

#### 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) 396-3119 www.agmd.gov

TRule 2007 (e)(2)(I) 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 claim	ing confidentiality	of identity check the	ne appropriate l	ox and complet	e the f	ront and	I reverse sides of this form:			
	) Buyer	O Seller	* * * *	Buyer and Selle						
Name o	of Buyer†	(Do not fill-out this line if clain	ming confidentiality of B	uyer – see reverse side o	f form)		Account I.D. #			
Name of Seller† Account I.D. #										
If Intern Interme	nediary: diary Name			ellet – See levelse side C	i lollil)		Account I.D. #			
Forwar	d Contract to:	O Purchase C	) Sell	<ul><li>Swap</li></ul>		Premiu	um paid for this contract:			
	on for this report:   Initial   Extension   Modification (Circle items modified)			0.00						
	•	ial agreement date)	' <u> </u>	<del></del>		0.00				
Date w	hen this agreem	ent was reached:	10/30/2013				when the RTCs are to be delivered:			
1	_	ontingent right to purc								
		O SOx (Identify on ock RTCs transaction	•	otal Value of Tr	ansact	ion \$ <u>N</u>	/A j O No  (Attach a separate form if more spaces are needed)			
	Terms of RTC Ti	ansferred	Original Zana	Maximum		•				
Cycle	From* Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Quantity (Pounds/year)		rice Pound)	Origin of Credits			
1	12/31/2014	Single Year Trade	Coastal	30000	<b>\$</b> 1.	6666	Rule No.: Reg XX			
1	12/31/2013	Single Year Trade	Coastal	100000	<b>\$</b> 0.	5000	Rule No.: Reg XX			
							Rule No.:			
							Rule No.:			
<ul> <li>For Infinite-Year-Block transaction, report total value of transaction. For each transaction line enter "N/A" under the Price (\$/Pound) column.</li> <li>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.</li> </ul>										
that this	report does not a		C Transaction Re h Rule 2007 withi	egistration. I also in five (5) busine wledge.			e, sale, or swap of RTCs. I further understand a senarate RTC Transaction Registration and ne			
	Signs  A company of the second									
	ex Brokers LLC ny Name				10/30/2013 Houston IX Date and Place					
oombar	iy itallic			Date an	u riace					

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South Coast Air Quality Management District, Form 2007-48 (2009.04)

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

> Tel: (909) 396-3119 www.aqmd.gov

Page 1 of 2

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Mall To:

tRule 2007 (e)(2)(I) 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.

		or a contingent righ						
f claimi	ng confidentiality	of identity, check t	he appropriate t	oox and complet	e the f	ront and	reverse sides of this	form:
C	) Buyer	O Seller	● Both	Buyer and Selle	er			
Name o	f Buyer†	(Do not fill-out this line if cla	iming confidentiality of Be	ıyar — see reverse side o	f form)		Account I.D. #	
Vame o	f Callart	•					Account I.D. #	
f Interm	ediary	(Do not fill-out this line if cla ution Markets In	1	eller – see reverse side o	f form)		Account I.D. #	700117
	d Contract to:		O Sell	O Swap			im paid for this contra	
	n for this report: (		<b>Extension</b>	O Modificatio	n dified)	\$0.00		
<u>,                                     </u>		al agreement date	):			4 * * * *	hen the RTCs are to	he delivered:
Date w	hen this agreeme	nt was reached:	12/20/2013				6/2014	
→ Attac	ch agreement for co	ntingent right to pure	=======================================					
Pollutar	it:	SOx (Identify or	ne pollutant only)					· •
s this a	n Infinite-Year-Blo	ck RTCs transacti	ion?	otal Value of Tr	ansact	ion \$ <u>1</u> 5	50,000.00 ]	O No m if more spaces are neede
	Terms of RTC Tra	nsferreri			,		(Anach a separate for	H II MOTE SPACES ATE TICEAC
Cycle	From * Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)		rice Pound)	Origin of Credits	
2	6/30/2015	All Year After	Coastai	5000	N	N/A	Rule No.: REG XX	
_							Rule No.:	
							Rule No.:	
							Rule No.:	
♦ Fo	r Infinite-Year-Block trans	saction, report total value	of transaction. For e	ach transaction line e	nter "N/A	under the	Price (\$/Pound) column.	
ta	nsaction, (2) perpetual s of this column "Single Y	been transmitten or /21	i multiple year transac Ival stream transactio	n, mark this column	a zone, q Ali Years	HANKIN AND	pliance Year" Column is used d price in a single line. For a r a multiple year transaction,	Silidic todi harisacioni,
that this	report does not act	y a report to the AQM t as or replace the R ed in accordance wi te, and complete to ti	TC Transaction Re th Rule 2007 withi	egistration. I also in five (5) bucines	tract for unders	r purchasitand that, of the ext	e, sale, or swap of RTCs a separate RTC Transac arcise of a forward cont	. I further understand tion Registration and ract. I certify that the
	· %	,	-					· <del>[</del>
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SCAC	MD Disclaimer: This i	report will be made ave	ailable to the public	for informational pu	irposes :	only. The	SCAQMD does not verify	the coment or this report.



