South Coast

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

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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.

						d reverse sides of this form:
C) Buyer	O Seller		Buyer and Selle		
Name of	f Buyer†	/Do not fill out this line if a	claiming confidentiality of B	uvor saa ravarsa sida of	form)	Account I.D. #
Name o	of Seller†					Account I.D. #
f Interm	nediary: diary Name_Air C		claiming confidentiality of Sants Inc.	eller – see reverse side of	form)	Account I.D. #
		Purchase	O Sell	O Swap	Prem	um paid for this contract:
	n for this report: on the formula of		O Extension	O Modification (Circle items modified)	fied)	
-	hen this agreeme		11/12/2019			when the RTCs are to be delivered: before December 31, 2019
	nt:	ock RTCs transac		Total Value of Tra	nsaction \$_1	,050,000.00 \uparrow O No (Attach a separate form if more spaces are
Cycle	From* Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Price (\$/Pound)	Origin of Credits
		1 Gai	Electronic Control of			
,		All Year After	Coastal	20000	\$52.5000	Rule No.: N/A
!	6/30/2021	All Year After	Coastal	20000	\$52.5000	Rule No.: N/A Rule No.:
:		All Year After	Coastal	20000	\$52.5000	
	6/30/2021					Rule No.: Rule No.:
+ For * In t trar ma of t	r Infinite-Year-Block tran the "From Compliance \ nsaction, (2) perpetual s rk this column "Single \ the last compliance year	risaction, report total val /ear" Column, fill in the stream transaction, or (/ear Trade". For a per . Use separate lines to	ue of transaction. For e expiration date of the fi 3) multiple year transa- petual stream transaction for transactions of differ	each transaction line en irst compliance year R ^T ction of RTCs of same on, mark this column "A ent RTCs, quantities or	ter "N/A" under th TCs. The "To Cor zone, quantity, an Il Years After". F prices.	Rule No.: Rule No.: Price (\$/Pound) column. Inpliance Year" Column is used to enter (1) single year do price in a single line. For a single year transaction or a multiple year transaction, fill in the expiration date
* In t tran ma of t I unders that this associal stateme	r Infinite-Year-Block tran the "From Compliance \ nsaction, (2) perpetual s ark this column "Single \ the last compliance year stand that this is only a report does not ac	rear" Column, fill in the stream transaction, or (/ear Trade". For a per trade in accordance to the AQ trade in accordance to the and complete to	expiration date of the fig. 3) multiple year transaction transaction transaction transaction transactions of differ MD of the agreement RTC Transaction Rewith Rule 2007 with the best of my kno	each transaction line en irst compliance year R' ction of RTCs of same on, mark this column "A ent RTCs, quantities or nt of a forward cont egistration. I also u in five (5) business wledge.	ter "N/A" under th TCs. The "To Cor zone, quantity, a Il Years After". F prices.	Rule No.: Rule No.: Rule No.: Price (\$/Pound) column. Inpliance Year" Column is used to enter (1) single year diprice in a single line. For a single year transaction or a multiple year transaction, fill in the expiration date as es, sale, or swap of RTCs. I further understate a separate RTC Transaction Registration a tercise of a forward contract. I certify that the

