

Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

[†]Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

	diary Name	Account ID# 700004				
Continge		l Purchase 🗆 S	Sell 🗆 Swap		id for this contrac	u:
		ent was reached	•	\$0.00 Expiration D	ate or Date when	the RTCs are to be delivered :
0/30/200	06			01/05/2007		
			nt for contingent ri	-		
	erms of RTC Tr			:	(At	tach a separate form if more spaces are need
Cycle	Flom		Original Zone (Constal or Inland)		Price (\$/Pound)	Origin of Credits
2	06/30/2007	Single Year Trade	Inland	32,347	\$1.25	Rule No.: XX
						·
this colu	ımn "Single Year Trad optiance year. Use s	de". For a perpetual s	numple year transaction of tream transaction, mark this	RTOs of same zone, qu s column "All Years Afte	antity, and price in a sing	ar" Column is used to enter (1) single year gle line. For a single year transaction, mark ransaction, fill in the expiration date of the eyears between these two columns will be
gistration	and associated fo	rms are required in	S OF TROUZER THE R I I . I I	ansaction Registrat 2007 within five (5)	ion I alea undamateu	o purchase, sale, or swap RTCs. I ad that a separate RTC Transaction actual RTC transfer. I certify that the
	y: <u>Christi</u>	ne Grandstaff		Signatur	e;	
ported B		(Print nai	ne)			

SCAQMD, RECLAIM Administration - RTC Transfers, P.O. 4830, Diamond Bar, CA 91765-0830



SOU | COAST AIR QUALITY MANAGEM | IT DISTRICT

Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

[†]Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

Seller i	Name [†] Name [†] nediary:	Account ID# Account ID#						
	ediary Name	Cantor Fitzger	rald 6551			Account ID# 700004		
Conting	contract: ent Right to: E rward Contract	l Purchase ☐ S	Sell □ Swap	1	Premium paid for this contract:			
	en this agreeme	ent was reached	<u></u> !:	\$0.00	Date or Date v	when the RTCs are to be delivered :		
10/30/20				Expiration	Jake Of Dake W	men the KTCs are to be delivered :		
				01/05/2007				
→ Attac	h forward contr	act or agreeme	nt for continge	nt right to purchase	 -			
	t: NOx_X			•				
Albaar súse						(Attach a separate form if more spaces are need		
are the second	From	uisterren	Original Zon		Price			
Cycle	Compliance Year(*)	To Compliance Year(*)	(Coastal or Tuland)	Quantity (Pounds/Year)	(\$/Pound	Origin of Credits		
2	06/30/2007	Single Year Trade	Inland	118,596	\$1.25	Rule No.: XX		
			<u> </u>					
this col	umn "Single Year Trac mpliance year. Use s	le". For a perpetual st	ream transaction ma	on of KIUS of same zone, q	uantity, and price in	ce Year" Column is used to enter (1) single year a single line. For a single year transaction, mark year transaction, fill in the expiration date of the clusive years between these two columns will be		
egistration	and associated for	rms are required in	accordance with	C Transaction Registra Rule 2007 within five (5)	tion I aloo unda	ght to purchase, sale, or swap RTCs. I Instand that a separate RTC irransaction of the actual RTC transfer, I certify that the		
itements :	are true, accurate, a	and complete to the	best of my know	ledge.	7\~1/	and and an analysis and an ana		
nombed C	By: <u>Christi</u> r	ne Grandstaff (Print nan	ne)	Signatu	re:			
eported E		(•			and the second s		

