



SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

Regional Clean Air Incentives Market Trading Account Representative Registration and Certification Form Form 2007-1

This form is used to identify the authorized account representative(s) for an RTC holder and/or certify the account status for an RTC trader.

Section I - Account Information

Account Name _____		Account I.D.# _____ (If known)	
Account Street Address		Mailing Address for Transaction Confirmations	
Street # 1 _____		Street # 1, or P.O.Box _____	
Street # 2 _____		Street # 2 _____	
City, State _____	Zip _____	City, State _____	Zip _____
Country (if not in the United States) _____		Country (if not in the United States) _____	

Section II - Designation of Representatives

Name _____ (_____) _____ - _____ Phone # _____	Title _____ (_____) _____ - _____ Fax # _____	Signature _____	Date _____
Name _____ (_____) _____ - _____ Phone # _____	Title _____ (_____) _____ - _____ Fax # _____	Signature _____	Date _____
Name _____ (_____) _____ - _____ Phone # _____	Title _____ (_____) _____ - _____ Fax # _____	Signature _____	Date _____

Section III - Certification Status

I certify that the above named entity is (check boxes below that apply):

- | | | |
|------------------------------|-----------------------------|--|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | |
| <input type="checkbox"/> | <input type="checkbox"/> | a) Domiciled in the State of California ¹ |
| <input type="checkbox"/> | <input type="checkbox"/> | b) A holder of an active RECLAIM Facility Permit |
| <input type="checkbox"/> | <input type="checkbox"/> | c) A holder of a pending RECLAIM Facility permit application |

If any box is checked "Yes", proceed to Section IV and complete. If all boxes are checked "No", complete Section IV and Attachment A - Designation of Agent for Service of Process and Consent to California Jurisdiction Form

¹ Domiciled in the State of California for the purposes of this form shall be deemed: a) for natural individuals - having permanent and primary residence located in the State of California; (b) for a corporation, firm, association, organization, partnership, business trust or other business entity - incorporated or created pursuant to the laws of the State of California, and in good standing according to the Secretary of the State of California, or (c) for any State or local governmental agency, any subdivisions thereof, or any public district - created and existing pursuant to California State, or local governmental laws and regulations.

Section IV - Certification of Owner or Officer

I certify that I am an owner or officer of the account identified and authorize the above parties to act as the company's representatives in the registration of any transactions for RTCs for the Facility identified herein. I am authorized to make this submission on behalf of the persons with an ownership interest for whom this submission is made. I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____ at _____
Date City, State, Country

Name Title Telephone Signature

This form and SCAQMD's use shall not constitute any acceptance of liability on behalf of SCAQMD for any RTC transaction which may be the result of misrepresentation or error by trading partners or their representatives. This form and SCAQMD's use of it shall not be construed, in any way, to create a fiduciary relationship between it and either the seller or buyer of RTCs or with any other party associated with such transactions.

Submit this form and attachments to:

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

ATTACHMENT A

DESIGNATION OF AGENT FOR SERVICE OF PROCESS AND
CONSENT TO CALIFORNIA JURISDICTION

Instructions

FILL IN ALL BLANKS, DATE AND SIGN. IF YOU ARE EXECUTING THIS FORM OUTSIDE OF THE STATE OF CALIFORNIA, DATE AND SIGN IT IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICIAL LICENSED TO CERTIFY SIGNATURES IN THAT LOCATION. ATTACH A CERTIFICATION, CONTRACT OR OTHER DOCUMENTATION PROVIDED BY YOUR DESIGNATED AGENT FOR SERVICE OF PROCESS, WHICH CONFIRMS THAT IT HAS BEEN RETAINED TO ACT AS YOUR AGENT.

1. DECLARANT'S NAME: _____
ADDRESS: _____

COMPANY NAME: _____
SCAQMD ID NO. (If known) _____
DECLARANT'S TITLE: _____
TELEPHONE: _____
FACSIMILE: _____
E-MAIL (optional): _____

2. I make this Declaration in support of the request by me and my company for the acceptance and approval by the South Coast Air Quality Management District ("AQMD") of our pending and/or future application for registration: RECLAIM Trading Account and Representative Registration Form (Form 2007-1), and for AQMD acceptance and registration of pending and/or future trades of RECLAIM TRADING CREDITS ("RTC") on our account.
3. I hereby certify that the following named company is licensed by the State of California to act as an agent for service of process within that State, and has been retained and appointed to act as our agent for service of process within the State of California. Attached hereto is a certification or confirmation by that company that said appointment is in full force and effect:

Name of Agent: _____
California Address: _____

Telephone: _____
Facsimile: _____
E-Mail: _____

4. I further certify that I and my company will keep the aforesaid agency agreement in effect for a period of at least four years from the date of the last prior sale or purchase of RTCs by the undersigned. I further certify that I will appoint a substitute licensed agent for service of process and notify the AQMD of such appointment in writing sent by certified mail, at least 21 days in advance of the termination of any agent for service of process required hereunder.

