NEPOOL GIS User Guide

The **New England Power Pool Generation Information System (NEPOOL GIS)** issues and tracks certificates for all MWh of generation and load produced in the ISO New England control area, as well as imported MWh from adjacent control areas. In addition to the generation, the NEPOOL GIS provides emissions labeling for the New England load serving entities by tracking the emissions attributes for generators in the region. In recent years the NEPOOL GIS has adapted to the various state RPS laws to track combined heat and power, demand response and conservation and load management certificates.

This User Guide outlines the steps for how to:

- Navigate GIS user interface
- Register GIS accounts
- Register GIS projects
- Upload generation data
- Transfer RECs
- Retire RECs
- Manage Forward Certificate Transfers
- Transfer RECs to the Bulletin Board
- Navigate Reports
- Generator/Load Asset Redirect

NEPOOL GIS User Interface Navigation

This section outlines the steps for how to navigate the GIS User Interface and focuses on the following areas:

- Navigate the Menu Bar and Account Dashboard
- Customize Account Dashboard
- Manage Account Logins (for GIS-Specific Contact)
- Update Login Password

A. Navigate Menu Bar and Account Dashboard

GIS Menu Bar

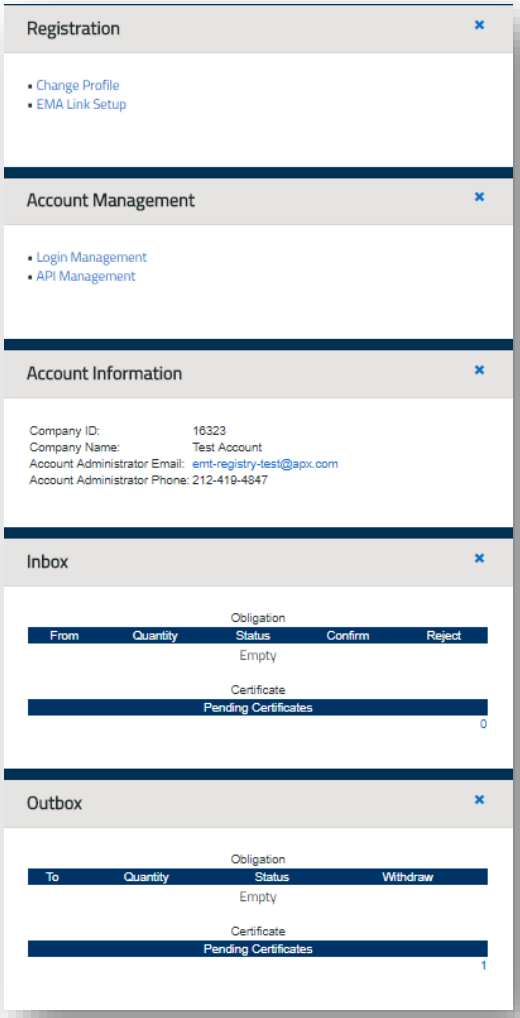
1. In the GIS Account Dashboard, locate the Menu Bar on the top right of the GIS screen.

2. User can access one of the following NEPOOL GIS options from the Menu Bar:
    a. **Home (1) –** Takes User to Account Dashboard screen
    b. **Transfer (2) –** Takes User to the Transfer screen to initiate Certificate transfers
    c. **Reports (3) –** Allows User to select and view specific NEPOOL GIS Reports
        i. Public Reports
        ii. Account Holder Reports
        iii. State Regulator Reports
    d. **Registry Help (4) –** Displays GIS Administrator contact information
    e. **My Options (5) –** Allows User to select from other GIS options
        i. Customize Dashboard
        ii. Change Password
        iii. Logout

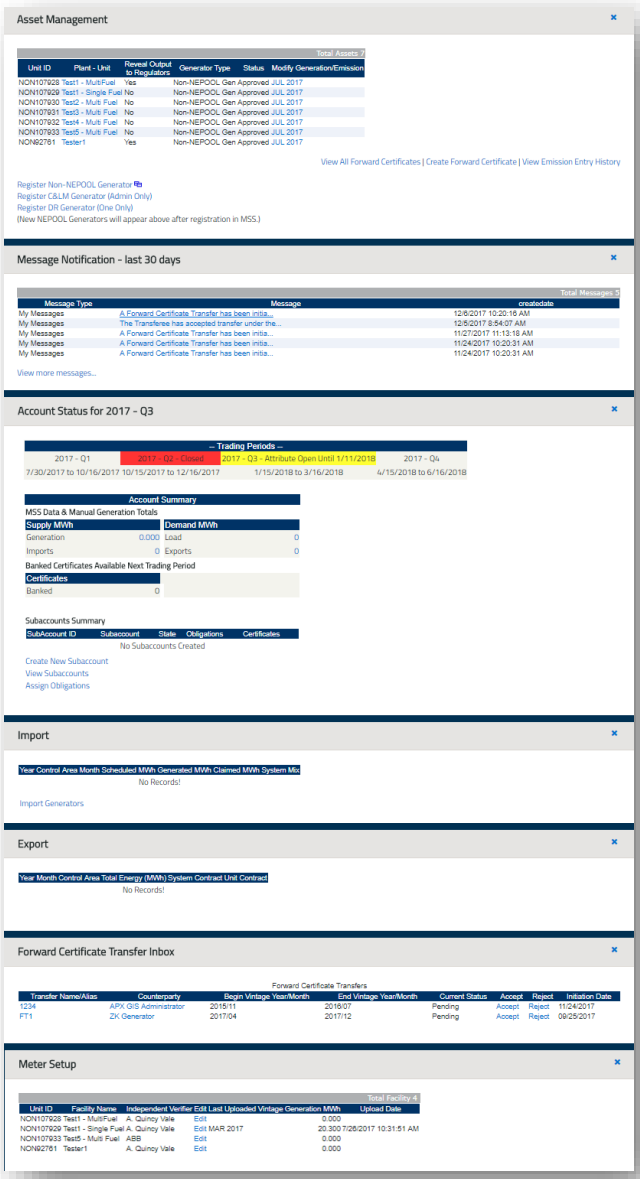
GIS Account Dashboard

In the GIS Account Dashboard, User can access various modules to access specific account management tools and reports. The modules displayed under the Account Dashboard are based on account type.

1. The left column displays the following modules:
    a. Registration
    b. Account Management
    c. Account Information
    d. Inbox
    e. Outbox



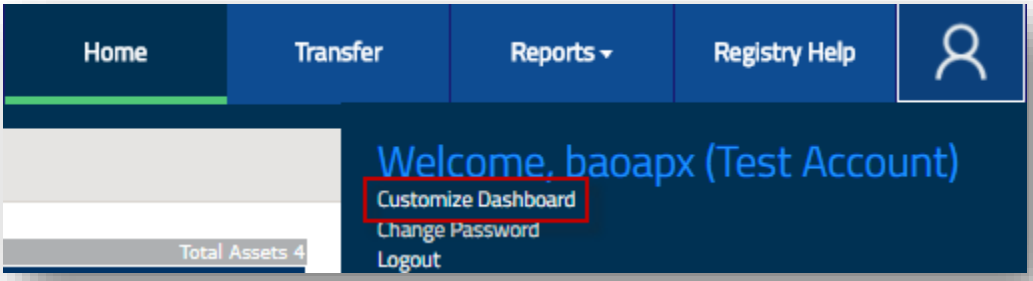
2. The right column displays the following modules:
    a. Import
    b. Account Status
    c. Export
    d. Message Notification
    e. Asset Management
    f. My Attached Document
    g. Forward Certificate Inbox
    h. Meter Setup



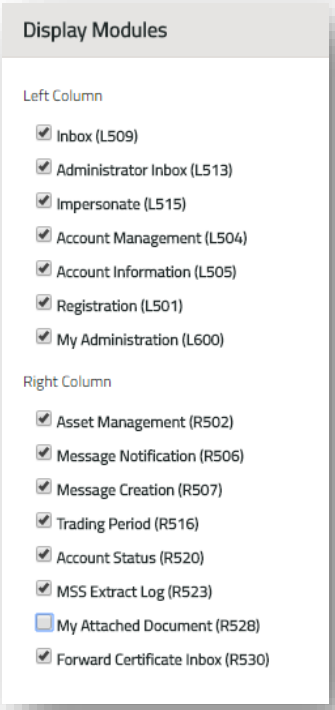
B. Customize Account Dashboard

The NEPOOL GIS Account Dashboard can be customized to move, add, or remove modules from a User's Account Dashboard.

