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) 396-3119
www.aqmd.gov

†Rule 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 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† **Beta Offshore**   Account I.D. # **166073**
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller† **Tauber Oil Company**   Account I.D. # **700153**
(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	Premium paid for this contract:
Reason for this report: ● Initial ○ Extension ○ Modification *(Circle items modified)* (If not initial, provide initial agreement date): _____	
Date when this agreement was reached: 12/26/2019	Date when the RTCs are to be delivered: 02/14/2020

→ 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 needed more spaces are needed)

Cycle	Terms of RTC Transferred From * Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ($/Pound)	Origin of Credits
1	12/31/2019	Single Year Trade	EITHER	80000	$2.4500	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:

◊ 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. 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.

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.

Earl Thomas	VP	
Reported by *(Print Name)*	**Title**	**Signature**
Tauber Oil Company		12/26/19 Houston, TX
Company Name		**Date and Place**

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.

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) 396-3119
www.aqmd.gov

†Rule 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 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† __NCI Group Inc., DBA, Metal Coaters of CA__   Account I.D. # _____115563_____
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller† __Altair Paramount, LLC__   Account I.D. # _____187165_____
(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	Premium paid for this contract:
Reason for this report: ● Initial ○ Extension ○ Modification (Circle items modified)	
(If not initial, provide initial agreement date): _____	_____
Date when this agreement was reached: 12/10/2019	Date when the RTCs are to be delivered: 01/02/2020

→ 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)

Cycle	Terms of RTC Transferred		Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ($/Pound)	Origin of Credits
	From * Compliance Year	To * Compliance Year				
1	12/31/2020	Single Year Trade	Coastal	19495	$3.7500	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:

⊕ 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. 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.

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.

Luis Pasillas
_____
Reported by *(Print Name)*   **Title**

NCI Group Inc, DBA, Metal Coaters of CA   10/12/19
_____
Company Name   **Date and Place**

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.

© South Coast Air Quality Management District, Form 2007-4B (2014.07)   Page_____ of _____

South Coast Air Quality Management District
Form 2007-4B
Regional Clean Air Incentives Market Trading
Credits (RTCs) Report of Forward Contract
(Two-sided Form)

†Rule 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 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†_____   Account I.D. #_____
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller†_____   Account I.D. #_____
(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	Premium paid for this contract:
Reason for this report: ⊙ Initial ○ Extension ○ Modification *(Circle items modified)* (If not initial, provide initial agreement date):_____	0.00
Date when this agreement was reached: _____12/20/2019_____	Date when the RTCs are to be delivered: 01/02/2020

→ 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)

Terms of RTC Transferred			Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ($/Pound)	Origin of Credits
Cycle	From * Compliance Year	To * Compliance Year				
1	12/31/2021	Single Year Trade	Coastal	15000	$9.5000	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:

⊕ 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. 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.

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.

Mackenzie Romano

Reported by *(Print Name)*	Title	S:
Air Quality Consultants Inc		12/30/2019
Company Name		**Date and Place**

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.

© South Coast Air Quality Management District, Form 2007-4B (2014.07)

Page_____of _____

South Coast Air Quality Management District
Form 2007-4B
Regional Clean Air Incentives Market Trading Credits (RTCs) Report of Forward Contract
(Two-sided Form)

South Coast AQMD

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

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

†Rule 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 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†_____   Account I.D. #_____
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller†_____   Account I.D. #_____
(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	Premium paid for this contract:	
Reason for this report: ⊙ Initial ○ Extension ○ Modification *(Circle items modified)*		
(If not initial, provide initial agreement date):_____	0.00	
Date when this agreement was reached: _____ 12/20/2019	Date when the RTCs are to be delivered: 12/02/2020	

→ 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)

Cycle	Terms of RTC Transferred		Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ($/Pound)	Origin of Credits
	From* Compliance Year	To* Compliance Year				
1	12/31/2019	Single Year Trade	Coastal	50000	$2.8500	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:

⌖ 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. 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.