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If claiming c	onfidentiality	of identity, check	the appropriate I	box and comple	te the f	ront and	reverse sides of this form:	
O Bu	yer	O Seller	<b>⊙</b> Both	Buyer and Sell	er			
Name of Buy	yer†	(Do not fill-out this line if cla	aiming confidentiality of B	uyer – see reverse side e	of form)	<del>-</del>	Account I.D. #	
Name of Sel	lert	(Do not fill-out this line if cla		<u> </u>			Account I.D. #	
If Intermedia Intermediary	ry: Name_Evo	(Do not fill-out this line if cit plution Markets Ir	AC.	eller – see reverse side (	) (ORTI)		Account I.D. #700117	
Forward Co		<ul><li>Purchase</li></ul>	O Sell	O Swap		Premiu	um paid for this contract:	
	this report:		O Extension	O Modificatio	N dified)	\$0.00	3	
		ial agreement date	):					
Date when	this agreeme	ent was reached:	12/20/2013				when the RTCs are to be delivered: 5/2014	
→ Attach ag	reement for c	ontingent right to pur	chase				<del></del>	
Pollutant: (	NOx or	O SOx (Identify of ock RTCs transact	ne pollutant only)	otal Value of Tr	ansact	ion \$ <u>1</u> 0	0,560,000.00 ONO  (Attach a separate form if more spaces are needed)	
	Terms of RTC Tr	ensferred				φ:		
1	From* Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Meximum Quantity (Pounds/year)		rice (ound)	Origin of Credits	
2 6	/30/2015	All Year After	Inland	320000	N	I/A	Rule No.: REG XX	
							Rule No.:	
							Rule No.:	
							Rule No.:	
<ul> <li>In the "Fr transaction mark this of the last</li> </ul>	om Compliance on, (2) perpetual column "Single" t compliance yea	stream transaction, or (3) Year Trade*. For a perpe r. Use separate lines for	xpiration date of the fill multiple year transaction dual stream transaction transactions of differe	rst compliance year R stion of RTCs of same n, mark this column * ant RTCs, quantities o	TCs. The zone, quality All Years r prices.	e "To Comp uantity, and After". For	pliance Year Column is used to enter (1) single year I price in a single line. For a single year transaction, a multiple year transaction, fill in the expiration date	
that this repo	ert does not ac	t as or replace the R	TC Transaction Re th Rule 2007 withi	egistration. I also n five (5) busines	underst	and that	e, sale, or swap of RTCs. I further understand a separate RTC Transaction Registration and arcise of a forward/Sontract. I certify that the	
	•			Date an	O PIBLE			

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.