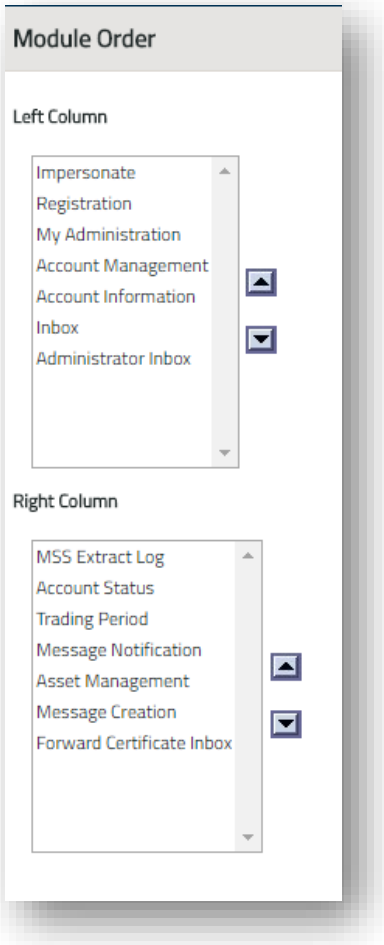
1. In the Account Dashboard, click on the 'My Options' icon on the menu bar at the top right and click on the Customize Dashboard link.



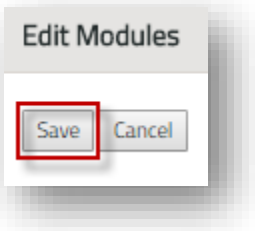
2. In the Display Modules section of the screen, check or uncheck the modules that are displayed on the User's Account Dashboard.



3. In the Module Order section of the screen, User can reorder how modules are displayed in the Account Dashboard by clicking the arrows to reorder the modules.



4. Click the 'Save' button to save the changes to the Account Dashboard.



Note: Modules can only be reordered within the columns and cannot be moved from left to right or right to left.

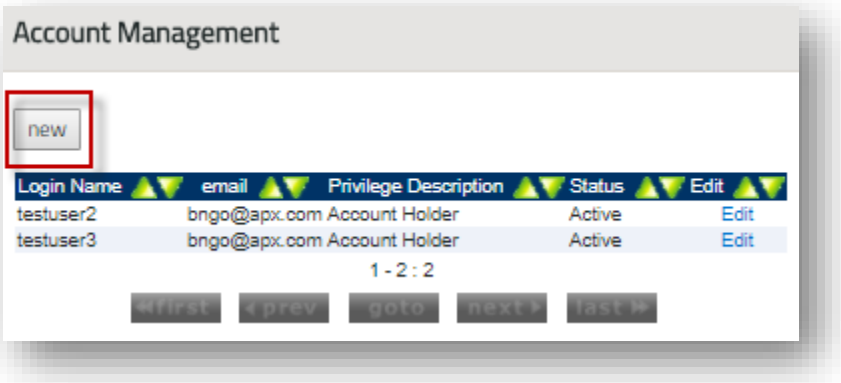
C. Manage Account Logins

The GIS-Specific Contact (Account Manager) for a GIS account manages Logins for all users in their account. The GIS-Specific Contact can add new logins, edit existing logins, and deactivate logins from their account.

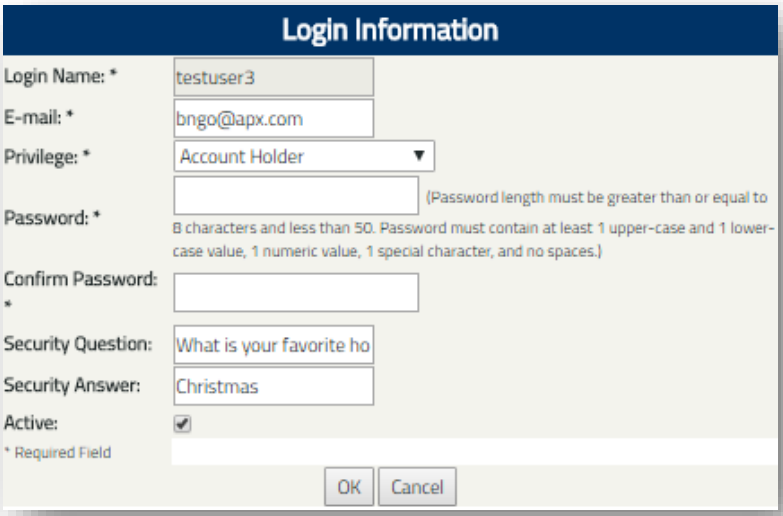
Add New Logins

1. In the Account Dashboard, go to the **Account Management** module and click the 'Login Management' hyperlink as shown below:

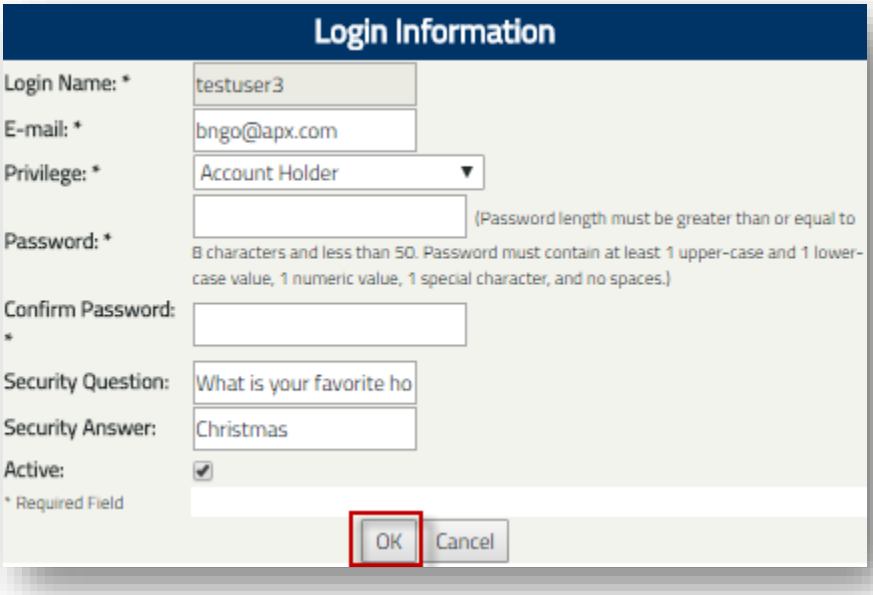
2. In the Account Management screen, click the 'new' button.



3. In the Login Information screen, enter data into the fields on the form and designate login privilege for additional users.
    a. Privilege Description
    b. Account Holder – User is permitted to register projects and manage certificates.
    c. Account Holder - View Only – User is only permitted to view account reports.



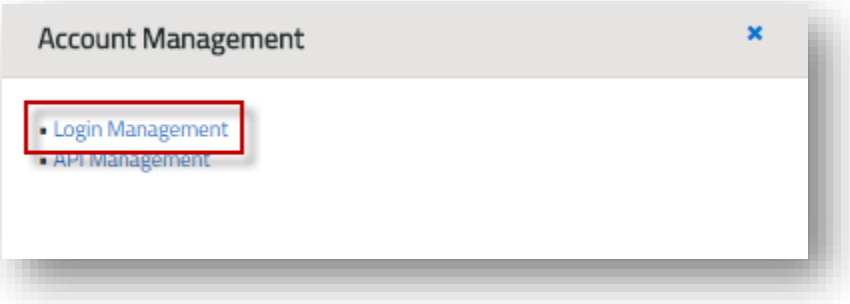
4. Click the OK button to create the new login.



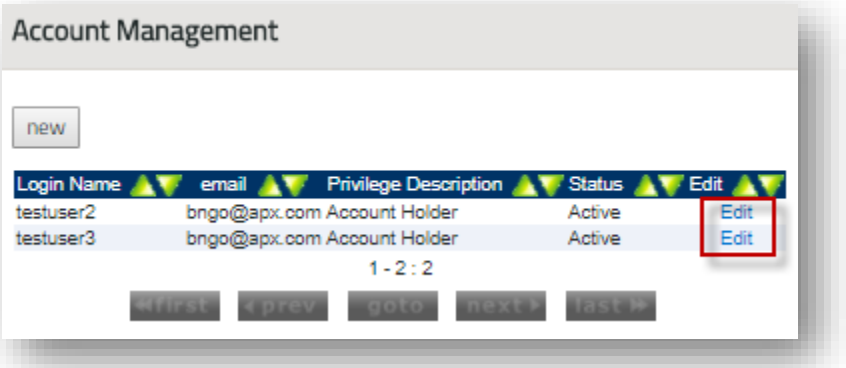
Note: New users will be prompted to change the password after initial login after logging in with the password provided by the GIS-Specific Contact.

