



South Coast Air Quality Management District

Form 2007-4B

Regional Clean Air Incentives Market Trading

Credits (RTCs) Report of Forward Contract

(Two-sided Form)

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

Tel: (909) 386-3119 www.aqmd.gov

Rule 2007 (e)(2)(l) requires that all agreements for a forward contract be reported by either the contracting parties, or by the agent, broker, or other intermediary representing the contracting parties. If the buyer and/or seller requests confidentiality, the District will keep the identity of the buyer and/or seller confidential to the extent allowed by law until the contract has been exercised as a transfer of RTCs. This report is required to be submitted to the AQMD within five (5) business days of the agreement. This form is for reporting a forward contract only. For a contingent right to purchase, use Form 2007-4A.

If claiming confidentiality of identity, check the appropriate box and complete the front and reverse sides of this form:
Buyer Seller Both Buyer and Seller

Name of Buyer: New-Indy Ontario, LLC Account I.D. #: 172005
(Do not fill-out this line if claiming confidentiality of Buyer - see reverse side of form)

Name of Seller: AES Alamitos, LLC Account I.D. #: 115394
(Do not fill-out this line if claiming confidentiality of Seller - see reverse side of form)

If Intermediary: Intermediary Name Account I.D. #

Forward Contract to: Purchase Sell Swap
Reason for this report: Initial Extension Modification
Premium paid for this contract: \$0.00
Date when this agreement was reached: 8/17/2013
Date when the RTCs are to be delivered: 12/13/2013

Attach agreement for contingent right to purchase

Pollutant: NOx or SOx (Identify one pollutant only)

Is this an Infinite-Year-Block RTCs transaction? Yes [Total Value of Transaction \$ N/A] No

(Attach a separate form if more spaces are needed)

Table with 7 columns: Cycle, From Compliance Year, To Compliance Year, Original Zone, Maximum Quantity, Price, Origin of Credits. Row 1: 1, 12/31/2013, Single Year Trade, Coastal, 120000, \$0.2700, Rule No.: Reg XX

For infinite-Year-Block transaction, report total value of transaction. For each transaction line enter "N/A" under the Price (\$/Pound) column.

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.

I understand that this is only a report to the AQMD of the agreement of a forward contract for purchase, sale, or swap of 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 exercise of a forward contract.

SCAQMD Disclaimer: This report will be made available to the public for informational purposes only. The SCAQMD does not verify the content of this report.

Handwritten signature and date: PIM 9/24/13