

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

## Form 2007-4A

†Rule 2007 (e)(2)(C) requires that all agreements for a contingent right to purchase RTCs 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. This form is for reporting a contingent right to purchase only. For forward contracts, use Form 2007-4B.

days of th	ie agreement.	This form is for re	eporting a continger	nt right to purchase	e only. For forwa	ard contracts, use	Form 2007-4B.	
Buyer Namet						_ Account ID#_		
Seller Name <sup>†</sup>						_ Account ID#_		
If Intermed	•	Cantor Fitzge	erald			_ Account ID#_	700004	
	nt Right to: 🗵		Sell Swa	dification	Premium paid for this contract:			
(If not initial, provide initial agreement date): / /  Date when this agreement was reached: 08/27/2008					\$0  Expiration Date of Contingent Right Agreement: N/A			
→ Attach	agreement for con	tingent right to pur	chase					
Pollutant:	NOx ⊠ or S	Ox [] (Identify	one pollutant only)					
ls this an	Infinite-Year-Blo	ock RTCs transac	tion: Yes 🔲 🏻	Total Value of Trar	nsaction \$		1 <sup>th</sup> or No	
<b>**</b>			_			Attach a separate form if	f more spaces are needed)	
	Terms of RTC Tra	nsferred	Original Zone	Maximum Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits		
Cycle	From Compliance Year(*)	To Compliance Year(*)	(Coastal or Inland)				in of Credits	
2	06/30/2008	Single Year Trade	Coastal	39,373	\$3.00	Rule No. : I	Reg XX	
1	12/31/2008	Single Year Trade	Coastal	50,000	\$1.85	Rule No. : I	Reg XX	
	1 1	1 1				Rule No.:		
	1 1	1 1				Rule No.:		
		1 1				Rule No. :	<del></del>	
* In the transac column compli	"From Compliance Y ction, (2) perpetual str "Single Year Trade" ance year. Use separt that this is only a rreplace the RTC T	ear" Column, fill in the ream transaction, or (3 ". For a perpetual str arate lines for transaction eport to the AQMD or ansaction Registrati	) multiple year transaction eam transaction, mark th ons of different RTCs, qua f the agreement of a co on. I also understand t	first compliance year RT of RTCs of same zone, its column "All Years Af ntities or prices. Intingent right to purcha hat a separate RTC Tr	Cs. The "To Complia quantity, and price in a ter". For a multiple ye ase, sale, or swap RT ransaction Registratio	ince Year" Column is use a single line. For a single ar transaction, fill in the FCs. I further underston and associated for	used to enter (1) single year le year transaction, mark this ne expiration date of the last tand that this report does ms are required in te, and complete to the	
best of my k	knc							
Reported E	Зу:			Signa			-	
ompany	Name & Title: <u>Ca</u>	antor Fitzgerald Bro	oker	Date and Pl	ace: September 4,	2008 San Juan Ca	pistrano, CA	
SCAQM	D Disclaimer: This r	eport will be made av	vailable to the public for	rinformational purpose	es only. The SCAQM	D 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 2007-4A Rev. 8-07



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days of tr	ne agreement.	inis form is for re	porting a continger	nt right to purchase	e only. For lorwa	ard contracts, use Form 2007-4B.	
Buyer Na	ame†			Account ID#			
Seller Na	ame†		Account ID#				
If Intermed	•	Cantor Fitzge	Account ID#				
Reason f	or this report: 🖂		Premium paid for this contract: \$0				
(If not initial, provide initial agreement date): / / Date when this agreement was reached: 09/09/2008					Expiration Date of Contingent Right Agreement: 9/30/08		
Pollutant:	NOx ⊠ or S	otingent right to pur Ox (Identify on the RTCs transaction)	one pollutant only)	Total Value of Trar		92.09 <sup>†</sup> or No ttach a separate form if more spaces are needed)	
ar Silverna.	Terms of RTC Tra	nsferred				ttacin a separate form it 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	12/31/2011	All Years After	Coastal	43,219	N/A	Rule No. : Reg XX	
	1 1	1 1				Rule No.:	
	1 1	1 1				Rule No.:	
	/ /	1 1				Rule No.:	
	1 /	1 1				Rule No. :	
* in the transa colum compl I understan not act as caccordance	"From Compliance Y cition, (2) perpetual str n "Single Year Trade" iance year. Use separd that this is only a ror replace the RTC T	ear" Column, fill in the ream transaction, or (3). 'For a perpetual strarate lines for transaction eport to the AQMD oransaction Registrati	multiple year transaction eam transaction, mark the ons of different RTCs, qua f the agreement of a co on. I also understand t	first compliance year RT n of RTCs of same zone, nis column "All Years Af intities or prices. ontingent right to purch that a separate RTC Ti	Cs. The "To Complia, quantity, and price in a ter". For a multiple ye ase, sale, or swap RT ransaction Registratio	ound) column.  nce Year" Column is used to enter (1) single year a single line. For a single year transaction, mark this ear transaction, fill in the expiration date of the last Cs. I further understand that this report does on and associated forms are required in lent are true cooursts.	
best (							
Repc		\ ·		{	-	- //\	
Company	Name & Title: _Ca	antor Fitzgerald Bro	ker	Date and Pl	ace: <u>September 15</u>	, 2008 San Juan Capistrano, CA	
SCAQM	ID Disclaimer: This r	eport will be made av	vailable to the public for	r informational purpose	es only. The SCAQMI	D does not verify the content of this report.	