Deactivate Login

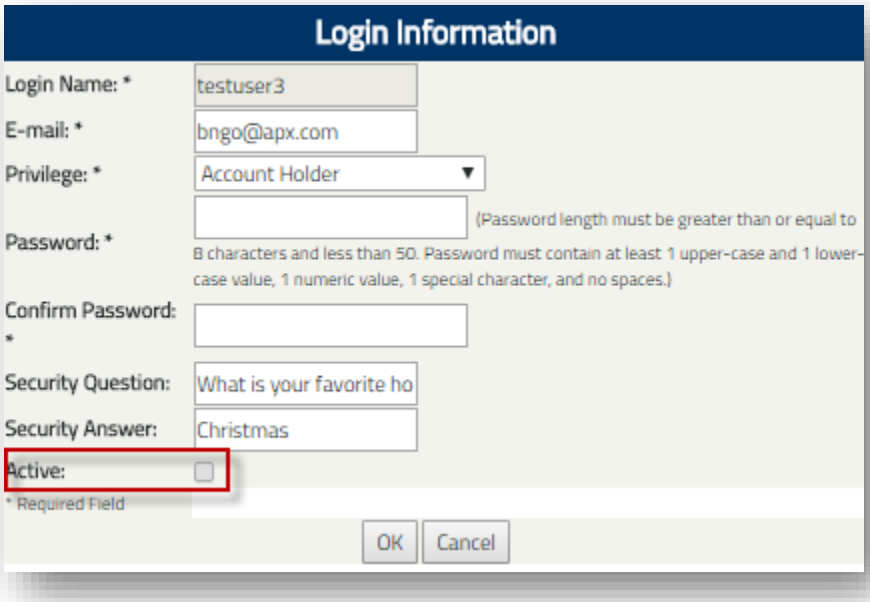
1. In the Account Dashboard, go to the **Account Management** module and clicks the 'Login Management' hyperlink as shown below:



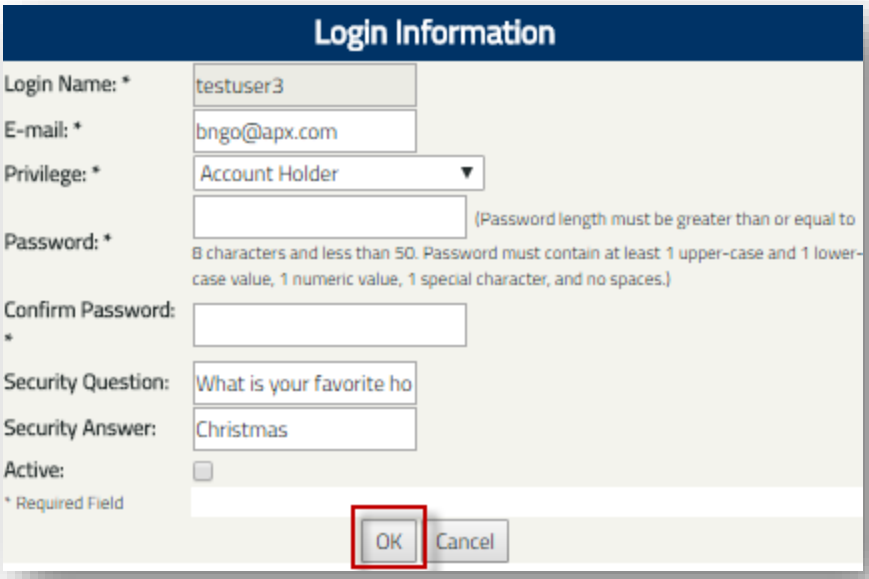
2. In the Login Management, click the 'Edit' hyperlink for a login.



3. In the Login Information screen, uncheck the 'Active' checkbox.



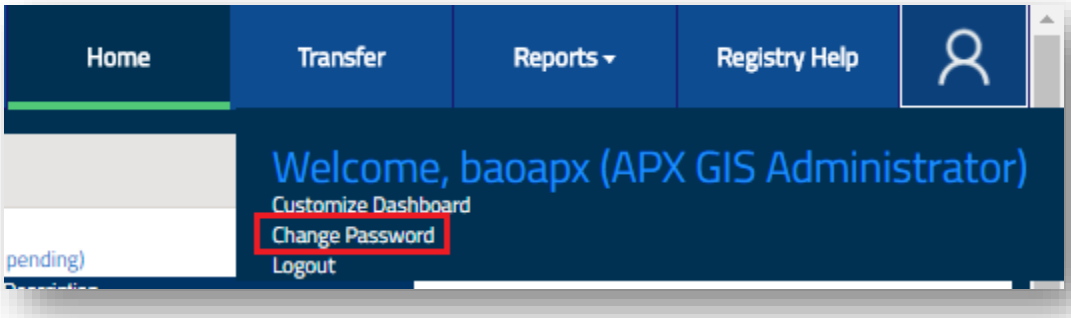
4. Click the ‘OK’ button to deactivate login.



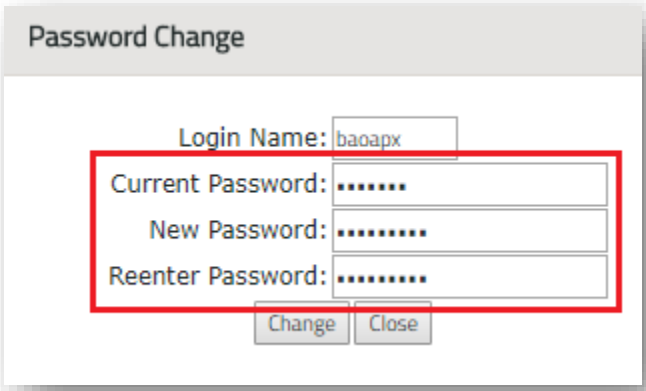
D. Change Password

The User can change their login password in GIS Account Dashboard.

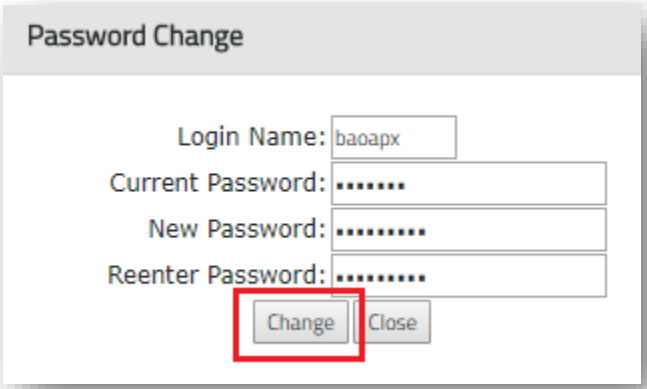
1. In the Account Dashboard, click on the 'My Options' icon on the menu bar at the top right and click on the 'Change Password' link.



2. In the Password Change screen, enter password in all the fields on the Password Change screen.



3. Click the 'Change' button to change the password for the Login Name.


Password Change
Login Name:
baoapx
Current Password:
New Password:
Reenter Password:
Change
Close