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.

Mackenzie Romano
_____
Reported by *(Print Name)*   **Title**

Air Quality Consultants Inc   12/30/2019
_____
Company Name   **Date and Place**

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.

© South Coast Air Quality Management District, Form 2007-4B (2014.07)

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

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

†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.

Name of Buyer† Fathom Energy dba Fathom California   Account I.D. # 700179

Name of Seller† Southern California Edison   Account I.D. # 160437

If Intermediary:
Intermediary Name Air Quality Consultants, LLC   Account I.D. #

Contingent Right to: ⦿ Purchase ○ Sell ○ Swap	Premium paid for this contract:
Reason for this report: ⦿ Initial ○ Extension ○ Modification *(Circle items modified)* (If not initial, provide initial agreement date): _____	$0.00
Date when this agreement was reached: 12/23/2019	Expiration Date of Contingent Right Agreement: 07/13/2020

→ 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)

	Terms of RTC Transferred		Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ⊕ ($/Pound)	Origin of Credits
Cycle	From Compliance Year *	To Compliance Year *				
2	6/30/2020	Single Year Trade	Coastal	50000	$2.0000	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:
						Rule No.:
						Rule No.:

⊕ 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. 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.

I understand that this is only a report to the AQMD of the agreement of 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 exercise of the contingent right. I certify that the statements are true, accurate, and complete to the best of my knowledge.

Mackenzie Romano

Reported by *(Print Name)* Title	S
Air Quality Consultants Inc	12/30/2019
Company Name	**Date and Place**

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.

© South Coast Air Quality Management District, Form 2007-4A (2014.07)

South Coast Air Quality Management District
Form 2007-4A
Regional Clean Air Incentives Market Trading
Credits (RTCs) Report of Contingent Right to Purchase RTCs

South Coast
AQMD

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

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

†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.

Name of Buyer† Fathom Energy dba Fathom California   Account I.D. # 700179

Name of Seller† Southern California Edison   Account I.D. # 160437

If Intermediary:
Intermediary Name Air Quality Consultants, LLC   Account I.D. #

Contingent Right to: ⦿ Purchase ◯ Sell ◯ Swap	Premium paid for this contract:
Reason for this report: ⦿ Initial ◯ Extension ◯ Modification *(Circle items modified)*	
(If not initial, provide initial agreement date):	$0.00
Date when this agreement was reached: 12/23/2019	Expiration Date of Contingent Right Agreement: 01/15/2021

→ 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)

	Terms of RTC Transferred		Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ⊕ ($/Pound)	Origin of Credits
Cycle	From Compliance Year *	To Compliance Year *				
1	12/31/2020	Single Year Trade	Coastal	50000	$2.2500	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:
						Rule No.:
						Rule No.:

⊕ 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. 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.

I understand that this is only a report to the AQMD of the agreement of 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 exercise of the contingent right. I certify that the statements are true, accurate, and complete to the best of my knowledge.

Mackenzie Romano

Reported by *(Print Name)*   **Title**

Air Quality Consultants Inc   12/30/2019

Company Name   **Date and Place**

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.

Page____of _____

Form 2007-4B

Regional Clean Air Incentives Market Trading Credits (RTCs) Report of Forward Contract

(Two-sided Form)

South Coast **AQMD**

†Rule 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 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† _____ Account I.D. # _____
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller† _____ Account I.D. # _____
(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	Premium paid for this contract:
Reason for this report: ○ Initial ○ Extension ⦿ Modification *(Circle items modified)*	
(If not initial, provide initial agreement date): 12/23/2019	0.00
Date when this agreement was reached: 01/08/2020	Date when the RTCs are to be delivered: 01/08/2020

→ 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)

Cycle	Terms of RTC Transferred		Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ⊕ ($/Pound)	Origin of Credits
	From * Compliance Year	To * Compliance Year				
1	12/31/2019	Single Year Trade	Coastal	50000	$2.8500	Rule No.: Reg XX
2	6/30/2021	Single Year Trade	Coastal	12319	$9.5000	Rule No.: Reg XX
1	12/31/2021	Single Year Trade	Coastal	2681	$9.5000	Rule No.: Reg XX
						Rule No.:

⊕   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. 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.

