply to locomotives.	
	9	<b>Ancient engine</b> . Importing an engine first manufactured at least 21 years earlier that is still in its original configuration, subject to 40 CFR 1068.315(j). This exemption does not apply to locomotives.	EPA has discontinued the use of the Ancient Engine exemption for non-road vehicles
<b>Import Codes Categories of Vehicle and Engine Imports</b>  <b>Temporary exemptions for Nonconforming Engines [10-16]</b>	10	<b>Repairs or alterations</b> . Importing an engine for repair or alteration subject to 40 CFR 1068.325(a) or 85.1511(b)(1). <u>An EPA letter of approval must be attached.</u>	Exemption Number (EPA Letter of Approval)
	11	<b>Testing</b> . Importing an engine for testing subject to 40 CFR 1068.325(b) or 85.1511(b)(2). Appropriate labeling is required for some engines and recommended for all engines. <u>An EPA letter of approval must be attached.</u>	Exemption Number (EPA Letter of Approval)
	12	<b>Display</b> . Importing an engine for display subject to 40 CFR 1068.325(c) or 85.1511(b)(4). Appropriate labeling is required for some engines and recommended for all engines. <u>An EPA letter of approval must be attached.</u>	Exemption Number (EPA Letter of Approval)
	13	<b>Export</b> . Importing an engine for eventual export, subject to 40 CFR 1068.325(d). NOTE: The engine and/or shipping container must be labeled or tagged to identify them as solely for export.	
	14	<b>Diplomatic or military</b> . Importing an engine subject to 40 CFR 1068.325(e). This exemption is limited to members of the armed forces or personnel of a foreign government on assignment to the U.S. for whom free entry has been authorized in writing by the U.S. Department of State, or for members of the armed forces of a foreign country with official orders for duty in the U.S. This exemption does not apply to locomotive or marine compression-ignition engines.	Exemption Number (EPA Letter of Approval)
	15	<b>Delegated assembly</b> . Importing a labeled engine for delegated assembly subject to 40 CFR 1068.325(f) or 1033.630. This exemption does not apply to handheld spark-ignition engines or engines for recreational vehicles.	
	16	<b>Partially complete engine</b> . Importing an engine not yet in its final configuration covered by a certificate of conformity (or an engine that will be installed in a vehicle covered by a certificate of conformity), subject to 40 CFR 1068.325(g). This also applies to an engine covered by a valid exemption. A certificate holder may also import a partially complete engine from its foreign facility to its U.S. facility as described in 40 CFR 1068.325(g).	Test Group Name/Engine Family Number
	17	<b>Engine manufactured before emission standards started to apply</b> . These engines must generally have already been placed into service. Note that 40 CFR 1068.360 disallows importation of new engines not certified to standards corresponding to the model year before the year of importation. <a href="#">Emissions Schedule</a> .	Model year



<b>Importation of Engines Excluded from U.S. EPA Emissions Standards [17-21]</b>  <b>Exemptions for Specific Engine Categories or Other Special Cases [22- 35]</b>	18	<b>Competition engine.</b> The engine must be used solely for competition, subject to 40 CFR 1068.310(a) or 85.1511(e). <u>An EPA letter of approval must be attached.</u>	Exemption Number (EPA Letter of Approval)
	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> These stationary engines are subject to EPA emission standards under 40 CFR part 60 Subparts IIII and JJJJ, but are not required to be certified. The engine must be used in a stationary manner. See 40 CFR 60.4248 and 1068.310(b). The engine must be labeled as described in 40 CFR 1039.20 or 1048.20, as applicable. NOTE: Stationary engines may be subject to state or local regulations.	Power rating and Model year
	20	<b>Underground mining.</b> Engine must be used in underground mining and regulated by the Mining Safety and Health Administration (MSHA). See 40 CFR 1039.5; see also 30 CFR parts 7, 31, 32, 36, 56, 57, 70, and 75. For compression-ignition engines only.	
	21	<b>Hobby engine.</b> Engine must be used to power a reduced-scale model of a vehicle not capable of transporting a person. See 40 CFR 1068.310(c).	Explanation of exemption
	22	<b>Transition program for equipment manufacturers.</b> Importing a piece of equipment, subject to 40 CFR 1039.625 and 1039.626 (Category D). Identify Maximum engine power and units. Identify if it is exempt from bond and if not exempt, NAIC# for bond issuer, policy number and state of issue is required	NAIC bond issuer number and Policy Number; Commodity qualifier code V03, requires engine power rating in kW or HP; Model year, State of issue
	23	<b>Personal-use exemption for small spark-ignition engines.</b> Importing three or fewer nonroad spark-ignition engines at or below 19 kW for purposes other than resale, where the importer has not used this exemption in the previous five years, subject to 40 CFR 1054.630.	Power rating
	24	<b>Engine imported by an independent commercial importer recognized by the EPA.</b> Only for Industry Codes A and D. <ul style="list-style-type: none"> <li>24a. For modification under an EPA certificate issued for the specific make, model, and model year under 40 CFR 85.1505, 89.605 or 1039.660</li> <li>24b. For modification and testing according to 40 CFR 85.1509. NOTE: The imported engine must be at least 6 years old.</li> <li>24c. For precertification testing to obtain an EPA certificate under 40 CFR 85.1511(b)(3). NOTE: CBP bond is required. Specify location of storage (required for 24a and 24b)</li> </ul> NOTE: Under 24a and 24b, you may import up to five highway engines in a given model year that are certified to standards based on an engine's original production year. You may import any number of engines certified to standards that apply based on the year the engine is modified. See 40 CFR 85.1503.	(24a) Test Group or Engine Family Name; Model year; Storage location (24b) Model year; Storage location (24c) Bond Policy Number
	25	<b>Other exemption.</b> Describe the exemption, attach EPA approval (if applicable), and identify the regulatory cite.	Regulatory Citation for other exemption
	E1Y	The engine is exempt from Bond	
	E1N	The engine is not exempt from Bond	
<b>Industry Codes (Choose One)</b>			
<b>Type of Highway, nonroad, or stationary engine, vehicle, or equipment</b>	A	Heavy-duty highway engines (for use in motor vehicles with gross vehicle weight rating above 8500 pounds)	
	B	Locomotives or locomotive engines	
	C	Marine compression-ignition engines. This includes propulsion engines and auxiliary engines installed on marine vessels	
	D	Other nonroad compression-ignition engines	
	E	Marine spark-ignition engines	
	F	Recreational engines and vehicles, including snowmobiles, off-highway motorcycles, all-terrain vehicles, and off-road utility vehicles that are subject to the same emission standards as all-terrain vehicles	
	G	Other nonroad spark-ignition engines at or below 19kW (or at or below 30kW if total displacement is at or below 1000cc)	NAIC Bond required if BOTH industry code "G" and import code "1"
	H	Other non-road spark-ignition engines above 19kW	
	I	Stationary compression-ignition engines	
	J	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**

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