5. It is hereby agreed and consented that, in the event of any dispute regarding any purchase or sale of RTCs by, or on behalf of, me or my company, the transaction and the resolution of any related dispute, claim or prosecution, shall be governed by the laws of the State of California.
6. It is hereby agreed and consented that the Superior Court of the State of California, County of Los Angeles, shall have jurisdiction over me and my company, and shall be the proper venue to try any matter relating to any sale or purchase of RTCs made by, or on behalf of, me or my company.
7. I am fully authorized to execute this declaration on behalf of my company.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed this _____ day of _____, 20____, at _____ *

(City, State, Country)

(Declarant Signature)

(Declarant's Name Printed)

***IF THE FOREGOING DECLARATION IS SIGNED IN A JURISDICTION OUTSIDE OF THE STATE OF CALIFORNIA, AN ACKNOWLEDGMENT, IN SUBSTANCE THE SAME AS THE FOLLOWING FORM AND LEGAL IN THAT JURISDICTION, MUST ALSO BE COMPLETED BY A NOTARY OR OTHER OFFICIAL LICENSED TO EXECUTE SUCH ACKNOWLEDGMENTS IN THAT JURISDICTION.**

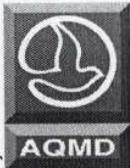
ACKNOWLEDGMENT

STATE OF _____)
COUNTY OF _____)
COUNTRY _____)

On _____ before me, _____, Notary Public or _____, duly licensed in this jurisdiction to execute such acknowledgments, personally appeared _____, personally known to me (or proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that _____ executed the same in _____ authorized capacity(ies), and that by _____ signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS MY HAND AND OFFICIAL SEAL

Print Notary's or Official Name: _____
My Commission Expires: _____



SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
Regional Clean Air Incentives Market Trading Credits (RTCs) Owner Identification
Form 2007-3
 (TO BE USED ONLY AS AN ATTACHMENT TO FORM 2007-2)

Name of Seller/Transferor (as listed in Form 2007-2) _____ Account ID# _____

- (1) For Pooled Transactions/Market – Complete Part A (Table 1 and Table 2) of this form ONLY.
 (2) For Seller as agent, broker, or other intermediary representing the RTC Owner – Complete Part B of this form ONLY.

Part A: Pooled Transactions/Market Participant Identification: Completion Date of Pooled Transactions/Market: _____

Table 1: Identification of RTC Buyers Purchasing RTCs Through Pooled Transactions/Market (Attach separate form if needed)

Buyer Name	Buyer Account ID #	Terms of RTC Transferred			Original Zone (Coastal or Inland)	Quantity (Pounds/year)	Price [◇] (\$/Pound)
		Cycle	From Compliance Year(*)	To Compliance Year(*)			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			

Table 2: Identification of RTC Owners Selling RTCs Through Pooled Transactions/Market (Attach separate form if needed)

RTC Owner Name	RTC Owner Account ID #	Terms of RTC Transferred			Original Zone (Coastal or Inland)	Quantity (Pounds/year)	Price [◇] (\$/Pound)
		Cycle	From Compliance Year(*)	To Compliance Year(*)			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			

Part B: Identifications of RTC Owners when Seller is an Intermediary for the RTC Owner: (Attach separate form if needed)

RTC Owner Name	RTC Owner Account ID #	Terms of RTC Transferred			Original Zone (Coastal or Inland)	Quantity (Pounds/year)	Price [◇] (\$/Pound)
		Cycle	From Compliance Year(*)	To Compliance Year(*)			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			
			/ /	/ /			

◇ For Infinite-Year-Block transaction, report total value of transaction.

* Fill in the expiration dates of the RTCs to be transferred. 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 multiple year transactions of identical RTCs of same zone, quantity, and price in a single line. Fill in the expiration date of the last compliance year. If the transaction is for a single year RTC, mark this column "Single Year Trade". When transferring perpetual stream of RTCs, mark this column "All Years After". Use separate lines for transactions of different RTCs, quantities or prices. Transactions for all inclusive years between these two columns will be registered.

I certify that I am authorized to make this submission on behalf of the Seller/Transferor of the RTCs listed herein and the attached Form 2007-2. I certify that the statements are true, accurate, and complete to the best of my knowledge.

Reported by (Print Name) _____ Title _____

Signature _____

Company Name _____

Date and Place _____

Attach this to Form 2007-2 and submit to

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



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 _____ Account ID# _____

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

→ 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(*)				
	/ /	/ /				Rule No. :
	/ /	/ /				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.

Reported By: _____ Signature: _____
(Print name)

Company Name & Title: _____ 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.

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



SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

Regional Clean Air Incentives Market Trading Credits (RTCs)

Report of Forward Contract

Form 2007-4B (Two-sided Form)

†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†

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

Seller Name† _____ Account ID# _____
(Do not fill-out this line if claiming confidentiality of Seller – see reverse side of form)

If Intermediary:
Intermediary Name _____ Account ID# _____

Forward Contract to: <input type="checkbox"/> Purchase <input type="checkbox"/> Sell <input type="checkbox"/> Swap	Premium paid for this contract:
Reason for this report: <input type="checkbox"/> Initial <input type="checkbox"/> Extension <input type="checkbox"/> Modification (Circle items modified)	
(If not initial, provide initial agreement date): / /	
Date when this agreement was reached:	Date when the RTCs are to be delivered:

→ 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(*)				
	/ /	/ /				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 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.

Reported By: _____ Signature: _____
(Print name)

Company Name & Title: _____ 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.

Submit this form to

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

If confidentiality is claimed on the front of this form, please provide the identity(ies) of the buyer and/or seller, as applicable.

Buyer Name _____ Account ID# _____

Seller Name _____ Account ID# _____

Submit this form to

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