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@ South Coast Air Quality Management District, Form 2007-4B (2009.04)

# Form 2007-4B Regional Clean Air Incentives Market Trading Credits (RTCs) Report of Forward Contract (Two-sided Form)

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

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tRule 2007 (e)(2)(I) 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.

	contract only. Fo							
If claimi	ng confidentiality					ront and	reverse sides of this for	om;
C	) Buyer	O Seller	<b>⊙</b> Both	Buyer and Selle	<b>)</b>	<u> </u>		
Name o	f Buyert	(Do not fill-out this line if cla	imles confidentially of S	iver _ coe reverta cida c	f form)		Account I.D. #	
Name o	f Seller†		• -				Account I.D. #	
If Interm		(Do not fill-out this line if cla	iming confidentiality of Se	aller – see reverse side o	f form)			
Interme	diary Name_Evo	lution Markets In	С				Account I.D. #	
		<ul><li>Purchase</li></ul>	O Sell	O Swap		Premiu	ım paid for this contrac	t:
Reasor	for this report:	<ul><li>Initial</li></ul>	O Extension	O Modificatio	n dified)	**		
(If not i	nitial, provide initi	al agreement date	):			\$0.00		<del></del>
Date w	hen this agreeme	nt was reached:	12/20/2013				then the RTCs are to b 3/2014	e delivered:
→ Attac	h agreement for co	entingent right to pur	chase					
Pollutan	it: • NOx or (	SOx (Identify o	ne pollutant only)	otal Value of Tr	ansact	ion \$ <u>1,</u>	750,000.00	ONo
			·	<u> </u>			(Attach a separate form	if more spaces are needed
	Maximum	rice						
Cycle	From * Compliance Year	To * Compliance Year	(Coastal or Inland)	Quantity (Pounds/year)		ound)	Origin of Gredits	
1	12/31/2014	All Year After	Coastal	50000	١	I/A	Rule No.: REG XX	
							Rule No.:	
							Rule No.;	
							Rule No.:	
♦ Fo	Infinite-Year-Block tran	saction, report total value	of transaction. For e	ach transaction line e	nter "N/A	under the	Price (\$/Pound) column.	
tra	nsaction, (2) perpetual :	atronum transportion or is	) multiple year transac itual stream transactio	ntion of KTCs of Same n. mark this column "	e zone, q All Years	uanuw. and	pliance Year" Column is used d price in a single line. For a s r a multiple year transaction, fi	myle lear deligeration,
that this	report does not ac ted forms are requi	4 -4 laaa 4ba <b>8</b>	TC Transaction Re Ith Rule 2007 withi	egistration. I also in five (5) busines	LINGER	rang inat	e, sale, or swap of RTCs. a separate RTC Transact ercise of a forward bontri	Uli Kedistietivii anu
	1140		·					

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If claim	ing confidentiality	of identity, check t	he appropriate l	box and comple	e the f	ront and	reverse sides of this form:		
	) Buyer	O Seller		Buyer and Selle					
Name o	of Buyert	(Do not fill-out this line if cial	ming confidentiality of B	uyer see reverse side (	it form)		Account I.D. #		
Name o	of Seller†					· <u> </u>	Account I.D. #		
If Intern Interme	nediary: diary Name_Evo	(Do not fill-out this line if cla		aller – see reverse side.c	i iomi)		Account I.D. #		
		Purchase	) Sell	O Swap		Premiu	um paid for this contract:		
	n for this report:	_	C Extension	O Modificatio (Circle items mo	N dified)	\$0.00	,		
<u> </u>		ial agreement date)	);		<del>_</del>		hen the RTCs are to be delivered:		
Date w	then this agreeme	ent was reached:	12/20/2013	<u> </u>	_		Men the RTCs are to be delivered.		
→ Atta	ch agreement for o	ontingent right to pure	chase						
	•	SOx (Identify or							
Is this a	n Infinite-Year-Bl	ock RTCs transacti	on? • Yes [T	otal Value of Tr	ansact	ion \$ <u>9</u>	10,000.00 O No  (Attach a separate form if more spaces are needed)		
	Terms of RTC Tr	ansferred				<u> </u>			
Cycle	From * Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)		rice 'ound)	Origin of Credits		
1	12/31/2014	All Year After	Coastal	26000	N	I/A	Rule No.: REG XX		
							Rule No.:		
		1					Rule No.:		
							Rule No.:		
		saction, report total value							
tra ma of (	* 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.								
that this	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. I certify that the statements are true, accurate, and complete to the best of my knowledge.								
i				•			. <del>;</del>		
			: 						

