



# SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

## Regional Clean Air Incentives Market Trading Credits (RTCs)

### Report of Contingent Right to Purchase RTCs

#### Form 2007-4A

†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.

Buyer Name† \_\_\_\_\_ Account ID# \_\_\_\_\_

Seller Name† \_\_\_\_\_ Account ID# \_\_\_\_\_

If Intermediary:

Intermediary Name Cantor Fitzgerald Account ID# 700004

Contingent Right to: <input checked="" type="checkbox"/> Purchase <input type="checkbox"/> Sell <input type="checkbox"/> Swap Reason for this report: <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Extension <input type="checkbox"/> Modification (If not initial, provide initial agreement date): / / (Circle items modified)	Premium paid for this contract:  \$0
Date when this agreement was reached: 08/27/2008	Expiration Date of Contingent Right Agreement: N/A

→ 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 \$ \_\_\_\_\_] † or 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	06/30/2008	Single Year Trade	Coastal	39,373	\$3.00	Rule No. : Reg XX
1	12/31/2008	Single Year Trade	Coastal	50,000	\$1.85	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 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.

Reported By \_\_\_\_\_ Signa \_\_\_\_\_

Company Name & Title: Cantor Fitzgerald Broker Date and Place: September 4, 2008 San Juan Capistrano, CA

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.

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

9/11/08  
FAK



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Buyer Name† \_\_\_\_\_ Account ID# \_\_\_\_\_

Seller Name† \_\_\_\_\_ Account ID# \_\_\_\_\_

If Intermediary:

Intermediary Name Cantor Fitzgerald Account ID# 700004

Contingent Right to: <input checked="" type="checkbox"/> Purchase <input type="checkbox"/> Sell <input type="checkbox"/> Swap Reason for this report: <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Extension <input type="checkbox"/> Modification (If not initial, provide initial agreement date): / / (Circle items modified)	Premium paid for this contract:  \$0
Date when this agreement was reached: 09/09/2008	Expiration Date of Contingent Right Agreement: 9/30/08

→ 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 \$4,413,092.09† or 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	12/31/2011	All Years After	Coastal	43,219	N/A	Rule No. : Reg XX
	/ /	/ /				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.

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Repc \_\_\_\_\_  
Company Name & Title: Cantor Fitzgerald Broker Date and Place: September 15, 2008 San Juan Capistrano, CA

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Buyer Name† \_\_\_\_\_ Account ID# \_\_\_\_\_

Seller Name† \_\_\_\_\_ Account ID# \_\_\_\_\_

If Intermediary:

Intermediary Name Cantor Fitzgerald Account ID# 700004

Contingent Right to: <input checked="" type="checkbox"/> Purchase <input type="checkbox"/> Sell <input type="checkbox"/> Swap Reason for this report: <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Extension <input type="checkbox"/> Modification (If not initial, provide initial agreement date): / / Date when this agreement was reached: 09/09/2008	<input type="checkbox"/> Swap <input type="checkbox"/> Modification (Circle items modified)	Premium paid for this contract:  \$0
Expiration Date of Contingent Right Agreement: 9/30/08		

→ 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 \$1,331,003.85<sup>⊕</sup> or No

(Attach a separate form if more spaces are needed)

Terms of RTC Transferred			Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price <sup>⊕</sup> (\$/Pound)	Origin of Credits
Cycle	From Compliance Year(*)	To Compliance Year(*)				
1	12/31/2011	All Years After	Coastal	13,035	N/A	Rule No. : Reg XX
	/ /	/ /				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.

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Reported By \_\_\_\_\_ Sign: \_\_\_\_\_

Company Name & Title: Cantor Fitzgerald Broker Date and Place: September 15, 2008 San Juan Capistrano, CA

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If Intermediary:

Intermediary Name Cantor Fitzgerald Account ID# 700004

Contingent Right to: <input checked="" type="checkbox"/> Purchase <input type="checkbox"/> Sell <input type="checkbox"/> Swap	Premium paid for this contract:  \$0
Reason for this report: <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Extension <input type="checkbox"/> Modification <small>(Circle items modified)</small>	
(If not initial, provide initial agreement date):     /     /	
Date when this agreement was reached: 09/09/2008	Expiration Date of Contingent Right Agreement: 9/30/08

→ 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 \$1,260,956.39] <sup>⊕</sup> or No

*(Attach a separate form if more spaces are needed)*

Terms of RTC Transferred			Original Zone (Coastal or Inland)	Maximum Quantity (Pounds/Year)	Price <sup>⊕</sup> (\$/Pound)	Origin of Credits
Cycle	From Compliance Year(*)	To Compliance Year(*)				
1	12/31/2011	All Years After	Coastal	12,349	N/A	Rule No. : Reg XX
	/ /	/ /				Rule No. :
	/ /	/ /				Rule No. :
	/ /	/ /				Rule No. :
	/ /	/ /				Rule No. :

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