Submit this form to



Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

Buyer N	ame†		Account ID#					
Seller N	ame†	-				Account ID#		
If Interm	•	Cantor Fitzgera	ld 6149		Account ID# 700004			
		l Purchase □ Se	ell 🗆 Swap	Premium paid for this contract:				
	n this agreem	ent was reached:		Expiration Date or Date when the RTCs are to be delivered : 10/31/06				
→ Attach	n forward conti	ract or agreemen	t for contingent r	ight to purchase				
Pollutant	: NOx <u>X</u>	or SOx (I	dentify one polluta	nt only)	/4/	Haab a annoyata form if more angues are negrical.		
T	erms of RTC Tr	ansferred			(AI	tach a separate form if more spaces are needed)		
Cycle	From Compliance Year(*)	To Compliance Year(*)	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits		
1	12/31/2008	Single Year Trade	Coastal	69,729	\$6.50	Rule No.: XX		
1	12/31/2009	Single Year Trade	Coastal	78,032	\$6:50	Rule No.: XX		
1 .	12/31/2010	Single Year Trade	Coastal	75,874	\$6.50	Rule No. : XX		
2	06/30/2009	Single Year Trade	Coastal	869	\$6.50	Rule No.: XX		
2	06/30/2010	Single Year Trade	Coastal	2,633	\$6.50	Rule No. : XX		
2	06/30/2011	Single Year Trade	Coastal	4,992	\$6.50	Rule No. : XX		
transac this col	ction, (2) perpetual str umn "Single Year Tra mpliance year. Use	ream transaction, or (3) r ade". For a perpetual st	nultiple year transaction or ream transaction, mark ti	of RTCs of same zone, qua his column "All Years After	antity, and price in a sir	par" Column is used to enter (1) single year nigle line. For a single year transaction, mark transaction, fill in the expiration date of the re years between these two columns will be		
further und Registration	erstand that this r n and associated t	eport does not act a forms are required in	or replace the RTC	Fransaction Registrati le 2007 within five (5) l	on. I also understa	to purchase, sale, or swap RTCs. I and that a separate RTC Transaction be actual RTC transfer / I certify that the		
Reported I	By: <u>Chris</u>	tine Grandstaff (Print na	пе)	Signature):			
Company	Name & Title: <u>C</u>	antor Fitzgerald B	roker	Date and Pla	ce: <u>08/15/06 Sa</u>	an Juan Capistrano, CA		
SCAQME	Disclaimer: This r	eport will be made ava	ailable to the public for	informational purposes	only. The SCAQMD	does not verify the content of this report.		

Submit this form to



Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

if intern	lame [†] nediary: diary Name	Cantor Fitzgerald	5767	Account ID# Account ID# <u>700004</u>				
Conting	contract: ent Right to: □ rward Contract	l Purchase ☐ Sell	□ Swap	Premium paid fo	or this contract:	\$0.00		
·	en this agreeme	ent was reached:		Expiration Date May 1, 2007	or Date when th	e RTCs are to be delivered :		
→ Attac	h forward contr	act or agreement for	contingent rig	ght to purchase				
Pollutan	t: NOx	or SOx X (Ide	ntify one polluta	ant only)				
	120000000000000000000000000000000000000		Saletze (S. Civid		(Attac	h a separate form if more spaces are needed)		
Cycle	From Compliance	To Compliance	Original Zo (Coastal or Inland)	Quantity	Price (\$/Pound)	Origin of Cyedits		
	Year(*)	Circle Veer(*)	Coastal	946	\$0.7245	Dala Na WW		
2 2	06/31/2007 06/31/2008	Single Year Trade Single Year Trade	Coastal	946	\$0.7245	Rule No. : XX Rule No. : XX		
2	06/31/2009	Single Year Trade	Coastal	946	\$0.7245	Rule No.: XX		
2	06/31/2010	Single Year Trade	Coastal	946	\$0.7245	Rule No. : XX		
2	06/31/2011	Single Year Trade	Coastal	946	\$0.7245	Rule No. : XX		
2	06/31/2012	All Years After	Coastal	946	\$0.7245	Rule No. : XX		
transa colum compli I understar further und Registratio	ction, (2) perpetual strongersiance year. Use sepand that this is only a lerstand that this renand associated for and associated for the street of the stree	eam transaction, or (3) multip For a perpetual stream transactions of dearer to the AQMD of the period does not see the period of the AQMD of the period does not see the per	le year transaction o ansaction, mark this ifferent RTCs, quanti he agreement of a eplace the RTC To ordance with Rule	f RTCs of same zone, quar column "All Years After". ties or prices. Transactions a forward contract or a transaction Registration 2007 within five (5) bus	ntity, and price in a sing For a multiple year tra for all inclusive years b contingent right to	Year Column is used to enter (1) single year ple line. For a single year transaction, mark this ansaction, fill in the expiration date of the last etween these two columns will be registered. purchase, sale, or swap RTCs. I that a separate RTC Transaction could RTC transfer. I certify that the		
Reported	By: <u>Christ</u>	ine Grandstaff (Print name)		Signature:				
_		antor Fitzgerald Brok				San Juan Capistrano, CA		