NEPOOL GIS Account Registration

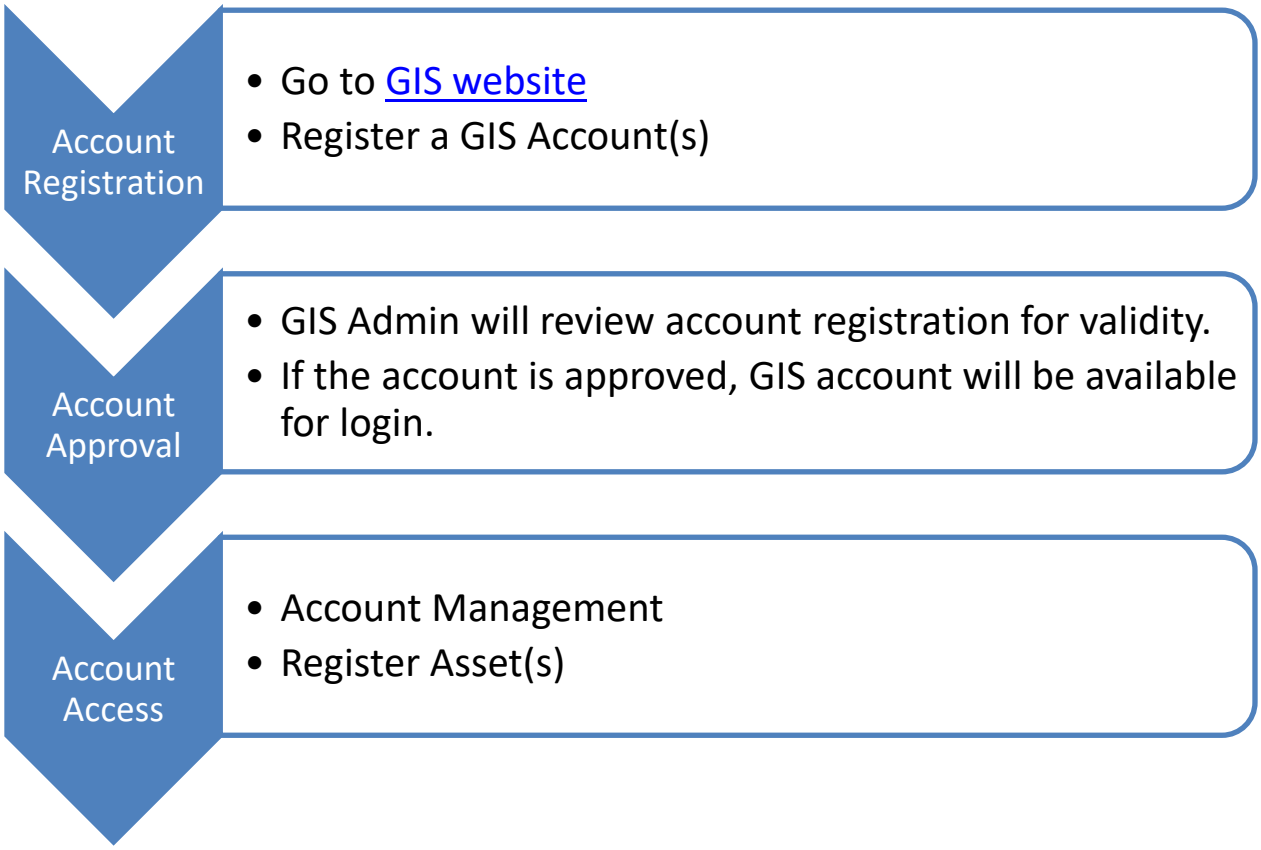
Account Registration is the first step to participate in NEPOOL GIS (GIS). Users must have an approved GIS account before registering assets and managing certificates in GIS. The Account Registration process for both NEPOOL Members and Non-NEPOOL Members is the same; however, the GIS requires some additional information for NEPOOL Members in the account registration process.

This section outlines the steps for how to register a new GIS Account and focuses on the following areas:

- Account Registration Process Overview
- Account Types
- Register New Account
- Activate Account

A. Account Registration Process Overview

Below is the Account Registration process overview:



B. Account Types

Below are the different GIS Account Types and functionality available for each account type:

- **Load Serving Entity (LSE)**
  - Ability to manage load assets and corresponding load obligation certificates
  - Can register new and manage existing generating assets
  - Can send and receive certificates
  - Can retire certificates in retail sub-account (RPS compliance purposes)
  - Can execute reserved transactions (general purpose retirements)
- **Generator**
  - Ability to register new and manage existing generating assets
  - Can send and receive certificates
  - Can execute reserved transactions (general purpose retirements)
  - Residential homeowners and solar companies often apply for this account however, it is not limited to those individuals or groups.
- **Trader**
  - Ability to register new and manage existing generating assets
  - Can execute reserved transactions (general purpose retirements)
- **Independent Verifer**
  - Ability to upload generation data for GIS projects

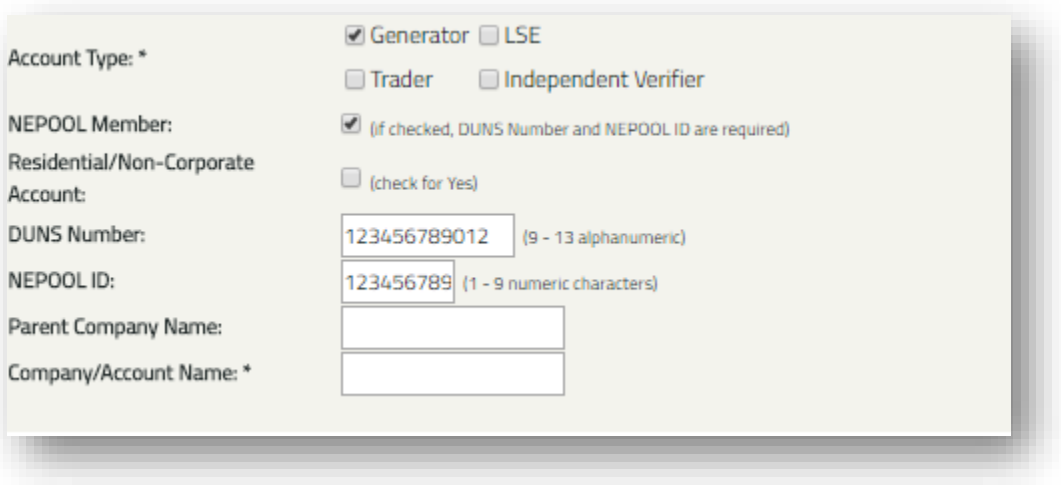
C. Register New Account

NEPOOL Member

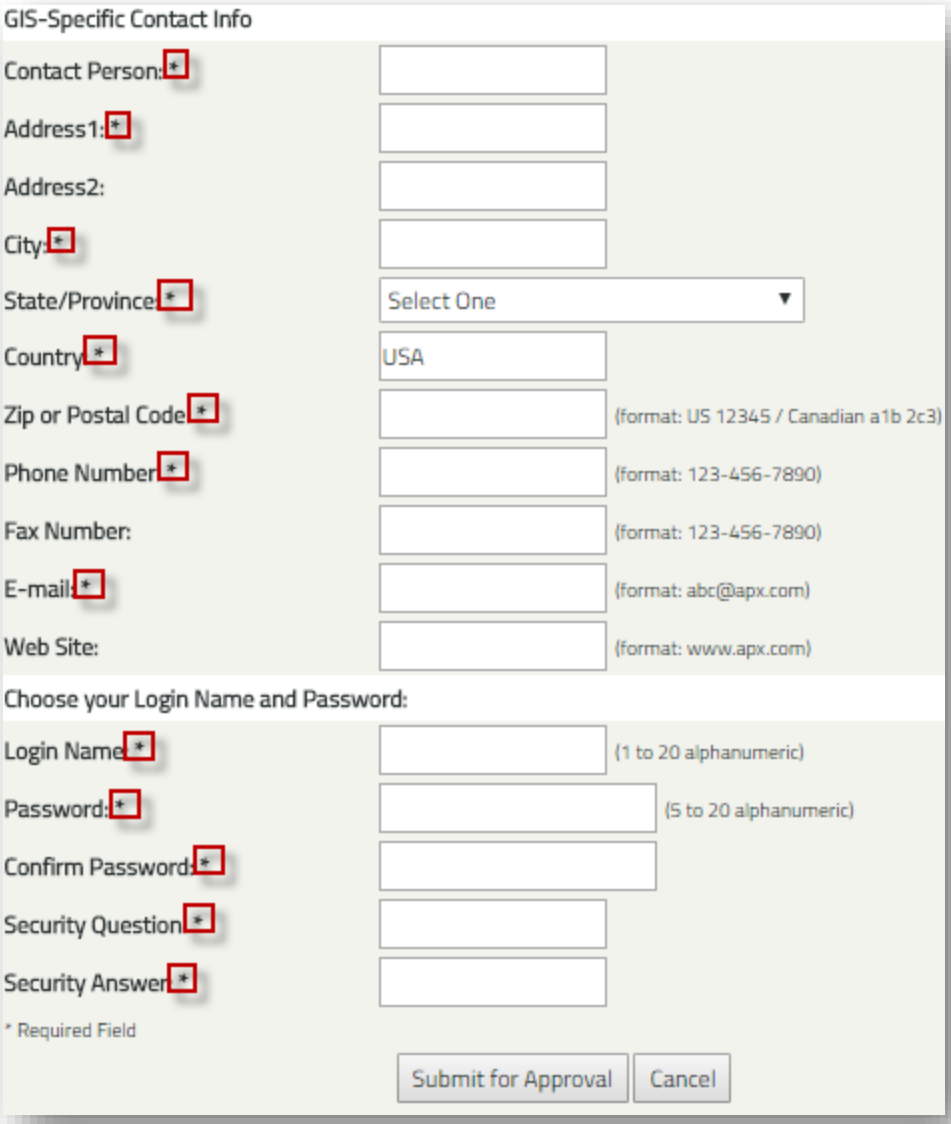
To Register a new NEPOOL Member GIS account, User takes the following steps:

1. Go to http://www.nepoolgis.com/
2. Under the Registry Login box, click the 'Register' button as shown below:

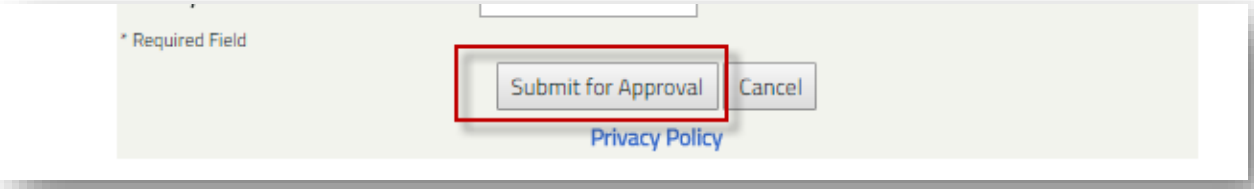
3. In the New Account Application page, enter data into all fields denoted with an asterisk.
    a. **Account Type:** Select the account type checkbox(es) (See Section B for more information)
    b. **NEPOOL Member:** Select checkbox.
    c. **DUNS Number:** Enter DUNS number (9-13 alphanumeric).
    d. **NEPOOL ID:** Enter NEPOOL ID.
    e. **Parent Company Name and Company/Account Name:** Data entry for these fields are optional for NEPOOL Members.



4. In the GIS-Specific Contact Info section, enter data into all fields denoted with an asterisk.



5. Click the 'Submit for Approval' to register the new account.



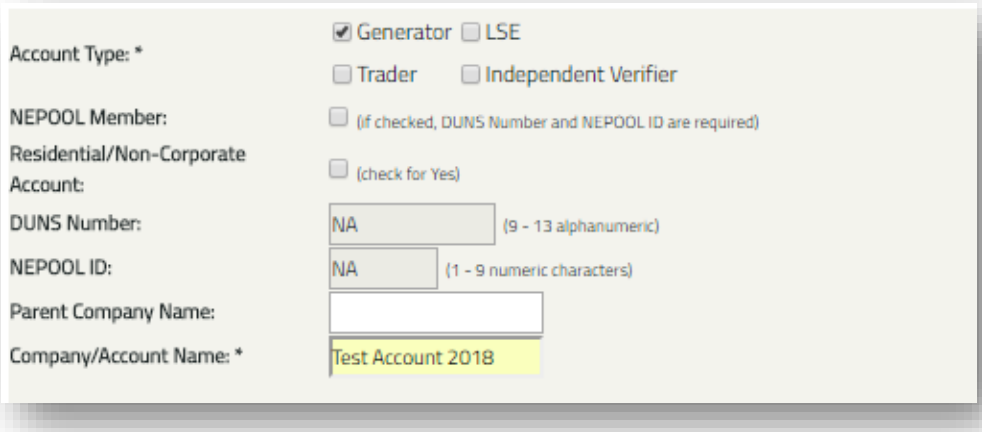
Note: An account activation email will be sent to the email registered under the GIS-Specific Contact Info section to Activate account. Please see Section D for instructions on how to activate a new GIS account.

Non-NEPOOL Member

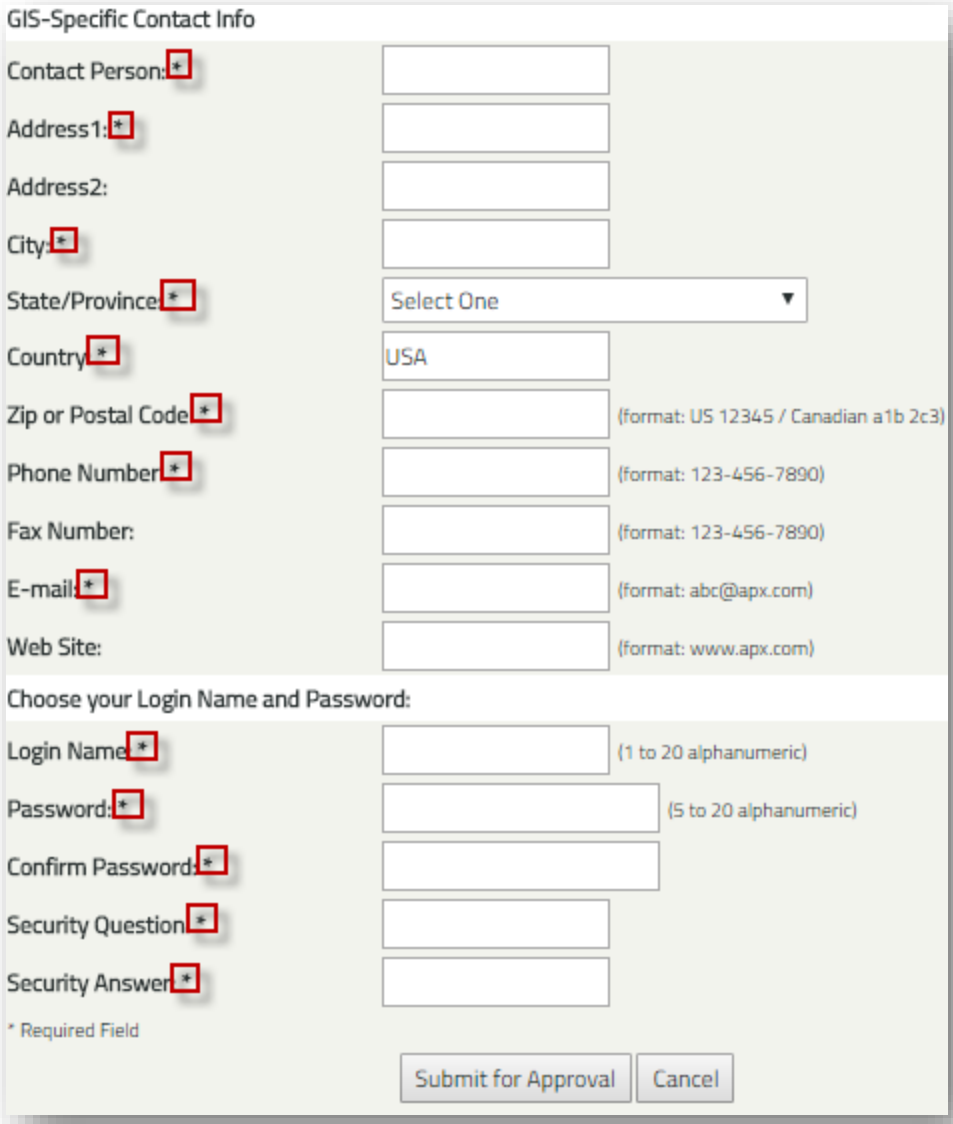
To Register a new Non-NEPOOL GIS account, User takes the following steps:

1. Go to http://www.nepoolgis.com/
2. Under the Registry Login box, click the 'Register' button as shown below:

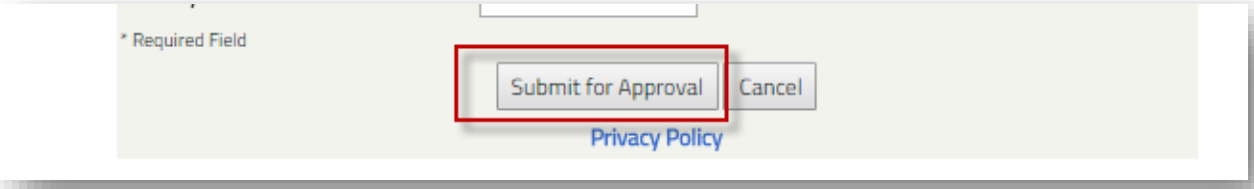
3. In the New Account Application page, enter data into all fields denoted with an asterisk.
   a. **Account Type:** Select the account type checkbox(es). (See Section B for more information)
   b. **Parent Company Name:** Data entry in this field is optional.
   c. **Company/Account Name:** Enter the Company/Account Name



