

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.

Denom M.		<b>g</b>						
Buyer Na	ame				<del></del>	Account ID#		
Seller Na	ame†					Account ID#		
If Interme	ediary:				···			
Intermed	liary Name Na	tsource LLC			·	Account ID# 700066		
Type of c Continger ☐ For		Purchase ☐ Sel	I □ Swap	Premium paid	Premium paid for this contract: \$27,500 for each premium payment			
Date when this agreement was reached:  3/28/06  Expiration Date or Date w (if extended for 2nd premit)						he RTCs are to be delivered : 9/28/06 en 3/28/07)		
→ Attach	forward contract	ct or agreement f	or contingent right	1		<u> </u>		
			entify one pollutant		(4)	ttach a separate form if more spaces are needed)		
Т	erms of RTC Tr	ansferred			T (7)	The separate roll is those 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	6/30/08	6/30/11	Coastal	109,000	\$1.50/lb.	Rule No. : XX		
2	6/30/12	All Years After	Coastal	109,000	\$1.50/lb.	Rule No.: XX		
	1 1	1 1				Rule No. :		
	1 1	11				Rule No. :		
····	11	1 1				Rule No. :		
	1 1	1 1				Rule No. :		
	1 1	1 1				Rule No. :		
	1 1	11				Rule No. :		
	1 1	1 1				Rule No.:		
	<u> </u>	11				Rule No.:		
this col	zuon, (2) perpetuai str lumn "Single Year Tra mpliance year. Use	eam transaction, or (3) ade". For a perpetual :	multiple year transaction of stream transaction, mark t	of RTCs of same zone, q this column "All Years Af	uantity, and price in a sil	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 ve years between these two columns will be		
understand t	that this report does	s not act as or replace	e the RTC Transaction I	Registration. Laise un	derstand that a senar:	ase, sale, or swap RTCs. I further ate RTC Transaction Registration and certify that the statements are true, accurate,		
and complet	te to the best of my	knowledge.	(-)	, = =: =: <del>-</del>	Z ( 22.00.00 )	. ,		
Reported E	3y:David O	ppenheimer(Print na	ame)	Signature: _	ŧ			
						k, NY		
SCAQME	Disclaimer: This r	eport will be made av	vailable to the public for	informational purpose	s only. The SCAQME	does not verify the content of this report.		
				this form to				



Regional CLean Air Incentives Market Trading Credits (RTCs)
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agreenik	on.								
Buyer	Name <sup>†</sup> Energy	Initiative Grou	ıp, L.P		Acco	unt ID# 700105			
						unt ID# 800183			
If Inter	mediary:				Acco	unt ID#			
Contin	f contract: gent Right to:  □ orward Contract	Purchase □S	ell X Swap	Premium paid for this	s contract: \$1	5,157.70 in total			
Date w	hen this agreeme	ent was reached	<b>i: 3/13/06</b>	Expiration Date or Date on or before June 20		RTCs are to be delivered :			
→ Atta	ich forward contr	act or agreeme	nt for contingent righ	it to purchase					
Pollutant: NOxX_ or SOx (Identify one pollutant only)  (Attach a separate form if more spaces are needed									
	iem deleti				(Allaci) a	soparate to the more spaces are needed			
Cycle	From Compliance Year(*)	Populare	Property Co.	(Louise (m.)	Trick (S/Porod)	Origin of Credits			
			Energy Iniative Group WILL DELIVER up to						
2	6/30/2006	SingleYear Trade	Coastal or Inland or mixture	d 41,000 lbs	\$2.20/lb	Rule No.: Reg XX			
			In Return Paramount Petroleum WILL DELIVER an equa volume of up to						
1	12/31/2006	Single Year Tade	Coastal	41,000 lbs	\$2.20/lb	Rule No.: Reg XX			
tran this com regis I unders swap Ri separate	saction, (2) perpetual straction, (2) perpetual straction "Single Year Trappliance year. Use septered.  stand that this is or TCs. I further under e RTC Transaction	ar" Column, fill in the earn transaction, or (3) de". For a perpetual s parate lines for transa nly a report to the erstand that this Registration and	multiple year transaction of R' stream transaction, mark this co- ctions of different RTCs, quan e AQMD of the agreeme report does not act as o	TCs of same zone, quantity, and plumn "All Years After". For a mu- tities or prices. Transactions for ent of a forward contract or replace the RTC Trans required in accordance v	price in a single line Itiple year transaction r all inclusive years or a contingent action Registra	umn is used to enter (1) single year . For a single year transaction, mark n, fill in the expiration date of the last between these two columns will be right to purchase, sale, or tion. I also understand that a vithin five (5) business days of			
Reporte	ed By: _Earl Thom (Print name)	as	Sig	nature:					
Company SCAQME	y Name & Title: <u>Energ</u> Disclaimer: This repo	gy Initiative Group, ort will be made avai	L.P. lable to the public for inform	Date and Place: _April 4. ational purposes only. The S	2006 Housto CAQMD does not	n, TX verify the content of this report.			