Submit this form to

SCAQMD, RECLAIM Administration - RTC Transfers, P.O. 4830, Diamond Bar, CA 91765-0830



Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

Seller Na If Intermed Intermed	ediary:	Cantor Fitzgerald	5697	Account ID# Account ID# <u>700004</u>				
		□ Purchase □ Sell	□ Swap	Premium paid for this contract: \$0.00				
	n this agreeme	nt was reached:		Expiration Date May 1, 2007	or Date when the	e RTCs are to be delivered :		
→ Attach	forward contr	act or agreement for	contingent rig	t to purchase				
Pollutant:	NOx	or SOx X (Idea	ntify one polluta	ent only)	(Attach	a separate form if more spaces are needed)		
Cycle	From Gompliance	Transferred Transferred To Compliance Year(*)	Original Zo (Coastal or Inland)	No. 1. 1 Contract Con	PTICE (C/Down-I)	Origin of Credits		
4	Year(*) 12/31/2006	Single Year Trade	Coastal	31,400	\$0.7245	Rule No. : XX		
1	12/31/2007	Single Year Trade	Coastal	31,400	\$0.7245	Rule No. : XX		
1	12/31/2008	Single Year Trade	Coastal	31,400	\$0.7245	Rule No.: XX		
1	12/31/2009	Single Year Trade	Coastal	31,400	\$0.7245	Rule No.: XX		
1	12/31/2010	Single Year Trade	Coastal	31,400	\$0.7245	Rule No.: XX		
1	12/31/2011	All Years After	Coastal	31,400	\$0.7245	Rule No.: XX		
transac column complia	tion, (2) perpetual str "Single Year Trade' ance year. Use sepa	eam transaction, or (3) multip . For a perpetual stream trate lines for transactions of c	ele year transaction of ansaction, mark this lifferent RTCs, quant	of RTCs of same zone, que column "All Years After" ities or prices. Transaction	nantity, and price in a sing For a multiple year trans for all inclusive years b	Year* Column is used to enter (1) single year le line. For a single year transaction, mark this ansaction, fill in the expiration date of the last etween these two columns will be registered.		
further under Registration	erstand that this re n and associated f	eport does not act as or i	eplace the RTC T ordance with Rule	ransaction Registration 2007 within five (5) b	on. I also understand	curchase, sale, or swap RTCs. I that a separate RTC Transaction chial RTC transfer. I certify that the		
Reported I		tine Grandstaff (Print name)		Signature	:(
		(Finit name)				San Juan Capistrano, CA		

Submit this form to

SCAQMD, RECLAIM Administration - RTC Transfers, P.O. 4830, Diamond Bar, CA 91765-0830