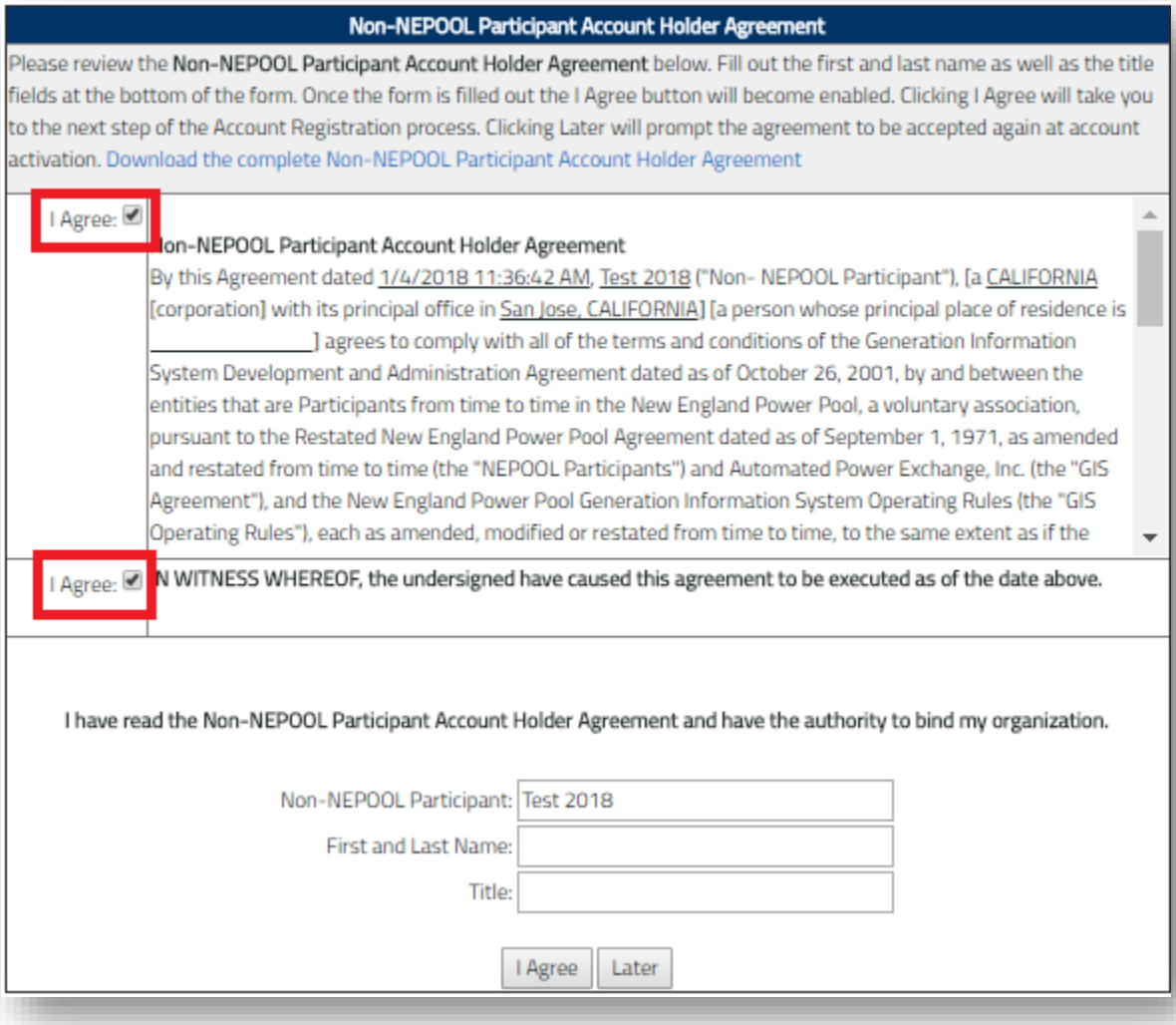
4. In the GIS-Specific Contact Info section, enter data into all fields denoted with an asterisk.



5. Click the 'Submit for Approval' button to register the new account.



6. Review Non-NEPOOL Participant Account Holder Agreement and check the 'I Agree' checkboxes.



Non-NEPOOL Participant Account Holder Agreement

Please review the **Non-NEPOOL Participant Account Holder Agreement** below. Fill out the first and last name as well as the title fields at the bottom of the form. Once the form is filled out the I Agree button will become enabled. Clicking I Agree will take you to the next step of the Account Registration process. Clicking Later will prompt the agreement to be accepted again at account activation. Download the complete Non-NEPOOL Participant Account Holder Agreement

I Agree: ☑

Non-NEPOOL Participant Account Holder Agreement

By this Agreement dated 1/4/2018 11:36:42 AM, Test 2018 ("Non- NEPOOL Participant"), [a CALIFORNIA [corporation] with its principal office in San Jose, CALIFORNIA] [a person whose principal place of residence is _____] agrees to comply with all of the terms and conditions of the Generation Information System Development and Administration Agreement dated as of October 26, 2001, by and between the entities that are Participants from time to time in the New England Power Pool, a voluntary association, pursuant to the Restated New England Power Pool Agreement dated as of September 1, 1971, as amended and restated from time to time (the "NEPOOL Participants") and Automated Power Exchange, Inc. (the "GIS Agreement"), and the New England Power Pool Generation Information System Operating Rules (the "GIS Operating Rules"), each as amended, modified or restated from time to time, to the same extent as if the

I Agree: ☑ **N WITNESS WHEREOF, the undersigned have caused this agreement to be executed as of the date above.**

I have read the Non-NEPOOL Participant Account Holder Agreement and have the authority to bind my organization.

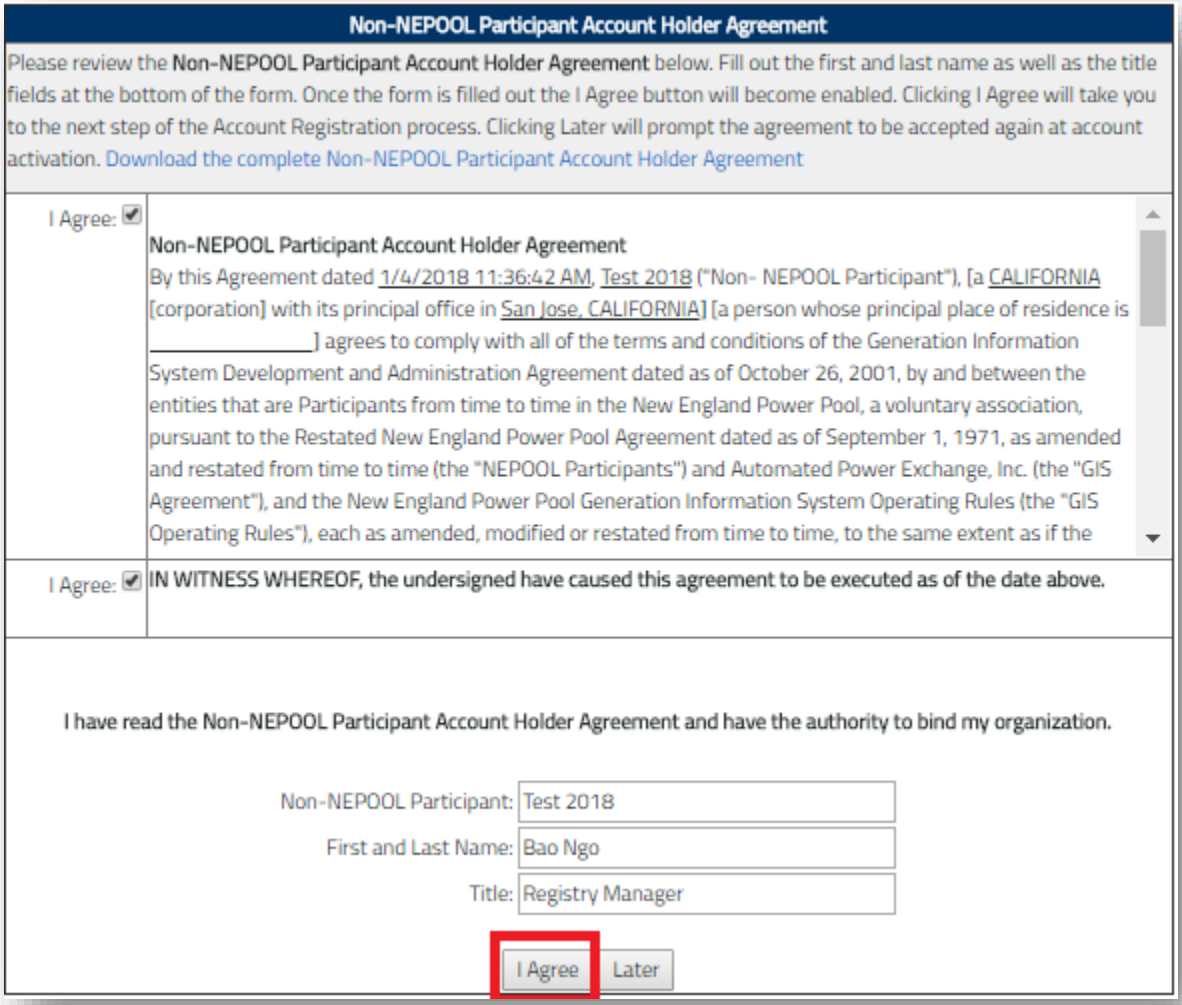
Non-NEPOOL Participant: Test 2018

First and Last Name:

Title:

I Agree | Later

7. Enter First and Last Name and Title and click the 'I Agree' button to submit the Non-NEPOOL Participant Account Holder Agreement.