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.

Type of contract: Contingent Right to: x Purchase ☐ Sell ☐ Swap ☐ Forward Contract Date when this agreement was reached:  Premium paid for this contract:  1st option Period: \$63,750.00 Extension: \$37,500.00  Expiration Date or Date when the RTCs are to be delived.						
03/01/2006						
> Attach	forward contr	act or agreemer	t for contingent ri	ght to purchase		
ollutant:	NOx X	or SOx (	Identify one pollutar	nt only)	(Atta	ach a separate form if more spaces are neede
Te	rms of RTC Tr	ansferred				
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	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2012	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2013	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2014	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2015	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2016	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2017	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2018	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX
1	12/31/2019	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX
1	12/31/2020	Single Year Trade	Coastal	3,750	\$5.00	
1	12/31/2021	Single Year Trade	Coastal	3,750	\$5.00	
1	12/31/2022	All Years After	Coastal	3,750	\$5.00	Rule No.: XX
1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	12/31/2020 12/31/2021 12/31/2022 From Compliance Y	Single Year Trade Single Year Trade All Years After ear' Column, fill in the	Coastal Coastal Coastal expiration date of the first	3,750 3,750 3,750 compliance year RTCs. of same zone. of	\$5.00 \$5.00 \$5.00 The "To Compliance Ye quantity, and price in a sin	Rule No.: XX  Rule No.: XX  Rule No.: XX  Rule No.: XX  ar' Column is used to enter (1) single ye gle line. For a single year transaction, fill in the expiration date of transaction, fill in the expiration date of the single year transaction date of the single year transaction date of the single year transaction date of the year the second date of the year the year that the year the year that year the year that year the year that ye

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



Form 2007-4

Rev. 12-03

# SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

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

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five (5) business days of the agreement.								
Buyer Na	ame†					Account ID#		
Seller Na	ıme†					Account ID#		
If Intermed	•	Cantor Fitzgera	ld 5633	Account ID# <u>700004</u>				
		Purchase 🗆 Sel	l □ Swap	Premium paid for this contract: \$ 63,750.00				
Date whe 03/01/200	-	ent was reached:		Expiration Day 06/01/2006	ate or Date v	when the RTCs are to be delivered :		
→ Attach forward contract or agreement for contingent right to purchase								
Pollutant: NOx X or SOx (Identify one pollutant only)  (Attach a separate form if more spaces are needs								
'n	erms of RTC Tr	ansferred (	Original/Zones R	Maximum	1117			
Gycle in	From Compliance Year(1)	To Compliance	(Connellor	Omnily (Pomily)(en)	Fiide -:-1@Roin	Origin of Gredits!		
1	12/31/2011	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2012	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2013	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2014	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2015	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2016	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2017	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX		
1	12/31/2018	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2019	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2020	Single Year Trade	Coastal	3,750	\$5.00	Rule No.: XX		
1	12/31/2021	Single Year Trade	Coastal	3,750	\$5.00	Rule No. : XX		
1	12/31/2022	All Years After	Coastal	3,750	\$5.00	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.  I understand that this is only a report to the AQMD of the agreement of a forward contract or a contingent right to purchase, sale, or swap RTCs. 1								
						nderstand that a separate RTC Transaction ys of the actual RTC transfer. I certify that the		
-			e best of my knowledge	-	), 240///000 42, 	, , , , , , , , , , , , , , , , , , , ,		
	_		_					
Reported	By:Jayne	Adams (Print no	ame)	Signati	ure: _			
Common	Nome 9 Title: 0	,	•	<b>D</b> .i	ed Dince:	San Juan Capistrano, CA		
Company	Name & Fitte: C	antor Fitzgerald	rade Support		nd Place:	2/2/A6		