Form 2007-4 Rev. 12-03



Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

1140 (0) 00	ionicoo dayo or	the agreement.	•						
Buyer N	ame†	<u>,, , , , , , , , , , , , , , , , , , ,</u>			 	Account ID#			
	ameł	·				Account ID#			
If Interm	_	Cantor Fitzger	ald 5778	Account ID# <u>700004</u>					
] Purchase 🗆 S	Sell □ Swap	Premium pai \$16,922.25	Premium paid for this contract: \$16,922.25				
Date whe	n this agreeme	ent was reached	:	•		the RTCs are to be delivered :			
May 1, 20	106			March 28, 20	07				
→ Attach	n forward conti	act or agreemer	nt for contingent r	ight to purchase					
Pollutant	: NOx	or SOx X	(Identify one pollu	tant only)					
T	A DTC T				(A	Attach a separate form if more spaces are needed)			
Cycle	From Compliance Year(*)	To Compliance Year(*)	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits			
2	06/30/2007	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX			
2	06/30/2008	Single Year Trade	Coastal	54,500	\$1.5525	Rule No. : XX			
2	06/30/2009	Single Year Trade	Coastal	54,500	\$1.5525	Rule No. : XX			
2	06/30/2010	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX			
2	06/30/2011	Single Year Trade	Coastal	54,500	\$1.5525	Rule No. : XX			
2	06/30/2012	All Years After	Coastal	54,500	\$1.5525	Rule No.: XX			
* In the "From Compliance Year" Column, fill in the expiration date of the first compliance year RTCs. The "To Compliance Year" Column is used to enter (1) single year transaction, (2) perpetual stream transaction, or (3) multiple year transaction of RTCs of same zone, quantity, and price in a single line. For a single year transaction, mark this column "Single Year Trade". For a perpetual stream transaction, mark this column "All Years After". For a multiple year transaction, fill in the expiration date of the last compliance year. Use separate lines for transactions of different RTCs, quantities or prices. Transactions for all inclusive years between these two columns will be registered.									
further under Registration	erstand that this re n and associated f	eport does not act a orms are required i	s or replace the RTC	Transaction Registra le 2007 within five (5)	tion. I also underst	to purchase, sale, or swap RTCs. I and that a separate RTC Transaction he actual RTC fransfer. I certify that the			
Reported E	By: <u>Christ</u>	tine Grandstaff		Signatu	re: _	47 1 4 %			
Commonica	Nama P Title: 0	(Print na	,	Data	d Dinos - 40/09/	OS San Juan Cariotrana CA			
Company I	name & (Itie: <u>C</u>	antor Fitzgerald	rade Suppor	Date and	u Piace: <u>10/03/(</u>	06 San Juan Capistrano, CA			
SCAQMD	Disclaimer: This re	eport will be made av	ailable to the public for	informational purposes	s only. The SCAQME	O does not verify the content of this report.			

Submit this form to



Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

May 1, 2006 → Attach for Pollutant: N	orward contra	nt was reached: act or agreement for or SOxX(Ider	contingent right	Expiration Date o September 28, 20		RTCs are to be delivered :
Pollutant: N		_	contingent right		U6	
	IOx o	r SOx X (Ider		to purchase		
			ntify one pollutant	only)	(Attach a	separate form if more spaces are needed)
7.72	From Compliance Year(*)	To Compliance Year(*)	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price (S/Pound)	Origin of Credits
2	06/31/2007	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX
2	06/31/2008	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX
2	06/31/2009	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX
2	06/31/2010	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX
2	06/31/2011	Single Year Trade	Coastal	54,500	\$1.5525	Rule No.: XX
2	06/31/2012	All Years After	Coastal	54,500	\$1.5525	Rule No. : XX
* In the "Fire	om Compliance Va	par Column fill in the expire	ation date of the first o	ompliance year RTCs T	he "To Compliance Yea	nr" Column is used to enter (1) single year
transaction column "S compliance i understand the further unders Registration as	, (2) perpetual streingle Year Trade". e year. Use separ nat this is only a tand that this re nd associated fo	eam transaction, or (3) multip For a perpetual stream transactions of dearer transactions of dearer transactions of dearer to the AQMD of the port does not act as or respect to the AQMD of the port does not act as or respect to the AQMD of the port does not act as or respect to the AQMD of the port does not act as or respect to the AQMD of the port does not act as or respect to the AQMD of the port does not act as or respect to the AQMD of the port does not act as or respectively.	le year transaction of R ansaction, mark this co ifferent RTCs, quantities he agreement of a fo eplace the RTC Tran ordance with Rule 20	TCs of same zone, quant lumn "All Years After". F s or prices. Transactions for prward contract or a consaction.	ty, and price in a single to a multiple year trans or all inclusive years between tright to pure I also understand the	line. For a single year transaction, mark this action, fill in the expiration date of the last veen these two columns will be registered. rchase, sale, or swap RTCs. I are a separate RTC Transaction and RTC transfel. I certify that the
Reported By:	Christi	ine Grandstaff (Print name)		Signature: _		