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days of th	e agreement.	inis iomi is ior re	porting a continger	it right to purchase	e offig. For followa	ard contracts, use Form 2007-46.	
Buyer Name <sup>†</sup>						Account ID#	
Seller Name <sup>†</sup>						Account ID#	
If Intermed	•	Cantor Fitzge	rald			Account ID#	
Contingent Right to: ⊠ Purchase ☐ Sell ☐ Swap  Reason for this report: ⊠ Initial ☐ Extension ☐ Modification					Premium paid for this contract:		
(If not initi	al provide initia	l agreement date	,	items modified)	\$0		
(If not initial, provide initial agreement date): / / Date when this agreement was reached: 09/09/2008					Expiration Date of Contingent Right Agreement: 9/30/08		
→ Attach a	agreement for cor	tingent right to pur	chase				
Pollutant:	NOx ⊠ or S	Ox [] (Identify of	one pollutant only)				
	<del></del>			Total Value of Tran	saction <u>\$1,331,0</u>	03.85 <sup>+</sup> or No	
			T	1	(A	ttach a separate form if more spaces are need	led)
Cycle	From Compliance	To Compliance Year(*)	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits	
1	Year(*) 12/31/2011	All Years After	Coastal	13,035	N/A	Rule No. : Reg XX	
<u>'</u>	1 1	/ /	Coustur	13,000		Rule No. :	
	1 1	1 1				Rule No.:	
	1 1	1 1				Rule No. :	
	1 1	1 1				Rule No.:	
♦ For Infi	inite-Year-Block transa	action, report total value	e of transaction. For each	transaction line enter "N	'A" under the Price (\$/Pe	ound) column.	
transac columr	ction, (2) perpetual str n "Single Year Trade	ream transaction, or (3)  '. For a perpetual stre	multiple year transaction	of RTCs of same zone, is column "All Years Aff	quantity, and price in a	nce Year" Column is used to enter (1) single a single line. For a single year transaction, ma ar transaction, fill in the expiration date of the	ark thi
not act as or	r replace the RTC T	ransaction Registrati	on. I also understand t	hat a separate RTC Tr	ansaction Registratio	Cs. I further understand that this report on and associated forms are required in lents are true, accurate, and complete to the state of the state o	
Reported E	3			Signa			_
Company I	Name & Title: <u>Ca</u>	antor Fitzgerald Bro	, oker	Date and Pl	ace: <u>September 15</u>	, 2008 San Juan Capistrano, CA	
SCAQMI	D Disclaimer: This r	eport will be made av	vailable to the public for	informational purpose	s only. The SCAQMI	D does not verify the content of this repon	t.

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						d to the AQMD within five (5) busines rd contracts, use Form 2007-4B.	
Buyer Na	ıme†			Account ID#			
Seller Name <sup>†</sup>							
If Intermedi	•	Cantor Fitzge	rald			Account ID#	
Contingent Right to: Purchase Sell Swap  Reason for this report: Initial Extension Modification (Circle items modified)  (If not initial, provide initial agreement date): / Date when this agreement was reached: 09/09/2008					Premium paid for this contract: \$0  Expiration Date of Contingent Right Agreement: 9/30/08		
Pollutant:	NOx ⊠ or S	ntingent right to pur Ox		otal Value of Tran		56.39 ] <sup>©</sup> or N 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 <sup>⊕</sup> (\$/Pound)	Origin of Credits	
1	12/31/2011	All Years After	Coastal	12,349	N/A	Rule No.: Reg 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.:	
* In the transac column complia	"From Compliance Y tion, (2) perpetual str i "Single Year Trade" ance year. Use sepa	ear" Column, fill in the eam transaction, or (3) For a perpetual stra arate lines for transactio	multiple year transaction earn transaction, mark thi ns of different RTCs, quar	irst compliance year RT of RTCs of same zone, is column "All Years Af ntities or prices.	Cs. The "To Compliar quantity, and price in a ter". For a multiple yea	nce Year" Column is used to enter (1) single year single line. For a single year transaction, mark this ar transaction, fill in the expiration date of the last	
not act as or	replace the RTC T with Rule 2007 with	ransaction Registration	on. I also understand th	hat a separate RTC Tr	ansaction Registration	Cs. I further understand that this report does n and associated forms are required in ents, are true, accurate, and complete to the	
Reported E	Ву			Signatui	re		
Company Name & Title: _Cantor Fitzgerald Brok			<u>ker</u>	Date and Pl	ace: <u>September 15,</u>	2008 San Juan Capistrano, CA	
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