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

Page \_\_\_\_ of \_\_\_ pages



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		Cantor Fitzger		Account ID# <u>700004</u>				
		Purchase 🗆 Se	ll □ Swap		Premium paid for this contract:  1st option Period: \$191,250.00  Extension: \$112,500.00			
Date when this agreement was reached: Expiration Date or Date when the RTCs are to be delivered 12/01/2006								
		-	nt for contingent r Identify one polluta	•	(Att.	ach a separate form if more spaces are needed)		
T	erms of RTC Tr	ansferred	Original Zone	Maximum				
Cycle	From Compliance Year(*)	To Compliance Year(*)	(Coastal or Inland)	Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits		
1	12/31/2011	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
11	12/31/2012	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2013	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2014	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2015	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2016	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2017	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2018	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2019	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2020	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2021	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX		
1	12/31/2022	All Years After	Coastal	11,250	\$5.00	Rule No.: XX		
transacti this colu last com registere understand urther under Registration	ion, (2) perpetual stremn 'Single Year Tra pliance year. Use id. that this is only a rstand that this re and associated for	eam transaction, or (3) in the control of the contr	nultiple year transaction of tream transaction, mark the actions of different RTCs, O of the agreement of s or replace the RTC T	f RTCs of same zone, quis column "All Years After quantities or prices. Tra a forward contract or ransaction Registrate e 2007 within five (5)	uantity, and price in a sing er". For a multiple year to nsactions for all inclusive r a contingent right to tion. I also understan	r Column is used to enter (1) single year le line. For a single year transaction, mark ansaction, fill in the expiration date of the years between these two columns will be purchase, sale, or swap RTCs. I d that a separate RTC Transaction actual RTC transfer. I certify that the		
Panastad B	v Christi	ing Grandetoff		Cianat	·n·			
Reported By:Christine Grandstaff Signature:								

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



Form 2007-4

Rev. 12-03

## SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

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five (5) business days of the agreement.									
Buyer Na	ıme†				A	ccount ID#			
Seller Na	met			Account ID#					
If Interme	ediary:	Cantor Fitzgera	ld 5632	Account ID# 700004					
•		Purchase 🗆 Sel	I □ Swap	Premium paid	Premium paid for this contract: \$ 191,250.00				
Date when 03/01/200	-	nt was reached:		Expiration Da 06/01/2006	te or Date when t	he RTCs are to be delivered :			
→ Attach forward contract or agreement for contingent right to purchase									
Pollutant:	NOx X	or SOx (	dentify one pollutant	only)					
			donary one pondion	····	(Atta	ch a separate form if more spaces are needed)			
	erms of RTC Trr  From Gompliance  Year(1)	insterred To Compliance Year(i)	Original Zone (Constal or 1) (Inland) 02	Maximum Quantity (Pounds/Year)	False (Caroma)	Origin of Credits			
1	12/31/2011	Single Year Trade	Coastal	11,250	\$5.00	Rule No.: XX			
1	12/31/2012	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2013	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2014	Single Year Trade	· · · · · · · · · · · · · · · · · · ·	11,250	\$5.00	Rule No. : XX			
1	12/31/2015	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2016	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2017	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2018	Single Year Trade	<del></del>	11,250	\$5.00	Rule No.: XX			
1	12/31/2019	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2020	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2021	Single Year Trade		11,250	\$5.00	Rule No.: XX			
1	12/31/2022	All Years After		11,250	\$5.00	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 fine. 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.  I understand that this is only a report to the AQMD of the agreement of a forward contract or a contingent right to purchase, sale, or swap RTCs. I further understand that this report does not act as or replace the RTC Transaction Registration. I also understand that a separate RTC Transaction Registration and associated forms are required in accordance with Rule 2007 within five (5) business days of the actual RTC transfer. I certify that the									
			e best of my knowledge		Į.	a squared to			
Reported E	By: <u>Jayne</u>	Adams (Print na	ıme)	Signatui	re: _				
Cama	Nama O Tida. A	,	,	D-4		2 Can luan Canistrana CA			
Company I	Name & Inte: C	antor Fitzgerald	rade Support	Date and	1 Flace: <u>U3/U3/U</u>	San Juan Capistrano, CA			