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# Form 2007-4B Regional Clean Air Incentives Market Trading Credits (RTCs) Report of Forward Contract (Two-sided Form)

SCAQMD, RECLAIM Administration - RTC Transfers P.O. Box 4830

Diamond Bar, CA 91765-0830

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Tel: (909) 396-3119 www.aqmd.gov

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		of identity chack t	<del> </del>		e the fi	ront and	reverse sides of this form:	
	-			Buyer and Selle		iviit giilu	HATELOG GREG OF RICE COMM	
	Buyer	O Seller	9 00(11	Duyer and Selle	71			
Name o	f Buyert				72		Account I.D. #	
		(Do not fill-out this line if cla	ming confidentiality of Bi	uyer — see reverse side o	f form)		Account I.D. #	
	f Sellert	(Do not fill-out this line if cla	iming confidentiality of S	aller – see reverse side o	f form)		Account 1.D. #	
if Interm Interme	lediary: diary Name_Evol	ution Markets in	c				Account I.D. #700117	
		Purchase	) Sell	O Swap		Premiu	ım paid for this contract:	
Reason	o for this report: (	<b>⊙</b> Initial (	) Extension	O Modification (Circle items mod	n tilted)			
(If not i	nitial, provide initia	al agreement date)	); <u> </u>	<u> </u>		\$0.00		
Date w	hen this agreeme	nt was reached:	12/20/2013		_		then the RTCs are to be delivered:	
→ Attac	th agreement for co	ntingent right to pure	chase					
	•	SOx (Identify or						
		ock RTCs transacti		otal Value of Tr	ansact	ion \$ 4,	006,205.00 1 O No	
15 II 115 d	ii iiliitiile- i eai-bk	AN INTOS (ISINSBUL)		<u> </u>			(Attach a separate form if more spaces are needed	
	Terms of RTC Tra	nsferred	Original Zone	Maximum	_	. +		
Cycle	From * Compliance Year	To * Compliance Year	(Coastal of Inland)	Quantity (Pounds/year)		rice Pound)	Origin of Credits	
1	12/31/2014	All Year After	Coastal	45074	_	I/A	Rule No.: REG XX	
2	6/30/2015	All Year After	Coastal	62972	1	V/A	Rule No.: REG XX	
1	12/31/2014	All Year After	Inland	6417	N	I/A	Rule No.: REG XX	
							Rule No.:	
◆ Fo	r Infinite-Year-Block tran	saction, report total value	of transaction. For e	ach transaction line er	nter "N/A"	under the	Price (\$/Pound) column.	
tra	nsaction, (2) perpetual s	transmirencedon or (3)	multiple year transac iual stream transactio	ction of RICs of same n. mark this column "	e zone, q All Years	uanno, and	pliance Year" Column is used to enter (1) single year d price in a single line. For a single year transaction, r a multiple year transaction, fill in the expiration date	
lunder	tand that this is only	y a report to the AQM	D of the agreemer	it of a forward con	tract fo	purchas	e, sale, or swap of RTCs. I further understand	
			70 T		IIMAAA	ISN'S INGE.	a separate RTC Transaction Registration and	
stateme	ints are true. accura	te, and complete to ti	ne best of my know	wledge.		-	<u> </u>	
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SCAL	ואט טוגclaimer. This ו	report will be made ave	ailable to the public	for informational pu	rposes (	only. The	SCAQMD does not verify the content of this report.	