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.

Mackenzie Romano

Reported by *(Print Name)*   **Title**

Air Quality Consultants Inc   1/14/20

Company Name   **Date and Place**

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.

© South Coast Air Quality Management District, Form 2007-4B (2014.07)

Page_____ of _____

South Coast Air Quality Management District

Form 2007-4B

Regional Clean Air Incentives Market Trading Credits (RTCs) Report of Forward Contract

(Two-sided Form)

†Rule 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 claiming confidentiality of identity, check the appropriate box and complete the front and reverse sides of this form:

O Buyer   O Seller   O Both Buyer and Seller

Name of Buyer†_____   Account I.D. #_____
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller†_____   Account I.D. #_____
(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: O Purchase   ⦿ Sell   O Swap | Premium paid for this contract:

Reason for this report: ⦿ Initial   O Extension   O Modification
                                                          (Circle items modified)

(If not initial, provide initial agreement date): 12/23/2019   _____

Date when this agreement was reached: | Date when the RTCs are to be delivered:
                   12/23/2019 | 1/10/2021

→ Attach agreement for contingent right to purchase

Pollutant: ⦿ NOx   or   O SOx   (Identify one pollutant only)

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

(Attach a separate form if more spaces are needed)

| Cycle | Terms of RTC Transferred | | Original Zone (Coastal or Inland) | Maximum Quantity (Pounds/year) | Price ($/Pound) | Origin of Credits |
	From* Compliance Year	To* Compliance Year				
1 ▾	12/30/2020	Single yr. Trade ▾	Coastal ▾	11,100	$0.00	Rule No.: Reg XX
						Rule No.:
						Rule No.:
						Rule No.:

⊕ 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. 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.

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 ~~~~~~~~~~~~~~~~~~~~~ that the statements are true, accurate, and complete to the best of my knowledge.

Jaclyn Ferlita   Vice President
Reported by (Print Name)   **Title**

Air Quality Consultants, Inc.   1/07/2020   HB, CA
Company Name   **Date and Place**

Page_____ of _____

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

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

†Rule 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 claiming confidentiality of identity, check the appropriate box and complete the front and reverse sides of this form:

O Buyer   O Seller   O Both Buyer and Seller

Name of Buyer†_____   Account I.D. #_____
(Do not fill-out this line if claiming confidentiality of Buyer – see reverse side of form)

Name of Seller†_____   Account I.D. #_____
(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: O Purchase ● Sell O Swap	Premium paid for this contract:
Reason for this report: ● Initial O Extension O Modification *(Circle items modified)*	
(If not initial, provide initial agreement date): 12/23/2019	
Date when this agreement was reached: 12/23/2019	Date when the RTCs are to be delivered: 7/10/2020

→ Attach agreement for contingent right to purchase

Pollutant: ● NOx or O SOx *(Identify one pollutant only)*

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

(Attach a separate form if more spaces are needed)

Cycle	Terms of RTC Transferred From* Compliance Year	To* Compliance Year	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price ($/Pound)	Origin of Credits
2 ▼	6/30 2020	Single yr. Trad ▼	coastal ▼	22,000	$0.00	Rule No.: Reg xx
						Rule No.:
						Rule No.:
						Rule No.:

⊕ 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. 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.

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) b~~...~~ that the statements are true, accurate, and complete to the best of my knowledge.

Jaclyn Ferlita   Vice President
Reported by *(Print Name)*   **Title**

Air Quality Consultants, Inc.   1/07/2020   HB, CA
Company Name   **Date and Place**

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.