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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 Selle	er	
Name o	of Buyer†	(Do not fill-out this line if clair	ning confidentiality of B	uver – see reverse side o	of form)	Account I.D. #
Name o	of Seller†	(es ver im est the me in elan	ting somiamity of br	4,01 000 1010100 0100 0		Account I.D. #
	nediary:	(Do not fill-out this line if clair	ming confidentiality of Se	eller – see reverse side o	f form)	7.000dHt 1.5. 11
Interme	ediary Name Evo	olution Markets Inc).			Account I.D. # 700117
			Sell	O Swap		Premium paid for this contract:
Reaso	n for this report:	● Initial	Extension	O Modification		
(If not i	initial, provide initi	ial agreement date):				\$0.00
Date w	when this agreeme	ent was reached:	11/06/2019			Date when the RTCs are to be delivered: 01/21/2020
Pollutar	nt: NOx or (ontingent right to purc O SOx (Identify on ock RTCs transaction	e pollutant only)	otal Value of Tr	ansactio	
	Terms of RTC Tra	ansferred				(Attach a separate form if more spaces are needed
	From * Compliance	To * Compliance	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)	Prio (\$/Po	Origin of Credite
Cycle	Year	Year				
Cycle 1		Single Year Trade	Either	72000	\$2.5	000 Rule No.: REG XX
	Year		Either	72000	\$2.5	000 Rule No.: REG XX Rule No.:
	Year		Either	72000	\$2.50	
1	Year 12/31/2019	Single Year Trade				Rule No.: Rule No.:
† Fo * In tra ma	Year 12/31/2019 or Infinite-Year-Block tranthe "From Compliance Vansaction, (2) perpetual ark this column "Single Vansaction"	Single Year Trade nsaction, report total value of Year' Column, fill in the expectation, or (3) restream transaction, or (3) restrictions.	of transaction. For ea piration date of the fir multiple year transaction al stream transaction	ach transaction line er rst compliance year R tion of RTCs of same n, mark this column "A	nter "N/A" u TCs. The zone, qua	Rule No.:
Fo In tra ma of! I unders that this associa stateme	Year 12/31/2019 Infinite-Year-Block trar the "From Compliance Years and this column "Single Years this column "Single Years the last compliance years the last compliance years are the last compliance years the last compliance years are required forms are required.	Single Year Trade nsaction, report total value of Year" Column, fill in the experience transaction, or (3) or Year Trade". For a perpeture. Use separate lines for the year property of the AQMD as or replace the RTG as or replace the RTG ared in accordance with te, and complete to the	of transaction. For each piration date of the firmultiple year transaction ransactions of different of the agreemen C Transaction Rent Rule 2007 within	ach transaction line er ret compliance year R tion of RTCs of same n, mark this column "A ent RTCs, quantities of t of a forward contigistration. I also n five (5) business	nter "N/A" u TCs. The zone, qua III Years A r prices. tract for p	Rule No.: Rule No.: Rule No.: Rule No.: roccompliance Year" Column is used to enter (1) single year intity, and price in a single line. For a single year transaction.
Fo In tra ma of tra that this associa stateme Chris	Year 12/31/2019 or Infinite-Year-Block tranthe "From Compliance of the "From Compliance of the "From Compliance of the "From Compliance of the last compliance	Single Year Trade nsaction, report total value of Year" Column, fill in the experience transaction, or (3) or Year Trade". For a perpeture. Use separate lines for the year property of the AQMD as or replace the RTG as or replace the RTG ared in accordance with te, and complete to the	of transaction. For each principle year transaction als tream transaction ransactions of different of the agreemen C Transaction Rent Rule 2007 withing best of my known	ach transaction line er ret compliance year R tion of RTCs of same n, mark this column "A ent RTCs, quantities of t of a forward contigistration. I also n five (5) business	nter "N/A" u TCs. The zone, qua III Years A r prices. tract for p	Rule No.: Rule No.: Rule No.: Rule No.: Rule No.: "To Compliance Year" Column is used to enter (1) single year untity, and price in a single line. For a single year transaction, fiter". For a multiple year transaction, fill in the expiration date courchase, sale, or swap of RTC3. I further understanded that a separate RTC/Transaction Registration and
Fo In tra ma of tra In tra mas of tra In tra mas of tra Chris Reporter	Year 12/31/2019 Infinite-Year-Block tranthe "From Compliance Vansaction, (2) perpetual sark this column "Single Vathe last compliance year the last compliance years are the last compliance year	Single Year Trade nsaction, report total value of the saction of	of transaction. For each principle year transaction als tream transaction ransactions of different of the agreemen C Transaction Rent Rule 2007 withing best of my known	ach transaction line er rest compliance year R tion of RTCs of same n, mark this column "A ent RTCs, quantities of t of a forward cont gistration. I also n five (5) husiness yiedge.	nter "N/A" u TCs. The zone, qua Ill Years A r prices. cract for p understal	Rule No.: Rule No.: Rule No.: Rule No.: Rule No.: "To Compliance Year" Column is used to enter (1) single year untity, and price in a single line. For a single year transaction, fiter". For a multiple year transaction, fill in the expiration date courchase, sale, or swap of RTC. I further understanded that a separate RTC/Transaction Registration and