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

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February 21, 2006

Ms. Susan Tsai RECLAIM Administration Team South Coast Air Quality Management District 21865 E. Copley Drive P.O. Box 4830 Diamond Bar, CA 91765-4182

## **Cancellation of SOx Option**

#### Dear Susan:

Please let this letter serve as notification that the vintage 2008-2015 SOx RTC Option reported by Cantor Fitzgerald on February 17, 2005 (CF trade SOxRTCs-012105), has been replaced with a Forward Settlement for vintages 2010-2015 SOx RTC reported by Cantor Fitzgerald on January 31, 2006 (CF trade SOxRTCs-012406). Attached please find a copy of the 2007-4 submitted for the original Option transaction as well as the relevant Transaction Confirmations and a copy of the 2007-4 and Transaction Confirmations for the Forward Settlement.

As always, thank you for your continuing assistance. If you have any questions, please feel free to contact me at 800-228-2955.

Sincerely,

CANTOR FITZGERAND PROKERAGE, L.I

Broker

Attachments

#### **ENVIRONMENTAL BROKERAGE**

345 California Street, Suite 1260 San Francisco, CA 94104 415.296.9573 415.296.9582 Fax 27801 Golden Ridge Lane San Juan Capistrano, CA 92675 949.240.4602 949.240.4769 Fax 110 East 59th Street, 6th Floor New York, NY 10022 212.829.5460 212.308.3763 Fax

