

CBL QUICK START GUIDE

Depositing RGGI CO₂ Allowances for use in the CBL Market

1. SUMMARY

Depositing Compliance Instruments associated with the Regional Greenhouse Gas Initiative Program for use in the CBL Markets is a simple, two-step process:

1. Within RGGI COATS, transfer RGGI Allowances to your CBL Market Registry Account.
2. Within CBL Market > Compliance > Holdings, propose an update of the relevant quantity of Units from Step 1 to your Exchange Product Account. Note: Only Firm Managers are able to complete this step.

Once these steps are completed, CBL Market Operations will review and confirm the update to your Exchange Product Account.

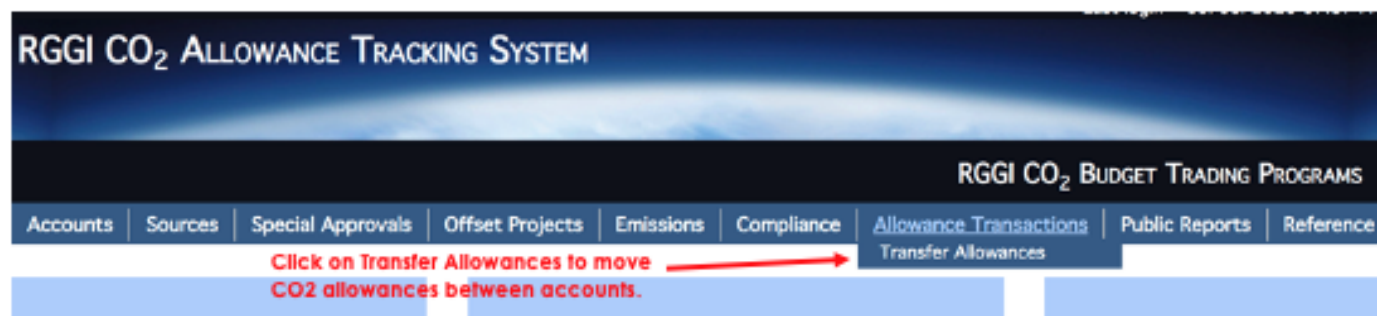
A detailed overview of these steps is outlined in the following sections.

2. TRANSFER OF RGGI ALLOWANCES WITHIN RGGI COATS

To transfer RGGI Allowances to your CBL Market Registry Account, please follow the steps outlined below. The transfer will require an Account Representatives to propose and approve a Transfer Request.

Propose and Approve a Transfer Request

- a. Log in to RGGI COATS
- b. Select Allowance Transactions > Transfer Allowances



3. SELECT THE TRANSFERRING ACCOUNT

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Transfer Allowances: Step 1 - Select Transferring Account

Use filter criteria to find a specific transferring account.

Click the radio button to select a transferring account and view the Allowance Holdings available in that account.

Filter Criteria

Representative Name:

Account Number:

Account Name:

Account Number	Account Name	Authorized Account Representative	State	Allowances can be Transferred
<input checked="" type="radio"/> CT10706	ABC Source Compliance Account	Reilly, Megan	CT	Yes
<input type="radio"/> OH10707	ABC Manufacturing General Account	Reilly, Megan	All States	Yes

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Allowance Holdings

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Frozen	Quantity
2008	Standard	NY	1185174 - 1185183	06/03/2008	No	10
2008	Long Term Contract	NY	1188862 - 1188864	06/03/2008	No	3

Total Allowances Available: 13

View the Allowance Holding grid for details on the allowances held in the account, including the Total Allowances Available in the lower right hand corner.

4. SELECT THE ACQUIRING ACCOUNT: Your CBL Market Registry Account

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Transfer Allowances: Step 2 - Select Acquiring Account

Review that the correct Transferring Account has been selected in the previous step. Click the Back button to go back to Step 1 – Select Transferring Account.

Use filter criteria to find a specific acquiring account.

Filter Criteria ▾

Representative Name

Account Number

Account Name

Allowances to be Transferred From

Account Number	CT10768
Account Name	ABC Source Compliance Account
State	CT

	Account Number	Account Name	Authorized Account Representative	State	Allowances can be Acquired
<input checked="" type="radio"/>	CT10722	New CT Source Compliance Account	Allen, John	CT	Yes

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Click the radio button to select an acquiring account.