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C) Buyer	O Seller	⊕ Both	Buyer and Seller	r		
lame o	f Buyer†						Account I.D. #
		(Do not fill-out this line if clair	ming confidentiality of B	uyer – see reverse side of	form)		
ame o	f Seller†	(Do not fill-out this line if clair	ming confidentiality of C	aller see reverse side of	form)		Account I.D. #
Interm	nediary:			eller – see reverse side of	ioiiij		
		olution Markets Inc					Account I.D. #700117
orwar	d Contract to:	Purchase) Sell	O Swap		Premiu	um paid for this contract:
Reasor	n for this report:	Initial	Extension	O Modification) ified)		
If not i	nitial, provide ini	tial agreement date)	:			\$0.00	
(If not initial, provide initial agreement date): Date when this agreement was reached: 11/07/2019					Date when the RTCs are to be delivered: 01/15/2020		
Attac	ah agraamant for a	contingent right to pure			_	01710	
ollutan	nt: • NOx or	O SOx (Identify on	ne pollutant only)				Φ.
this a	n Infinite-Year-B	lock RTCs transacti	on? O Yes [7	Total Value of Tra	ansact	tion \$ N	/A]
							(Attach a separate form if more spaces are need
	Terms of RTC T	ransferred	Original Zone	Maximum		. +	
Cycle	Terms of RTC T From* Compliance Year	To * Compliance Year	Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/year)		Price Pound)	Origin of Credits
	From* Compliance	To * Compliance	(Coastal or	Quantity	(\$/F		Origin of Credits Rule No.: REG XX
	From * Compliance Year	To * Compliance Year	(Coastal or Inland)	Quantity (Pounds/year)	(\$/F	Pound)	
	From * Compliance Year	To * Compliance Year	(Coastal or Inland)	Quantity (Pounds/year)	(\$/F	Pound)	Rule No.: REG XX
	From * Compliance Year	To * Compliance Year	(Coastal or Inland)	Quantity (Pounds/year)	(\$/F	Pound)	Rule No.: REG XX Rule No.:
	From* Compliance Year 12/31/2019	To * Compliance Year	(Coastal or Inland) Coastal	Quantity (Pounds/year) 200000	\$2.	6500	Rule No.: REG XX Rule No.: Rule No.: Rule No.:
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,	O Buyer	O Seller	Both	Buyer and Seller			
Vame (of Buyer†					Account I.D. #	
lama	of Callant	(Do not fill-out this line if cla	ming confidentiality of B	uyer – see reverse side of	form)		
	of Seller†	(Do not fill-out this line if cla	ming confidentiality of S	eller – see reverse side of	form)	Account I.D. #	
nterme	nediary: ediary Name Evo	lution Markets, Ir				Account I.D. #700117	
			O Sell	O Swap	Pren	nium paid for this contract:	
Reaso	n for this report:	Initial	O Extension	O Modification			
				(Circle items modif		20	
		al agreement date)	<u>:</u>				
Jate w	when this agreeme	ent was reached:	11/15/2019			when the RTCs are to be delivered: 08/2020	
→ Atta	ch agreement for co	ontingent right to pure	chase				
ollutar	nt: NOx or (SOx (Identify or	e pollutant only)				
s this a	an Infinite-Year-Blo	ock RTCs transacti	on? O Yes [7	otal Value of Tra	nsaction \$	N/A 1	
						(Attach a separate form if more spaces are nee	
Terms of RTC Transferred			Original Zone	Maximum	. •		
Cycle	From * Compliance Year	To * Compliance Year	(Coastal or Inland)	Quantity (Pounds/year)	Price (\$/Pound)	Origin of Credits	
			Inland	55500	\$2.5500	Rule No.: REG XX	
	12/31/2019	Single Year Trade	mana			Nule No REG AX	
	12/31/2019	Single Year Trade	mana			Rule No.:	
	12/31/2019	Single Year Trade	mana				
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