www.emissionstrading.com - 800.228.2955

181 University Avenue Toronto, Ontario M5H 3M7 Canada 416.350.2177 416.350.2985 Fax



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Premium paid for this contract:	t ID#	Accou				ıme <sup>†</sup>	Buyer Na	
Type of contract:  Contingent Right to:   Purchase   Sell   Swap   Premium paid for this contract:  Date when this agreement was reached:   Expiration Date or Date when the RTCs are to be delived on or before August 2, 2006    Attach forward contract or agreement for contingent right to purchase    Pollutant: NOx _ X or SOx _ (Identify one pollutant only)    [Attach a separate form if more space.]    Premium paid for this contract:	Account ID#					me <sup>†</sup>	Seller Na	
Contingent Right to:  Purchase   Sell   Swap   X Forward Contract   Date when this agreement was reached:	t ID# 700117	Accou			tion Markets LLC	ediary: Evolu	If Interme	
On or before August 2, 2006  Attach forward contract or agreement for contingent right to purchase  Pollutant: NOx _X_ or SOx (Identify one pollutant only)  Attach a separate form if more space.    Lerning of RT 12	Premium paid for this contract:				Purchase □Sell	nt Right to: 🛚	Continger	
Attach forward contract or agreement for contingent right to purchase  Pollutant: NOx _X _ or SOx (Identify one pollutant only)  (Attach a separate form if more space.    Learny of R18   Sob Gue	Expiration Date or Date when the RTCs are to be delivered :				nt was reached:	n this agreeme	Date wher	
Pollutant: NOx X or SOx (Identify one pollutant only)  (Attach a separate form if more space.)  (Cycle: Gomphane)  Yeart/V  1 12/31/2008 Single Year Trade Coastal 80,000 \$6.35/lb Reg XX  1 12/31/2009 Single Year Trade Coastal 50,000 \$6.35/lb Reg XX  2 6/30/2009 Single Year Trade Coastal 30,000 \$6.35/lb Reg XX  2 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		2, 2006	efore August	On	2/13/06			
Pollutant: NOx X or SOx (Identify one pollutant only)  (Attach a separate form if more space.)  (Cycle of Compliance Year)  1 12/31/2008 Single Year Trade Coastal 80,000 \$6.35/lb Reg XX  1 12/31/2009 Single Year Trade Coastal 50,000 \$6.35/lb Reg XX  2 6/30/2009 Single Year Trade Coastal 30,000 \$6.35/lb Reg XX  2 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1								
Altach a separate form if more spece.    Cycle   Gompilance   Cycle   Gompilance   Coastal   S0,000   S6.35/lb   Reg XX			hase	contingent right to	act or agreement fo	forward contra	→ Attach	
Terms of RETE 2 moders    Figure   Figu				ify one pollutant only	or SOx (lde	NOxX (	Pollutant:	
Cycle: ps. Compilance   Coastal   So,000   Sc.35/lb   Reg XX	THE PROPERTY OF THE PROPERTY O	men in the common pages of the page of the common of				o Company		
* 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) sit transaction, (2) perpetual stream transaction, or (3) multiple year transaction mark this column "All Years After". For a multiple year transaction date of the first compliance year RTCs. The "To Compliance Year" Column is used to enter (1) sit 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 transact this column "All Years After". For a multiple year transaction, fill in the expiration of last compliance year. Use separate lines for transactions of different RTCs, quantities or prices. Transactions for all inclusive years between these two column swap RTCs. I further understand that this report does not act as or replace the RTC Transaction Registration. I also understa separate RTC Transaction Registration and associated forms are required in accordance with Rule 2007 within five (5) business the actual RTC transfer. I certify that the statements are true, accurate, and complete to the best of my knowledge.  Reported By: _Samantha Unger		Total 1		Charles form			7 (1) (4) (4) (4) (4) (4) (4) (4) (4) (4) (4	
1 12/31/2008 Single Year Trade Coastal 80,000 \$6.35/lb Reg XX 1 12/31/2009 Single Year Trade Coastal 50,000 \$6.35/lb Reg XX 2 6/30/2009 Single Year Trade Coastal 30,000 \$6.35/lb Reg 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) sin 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 is sclumn "Single Year Trade". For a perpetual stream transaction, mark this column "All Years After". For a multiple year transaction, fill in the expiration datast compliance year. Use separate lines for transactions of different RTCs, quantities or prices. Transactions for all inclusive years between these two column registered.  I understand that this is only a report to the AQMD of the agreement of a forward contract or a contingent right to purchase, si swap RTCs. I further understand that this report does not act as or replace the RTC Transaction Registration. I also understate separate RTC Transaction Registration and associated forms are required in accordance with Rule 2007 within five (5) business the actual RTC transfer. I certify that the statements are true, accurate, and complete to the best of my knowledge.  Reported By: _Samantha Unger			with the same	Museum intention	· i. Cinturia	i Complanos e	Cycle	
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Reported By: _Samantha Unger Signature:	r a single year transaction, mark, fill in the expiration date of the ween these two columns will be that to purchase, sale, or laiso understand that a in five (5) business days of	d price in a single line. multiple year transact for all inclusive years l t or a contingent is saction Registrati with Rule 2007 w	zone, quantity, and ears After'. For a ces. Transactions : ward contract the RTC Trans accordance v	e year transaction of RTCs of transaction, mark this column of different RTCs, quantitien D of the agreement of does not act as or re- ciated forms are requ	eam transaction, or (3) mul ide". For a perpetual strea separate lines for transacti hily a report to the AC erstand that this repo Registration and as	tion, (2) perpetual strumm "Single Year Tranpliance year. Use ed.  Ind that this is or s. I further under the transaction.	transaci this colu- last con register I understar swap RTCs separate R	
(Print name)	iougo.	no goston my kin		•				
			<b>∋</b> :	Sig		By: _Samantha	Reported E	
Company Name & Title: Evolution Markets LLC, Director of California Environmental Markets Date and Place: New York, NY 2/16/05	NY 2/16/06	and Place: <u>New Yo</u> l	Markeis Date a	or of California Environ	ıtlon Markets LLC. Dire	ame & Title: Evolu	Company N	
SCAQMD Disclaimer. This report will be made available to the public for informational purposes only. The SCAQMD does not verify the content of this								