Non-NEPOOL Participant Account Holder Agreement

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I Agree: ☑ **IN WITNESS WHEREOF, the undersigned have caused this agreement to be executed as of the date above.**

I have read the Non-NEPOOL Participant Account Holder Agreement and have the authority to bind my organization.

Non-NEPOOL Participant: Test 2018

First and Last Name: Bao Ngo

Title: Registry Manager

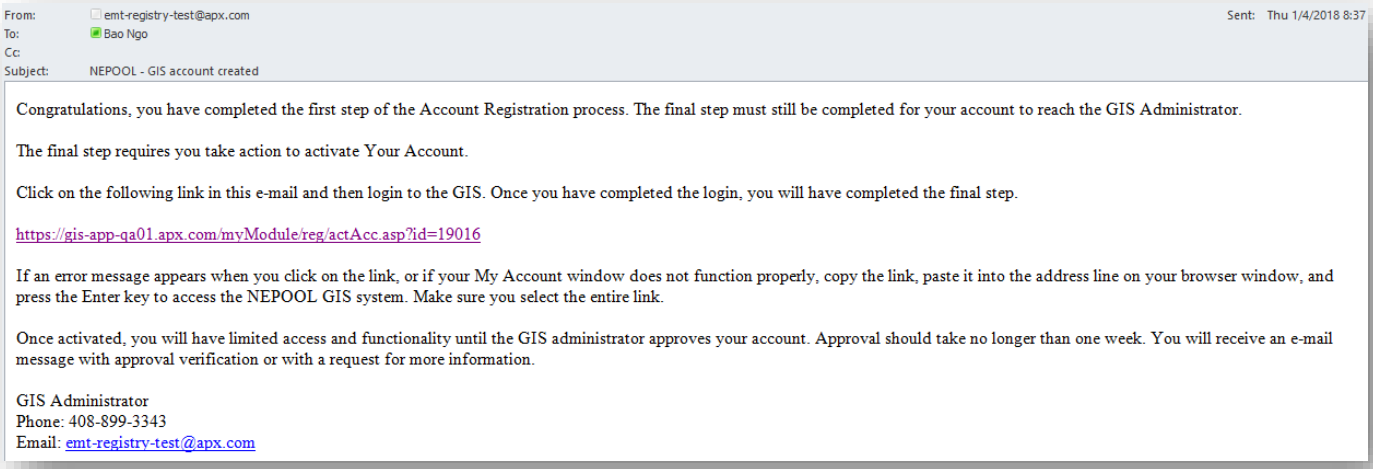
I Agree | Later

Note: An account activation email will be sent to the email registered under the GIS-Specific Contact Info section to Activate account. Please see Section D for instructions on how to activate a new GIS account.

D. Activate Account

After User registers a GIS account, the User identified as the GIS-Specific Contact takes the following steps to activate a new GIS Account.

1. Check for an email with the subject 'NEPOOL – GIS Account created'



From: emt-registry-test@apx.com
Sent: Thu 1/4/2018 8:37
To: Bao Ngo
Cc:
Subject: NEPOOL - GIS account created

Congratulations, you have completed the first step of the Account Registration process. The final step must still be completed for your account to reach the GIS Administrator.

The final step requires you take action to activate Your Account.

Click on the following link in this e-mail and then login to the GIS. Once you have completed the login, you will have completed the final step.

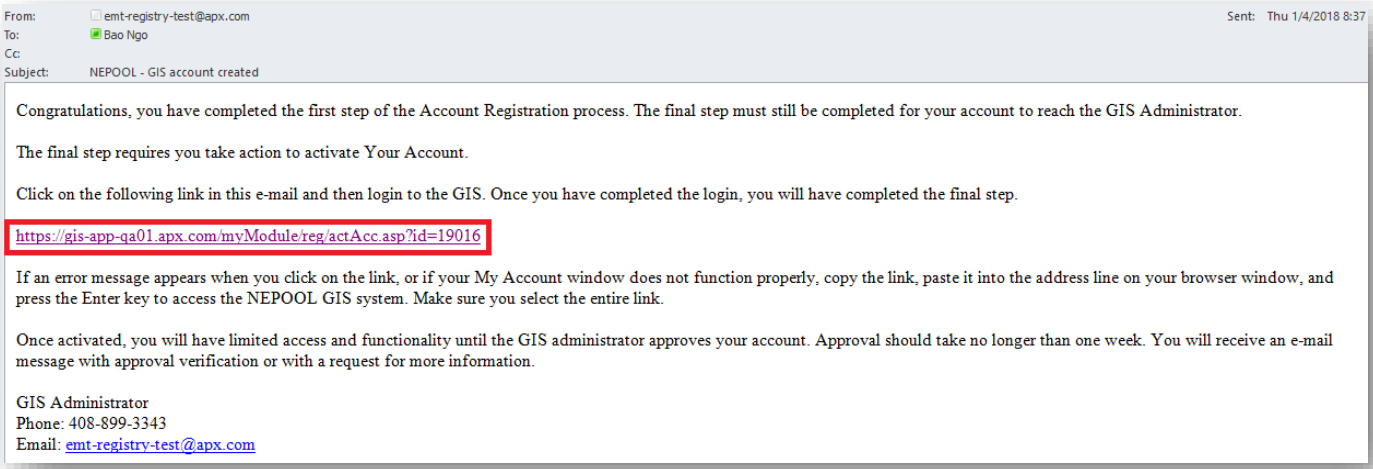
https://gis-app-qa01.apx.com/myModule/reg/actAcc.asp?id=19016

If an error message appears when you click on the link, or if your My Account window does not function properly, copy the link, paste it into the address line on your browser window, and press the Enter key to access the NEPOOL GIS system. Make sure you select the entire link.

Once activated, you will have limited access and functionality until the GIS administrator approves your account. Approval should take no longer than one week. You will receive an e-mail message with approval verification or with a request for more information.

GIS Administrator
Phone: 408-899-3343
Email: emt-registry-test@apx.com

2. Review the email and click on the hyperlink provided in the email.



From: emt-registry-test@apx.com
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https://gis-app-qa01.apx.com/myModule/reg/actAcc.asp?id=19016

If an error message appears when you click on the link, or if your My Account window does not function properly, copy the link, paste it into the address line on your browser window, and press the Enter key to access the NEPOOL GIS system. Make sure you select the entire link.