Submit this form to

SCAQMD, RECLAIM Administration - RTC Transfers, P.O. 4830, Diamond Bar, CA 91765-0830

Form 2007-4 Rev. 12-03



Regional CLean Air Incentives Market Trading Credits (RTCs)
Report of Contingent Right to Purchase RTCs and Forward Contract

Form 2007-4

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs or forward contracts be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. In the case of intermediary, the rule allows that the identities of actual trading parties need not be disclosed. This report is required to be submitted to the AQMD within five (5) business days of the agreement.

Buver Na	ame†					Account ID#	
Seller Na						Account ID#	
If Interm							
Intermed	liary Name	Cantor Fitzgerald	<u> 5740 </u>			Account ID# <u>700004</u>	
		Purchase 🗆 Sell	□ Swap	Premium paid for this contract: \$0.00			
Date whe 04/13/200	_	ent was reached:		Expiration Da 05/01/2006	te or Date when	the RTCs are to be delivered :	
→ Attach	forward contr	act or agreement f	for contingent righ	nt to purchase			
Pollutant	: NOx <u>X</u>	or SOx (lde	entify one pollutant	only)	/AI	tach a separate form if more spaces are needed)	
					[A]	lach a separate form it more spaces are needed)	
Cycle	From Compliance Year(*)	To Compliance Year(*)	Original Zone (Coertal or Inland)	Maximum Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Ctedits	
1	12/31/2006	Single Year Trade	Coastal	1,500	\$2.75	Rule No. : XX	
	1 1	1 1				Rule No.:	
	1 1	1 1				Rule No. :	
	1 1	1 1				Rule No. :	
	1 1	1 1				Rule No. :	
	1 1	1 1				Rule No. :	
	1 1	1 1	-			Rule No. :	
-	1 1	1 1		10 E 10 TH		Rule No. :	
	1 1	11				Rule No.:	
	1 1	1 1				Rule No.:	
transac this col last cor register	ction, (2) perpetual str lumn "Single Year Tr mpliance year. Use red.	eam transaction, or (3) mu ade". For a perpetual stre separate lines for transact	Itiple year transaction of R am transaction, mark this tions of different RTCs, qu	RTCs of same zone, q column "All Years Aft lantities or prices. Tra	uantity, and price in a si er". For a multiple year Insactions for all inclusi	ear" Column is used to enter (1) single year ngle line. For a single year transaction, mark r transaction, fill in the expiration date of the ye years between these two columns will be	
further und Registration	erstand that this r n and associated t	eport does not act as of forms are required in a	or replace the RTC Tra accordance with Rule	insaction Registra 2007 within five (5)	tion. I also underst	to purchase, sale, or swap RTCs. I and that a separate RT/ Transaction he agrual RTC transfer. I certify that the	
statements	are true, accurate	, and complete to the l	best of my knowledge	•			
Reported	By: <u>Chris</u>	tine Grandstaff (Print name	e)	Signatu	re: _		
Company	Name & Title: <u>C</u>	antor Fitzgerald E	Broker Da	te and Place: 04	/20/2006 San Ju	an Capistrano, CA	
SCAQML	D Disclaimer: This i	eport will be made avail	able to the public for inf	ormational purpose	s only. The SCAQML	↓ O does not verify the content of this report.	

Submit this form to SCAQMD, RECLAIM Administration - RTC Transfers, P.O. 4830, Diamond Bar, CA 91765-0830

Form 2007-4 Rev. 12-03