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.

or SOxX	•	Initial Premiu Extension Pr Expiration Da 02/11/2007 right to purchase	d for this contractims: \$500,000 remium: \$100,000 ate or Date when	
contract or agreen or SOxX	nent for contingent r	Expiration Da 02/11/2007 right to purchase		
or SOxX	_	- •		
	(Identify one pollu	446-3		
		tant only)		
			(Att	tach a separate form if more spaces are nee
1100 V	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits
011 06/30/2016	Coastal	75,000	\$3.8518	Rule No.: XX
017 All Years Afte	Coastal	75,000	\$3.8518	Rule No. : XX
1 1				Rule No. :
1 1				Rule No. :
11				Rule No. :
1 1				Rule No.:
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	ance Year(*) 011 06/30/2016 017 All Years Afte  / / / / / / / / / / / / / / / / / / /	To Compliance   Year(*)   Inland)	To Compliance Year(*)	To Compliance Year(*)  O11 06/30/2016 Coastal 75,000 \$3.8518  O17 All Years After Coastal 75,000 \$3.8518  O1 / / /

Submit this form to



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

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		une agreement.				
Seller N				<del> · ·</del>		Account ID#
	nediary:				······································	Account ID#
		Cantor Fitzger	ald 012406	···		Account ID# <u>700004</u>
Conting	ward Contract		•	Premium pa \$500,000.00	id for this contrac	et:
Date who 01/24/06	en this agreem	ent was reached	l:	Expiration D 8/11/06	ate or Date when	the RTCs are to be delivered :
→ Attac	h forward cont	ract or agreeme	nt for contingent i	right to nurchase		
Pollutant	t: NOx	or SOx X	(Identify one pollu	igne to parchase		
		or 00x	паетиту оле рони	tant only)	/AH	ach a separate form if more spaces are needed
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2	06/30/2011	06/30/2016	Coastal	75,000	\$3.8518	Delan
2	06/30/2017	All Years After	Coastal	75,000	\$3.8518	Rule No.: XX
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this colu last com registere	mn "Single Year Trac pliance year. Use s d.	de". For a perpetual st eparate lines for transa	ream transaction, mark th actions of different RTCs,	is column "All Years Afte quantities or prices. Tran	er. For a multiple year to esactions for all inclusive	Column is used to enter (1) single year le line. For a single year transaction, mark ansaction, fill in the expiration date of the years between these two columns will be
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eported By	:Christin	ne Grandstaff		Signature	<u>.</u>	
ompany Na	ame & Title: <u>Car</u>	Print nam ntor Fitzgerald Tr	•	Date and	Γ.	San Juan Capistrano, CA
SCAQMD D	Disclaimer: This ren	Ort will be made ami	lable to the author			
		or um oo mada ayan	avia to the public for in	tormational purposes o	only. The SCAQMD do	oes not verify the content of this report.
			Submit thi	e form to		
2007 4	SCAUMD, RE	CLAIM Administ	tration - RTC Tran	sfers, 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.

five (5) but	siness days of ti	he agreement.					
Buyer Na	ame†				/	Account ID#	
Seller Na	ıme†				/	Account ID#	
If Intermed	•	Cantor Fitzgera	ld 012406		Account ID# <u>700004</u>		
		Purchase 🗆 S	ell 🏻 Swap	Premium paid \$500,000.00	Premium paid for this contract: \$500,000.00		
Date whe 01/24/06	n this agreeme	nt was reached:	·	Expiration Da 8/11/06	Expiration Date or Date when the RTCs are to be delivered : 8/11/06		
→ Attach	forward contra	act or agreemen	t for contingent rig	ght to purchase			
			(Identify one pollute		(At	ach a separate form if more spaces are needed)	
T Cycle:	erms of RTC 1 r	nsferred To Compliance (*Year(*)	Original Zone (Coastal or Inland)	Quantity 3(Pounds/Year)	Price ((S/Bound)	Originof Credits	
2	06/30/2011	06/30/2016	Coastal	75,000	\$3.8518	Rule No.: XX	
2	06/30/2017	All Years After	Coastal	75,000	\$3.8518	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. :	
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further und Registration	lerstand that this rand associated f	eport does not act a forms are required i	as or replace the RTC 1 n accordance with Rul ne best of my knowled	Transaction Registra e 2007 within five (5) ge.	tion. I also understa	to purchase, sale, or swap RTCs. I and that a separate RTC Transaction he actual RTC transfer. I certify that the	
Reported	By: <u>Chris</u>	tine Grandstaff (Print na	ame)	Signatu	re:		
Company	Name & Title: C	antor Fitzgerald	•	Date an	d Place: <u>01/31/</u> 0	6 San Juan Capistrano, CA	
SCAQMI	D Disclaimer: This r	eport will be made av	vailable to the public for i	informational purpose	s only. The SCAQML	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