5. SELECT ALLOWANCES TO BE TRANSFERRED

- Choose Selection Method: Automatic
- Enter Amount to Transfer
- Select Allocation Year: For Products associated with the RGGI Program, Allocation Year is irrelevant, select any
- Choose Deduction Method: Begin with first acquired
- Select Calculate
- Select Next

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Transfer Allowances: Step 3 - Select Allowances to Transfer

Allowances to be Transferred From
Account Number: CT10788
Account Name: ABC Source Compliance Account
State: CT

Allowances to be Transferred To
Account Number: CT10722
Account Name: New CT Source Compliance Account
State: CT

Choose Selection Method: **Automatic** ← Automatic Selection

Available Allowances

Allocation Year	Allowance Type	Originating State	Serial Range	Allowance(s)	Frozen	Date Acquired
2008	Standard	NY	1185174-1185183	10	No	08/28/2008
2008	Long Term Contract	NY	1188862-1188864	3	No	08/28/2008

Amount to Transfer: 4 ← Enter the quantity of allowances.

Select Allocation Year(s) *
2008 2009 2010 2011 ← Select the Allocation Year of the allowances COATS will select from the Available Allowances grid.

Deduction Method
☐ Begin with last acquired ☒ Begin with first acquired ← Choose deduction method.

Calculate ← After entering the above criteria and clicking Calculate, COATS will automatically select the allowance serial numbers to transfer.

Allowances to be Transferred

Allowance Year	Allowance Type	Serial Range	Originating State	Date Acquired	Allowance(s)
2008	Standard	1185174-1185177	NY	08/28/2008	4

Back Next

6. REVIEW AND APPROVE TRANSACTION

- Enter Transaction Date: present date for transfer
- Price per allowance: leave blank for transfers
- No associated sale or purchase transaction: check this box
- Exchange settlement transaction: leave this blank
- Comment: optional, can be left blank
- Click Generate Session PIN: once the PIN is received in the RGGI user's email, enter it in RGGI COATS
- Enter RGGI user's password
- Click Submit

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Transfer Allowances: Step 4 - Review and Approve Transaction

Allowances to be Transferred From
Account Number CT10788
Account Name ABC Source Compliance Account
State CT
Authorized Account Representative Reilly, Megan

Allowances to be Transferred To
Account Number CT10722
Account Name New CT Source Compliance Account
State CT
Authorized Account Representative Allen, John

Allocation Year	Type	Originating State	Serial Range	Date Acquired	Quantity
2015	Standard	DE	1235558671 - 1235559670	07/14/2016	1000

Total to be Transferred: 1000

The CO₂ allowance transfer must include the date of the completion of the last sale or purchase transaction for the CO₂ allowance, if any, and the sale or purchase price of the CO₂ allowance that is the subject of a sale or purchase transaction. The "last sale or purchase transaction" is the financial transaction associated with the current allowance transfer. Note that the last sale or purchase transaction may occur before the associated transfer is completed in RGGI COATS, and that RGGI COATS will automatically record today's date as the date for the transaction if you do not report a date for an associated sale or purchase transaction.

If the CO₂ allowance transfer is the result of a settlement on a futures exchange, the exchange settlement box below should be checked and the sale or purchase transaction price reported to RGGI COATS should be consistent with the payment instructions to the respective buyer clearing member for the full contract value based upon the expiration day's settlement price in a means and manner prescribed by the clearing service provider.

Click the Submit button to finalize the allowance transfer.

Transaction Date
Price per allowance of associated sale or purchase transaction (\$)
Check here if there is no associated sale or purchase transaction
Check here if an exchange settlement transaction
Comment
Enter Session PIN

07/14/2016

☐

☐

Generate Session PIN

I certify under penalty of law that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining information, I certify that the statements and information are to the best of my knowledge and belief true, accurate, and complete. I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.¹

Enter today's date – "transaction" refers to moving Units into your Market Registry Account, it does not automatically result in a subsequent trade in the CBL Market

Leave blank

Click this box

Leave blank

Password *

Back Submit

7. CONFIRMATION OF ALLOWANCE TRANSACTION: Will reflect the details of the completed Transfer

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Transfer Allowances: Confirmation of Allowance Transaction

Print this page using the Print button for your records.

Your allowance transfer has been completed. Please print this page for your records. Email confirmation regarding this transaction will be forwarded shortly.

Check your email inbox for a system-generated email confirmation of the transaction.

Recorded Date	09/23/2008
Transaction Date	09/23/2008
Transaction ID	rgg11136
Transaction Status	Complete
State	CT
Price per allowance of sale or purchase transaction (\$)	4.68

Allowances Transferred From		Allowances Transferred To	
Account Number	CT10709	Account Number	CT10722
Account Name	ABC Source Compliance Account	Account Name	New CT Source Compliance Account
State	CT	State	CT
Authorized Account Representative	Reilly, Megan	Authorized Account Representative	Allen, John

Allowances Transferred				
Allocation Year	Type	Originating State	Serial Range	Quantity
2008	Standard	NY	1185174-1185177	4
				Total Allowances Transferred: 4

Transaction Status History	
Date	Transaction Status
09/23/2008	Complete

THE TRANSFER IN RGGI COATS IS COMPLETE