pm 1/31/06



Form 2007-4 Rev. 12-03

## SOUTH COAST AIR QUALITY MANAGEMENT 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.

five (5) but	siness days of t	he agreement.							
Buyer Na	ame†					Account ID#			
Seller Na	ıme†					Account ID#			
If Intermed	•	Cantor Fitzgera	ıld - <i>5203</i>		Account ID# 700004				
~		Purchase □Se	ll □ Swap	Premium pai \$12,500	Premium paid for this contract: \$12,500				
	n this agreeme	nt was reached		Expiration D 12/31/2006	Expiration Date or Date when the RTCs are to be delivered : 12/31/2006				
→ Attach	forward contra	act or agreemen	t for contingent rig	ht to purchase					
Pollutant:	: NOx _X_ 0	or SOx (	ldentify one pollutan	t only)		(Attach a separate form if more spaces are needed)			
· in	erms of RTC Tra	ansferred.	egoresa)						
Cycle	From Compliance Year()	To Compliance Yeart	Original Zone (Coastalfor Inland): 7	Maximum 32 Quantity (Pounds/Year)	Price (\$/Pounc	Origin of Credits			
2	06/30/2007	Single Year Trade	Coastal	25,000	\$2.50	Rule No. : XX			
	1 1	1 1				Rule No. :			
	1 1	_ / /				Rule No. :			
	1 1	1 1				Rule No. :			
	1 1	1 1 :				Rule No. :			
	1 1	1 1				Rule No. :			
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further und Registration	erstand that this re n and associated t	eport does not act a forms are required i	as or replace the RTC T	ransaction Registi 2007 within five (	ration. I also un	right to purchase, sale, or swap RTCs. I derstand that a separate RTC Transaction s of the actual RTC transfer certify that the			
Reported I	Bv: Christ	tine Grandstaff		Signat	ure:				
reported	Dy	(Print n	ame)	Oignat		<del>-112</del>			
Company	Name & Title: <u>C</u>	antor Fitzgerald	Trade Support	Date a	nd Place: <u>0</u>	1/20/2006 San Juan Capistrano, CA			
	SCAQMD, R	RECLAIM Admin		nis form to nsfers, P.O. 483	30, Diamond	Bar, CA 91765-0830			

Page \_\_\_\_ of \_\_\_ pages



Form 2007-4 Rev. 12-03

# SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

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

# Form 2007-4

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five (5) bus	siness days of t	ne agreement.	•			
Buyer Na	me†				P	Account ID#
Seller Na	met					Account ID#
If Interme	diary:					Account ID# 700117
Type of co Contingen	t Right to: □ P	urchase □ Sell	☐ Swap	·	or this contract:	
1/5/06 9/25/06						e RTCs are to be delivered :
→ Attach	forward contrac	t or agreement fo	r contingent right to	o purchase		
			dentify one pollutar		(At	tach a separate form if more spaces are needed)
Terms of RTC Transferred Original Zone Maximum Price						
Cycle	From Compliance Year(*)	To Compliance 'Year(*)	(Coastal or Inland)	Quantity (Pounds/Year)	Price (\$/Pound)	Origin of Credits
1	12/31/2006	Single Year Trade	Coastal	7,000	\$4.00/lb	Rule No.: Reg XX
1	12/31/2007	Single Year Trade	Coastal	3,849	\$4.00/lb	Rule No.: Reg XX
1	12/31/2008	Single Year Trade	Coastal	2,887	\$4.00/lb	Rule No.: Reg XX
1	12/31/2009	Single Year Trade	Coastal	1,925	\$4.00/lb	Rule No.: Reg XX
1	12/31/2010	Single Year Trade	Coastal	962	\$4.00/lb	Rule No.: Reg XX
	1 1	1 1				Rule No.:
	1 1	1 1				Rule No.:
	1 1	1 1				Rule No.:
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transad this co last co registe	ction, (2) perpetual str lumn *Single Year Tr mpliance year. Use red.	ream transaction, or (3) ade". For a perpetual s separate lines for trans	multiple year transaction of tream transaction, mark tractions of different RTCs	or RTUs of same zone, qu this column "All Years Afte , quantities or prices. Tra	er". For a multiple yea nsactions for all inclusi	ear' Column is used to enter (1) single year ingle line. For a single year transaction, mark in transaction, fill in the expiration date of the ive years between these two columns will be
understand associated t	that this rapart does	s not act as or replace n accordance with Ru	the RTC Transaction :	Registration. Laiso und	ierstano (nat a sepai	ase, sale, or swap RTCs. I further rate RTC Transaction Registration and certify that the statements are true, accurate,
Reported 6	By:Samantha	a Unger(Print na	ame)	Signatur	e:	
Company I	Name & Title:	Evolution Markets	LLC, Director of Cali	fornia Environmental	Markets_ Date an	nd Place: _White Plains, NY _//10/04
SCAQM	D Disclaimer: This i	report will be made av	anable to the public for	inomiational purposes	s only. The SCAQM	D does not verify the content of this report.
	SCAQMD, F	RECLAIM Admin		this form to ansfers, 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 pu	rchase RTCs or forward contracts be reported by either the
contracting parties or by the agent, broker, or other intermediary representi	ing 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 Name <sup>†</sup>						Account ID#	
Seller Name <sup>†</sup>					A ID#		
						ACCOUNT ID#	
f Interme	ediary: ion: Namo Evo	lution Markete L	C		,	Account ID# 700117	
ntermear 	ary Name Evo	iution markets L					
Type of co	ontract:			Premium paid f	or this contract:		
Contingent Right to: ☐ Purchase ☐ Sell ☐ Swap							
X Forward Contract			Expiration Date or Date when the RTCs are to be delivered :				
Date when this agreement was reached:			9/25/06				
<ul><li>1/4/06</li><li>→ Attach forward contract or agreement for contingent right to</li></ul>							
→ Attach	forward contract	t or agreement to	r contingent right t	o purcnase			
Pollutant:	NOxX	or SOx (lo	dentify one polluta	nt only)	(A)	ttach a separate form if more spaces are needed)	
	T CRECE	C				Hillari a separate form a more operate are messay	
	Terms of RTC Tra	insierreu	Original Zone	Maximum	Price	Ori-i- of Co-dita	
	From Compliance	To Compliance	(Coastal or Inland)	Quantity (Pounds/Year)	(\$/Pound)	Origin of Credits	
Cycle	Year(*)	Year(*)	mandy	(, omics , oz)			
1	12/31/2006	12/31/2010	Coastal	27,621	\$12.0681/lb	Rule No.: Reg XX	
1	12/31/2011	All Years After	Coastal	27,621	\$12.0681/lb	Rule No.: Reg XX	
	1 1	1 1				Rule No.:	
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undomfond:	that this report does	e not act as or roniaca	the RTC Transaction	Registration I also und	erstano that a sebai	Tate KTC Transaction registration and	
associated f	forms are required i	n accordance with Ru	le 2007 within five (5) l	business days of the ac	tual RTC transfer. I	ceptify that the statements are true, accurate,	
and complet	te to the best of my	knowledge.					
Reported E	By:Samantha	a Unger		Signature Signature	»:		
· ·- <b>F</b> ·		(Print na	me)	<u>-</u>		, lala	
Company I	Name & Title:	Evolution Markets I	LC, Director of Cali	fornia Environmental	Markets_ Date a	nd Place: _White Plains, NY//9/0	

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