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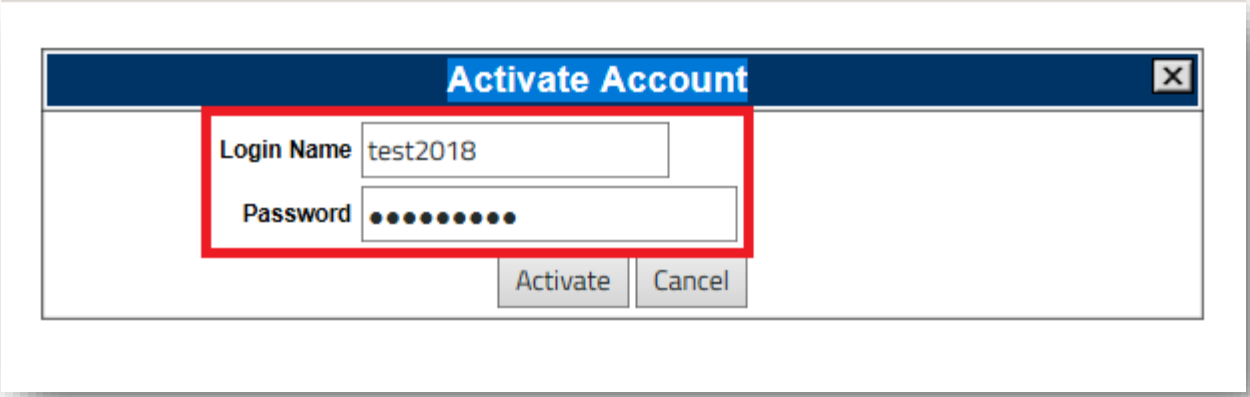
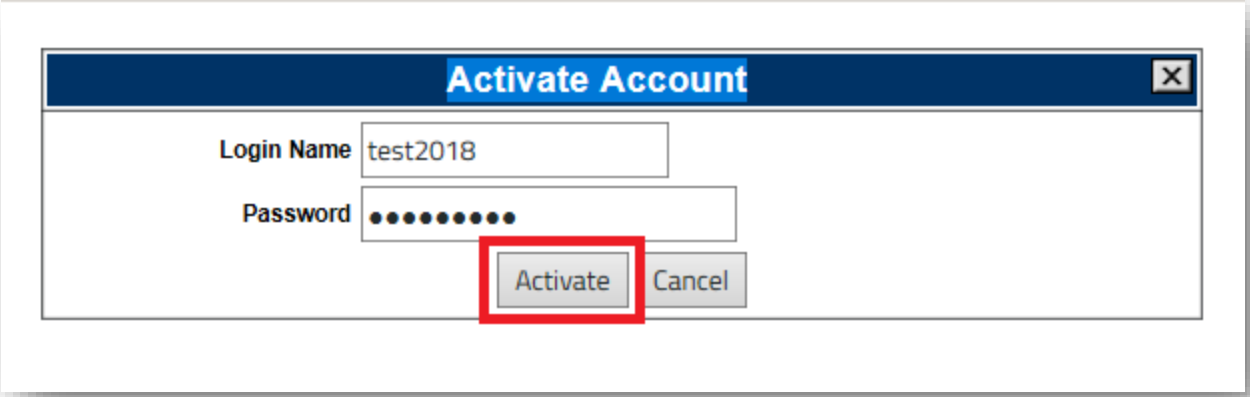
GIS Administrator
Phone: 408-899-3343
Email: emt-registry-test@apx.com

3. In the Activate Account page, enter the account Login Name and Password for the new account.



4. Click the 'Activate' button to activate the account.



Note: GIS Administrator will be notified after an Account Registration has been activated. GIS Administrator verifies the GIS account registration and approves the GIS account. **Users cannot log into NEPOOL GIS until the account has been approved by a GIS Administrator.**

NEPOOL GIS Project Registration

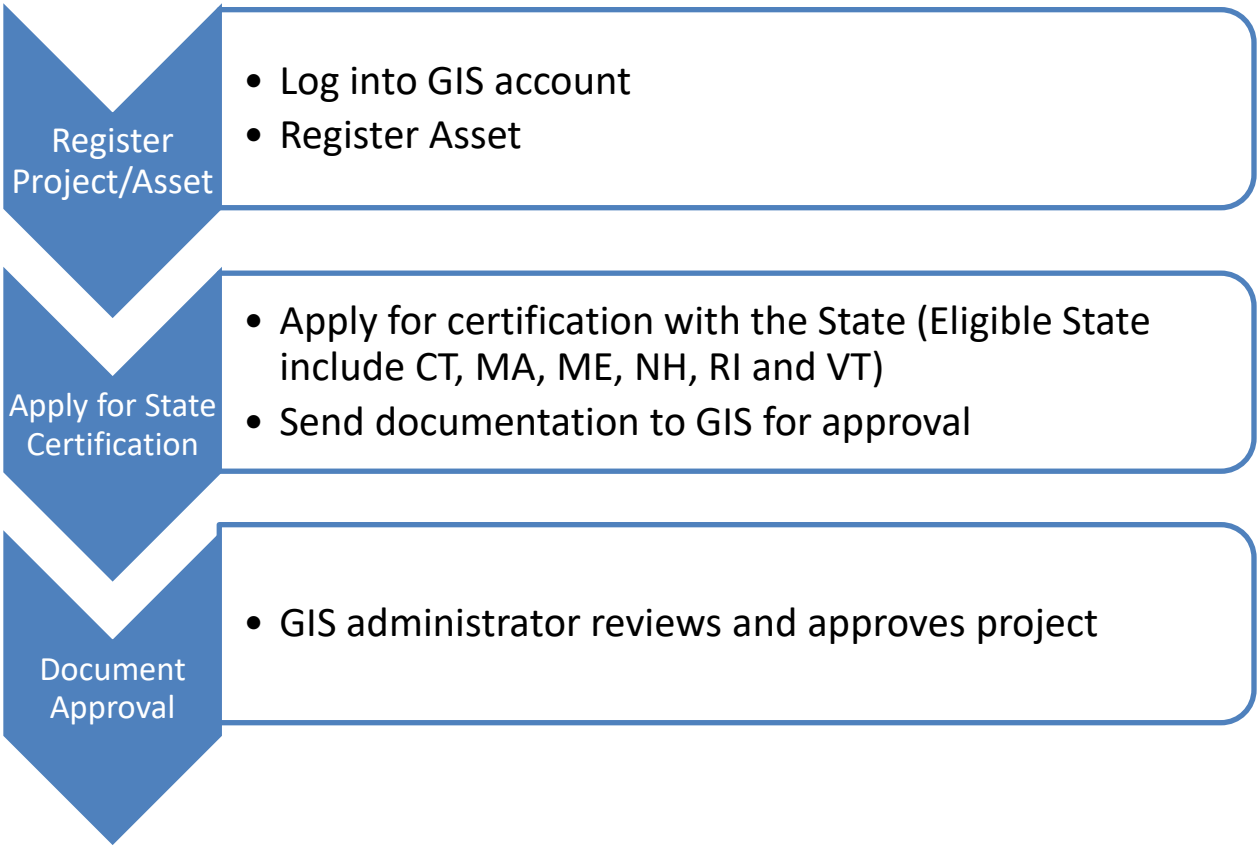
Users can only register NEPOOL GIS (GIS) projects only if they have an approved GIS account. Projects are not approved in GIS until a project receives RPS Certification from a NEPOOL state. To explore different RPS/RES Program Information, review Qualified RPS resources, and contact State Regulatory Agency, Users can view the State Program Information page (http://www.nepoolgis.com/state-program-information/) on the GIS Information Website for more information.

This section outlines the steps for how to register a new project in NEPOOL GIS (GIS) and focuses on the following areas:

- GIS Project Registration Process Overview
- GIS Project Types
- Non-NEPOOL Generator Project Registration Process
- NEPOOL Generator (MSS Project) Project Registration

A. GIS Project Registration Process Overview

Below is the GIS Project Registration process:



B. GIS Project Types

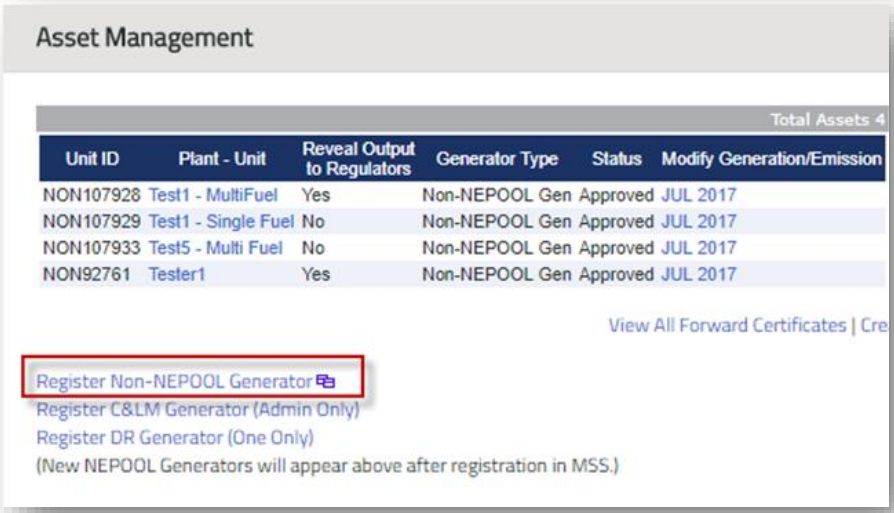
Below are the different GIS Project Types. Additional information for each project type can be found in the NEPOOL GIS Operating Rules

- **Market Support Services (MSS) Generator**–Projects that are located in the ISO-NE's Settlement Market System. See Rule 2.1 (a)(i) of the GIS Operating Rules for more information.
- **Non-NEPOOL Generator**- Behind-the-meter projects with a nameplate capacity of 5MW or less that do not provide any metering data to MSS. See Rule 2.1(a)(ii) of the GIS Operating Rules for more information.
- **C&LM Generator (Admin Only)**- Conservation and Load Management generator registered by the GIS administrator. See Rule 2.1(a)(iv) of the GIS Operating Rules for more information.
- **DR Generator** –Curtailment-based demand response resources which participate in the ISO's Load Response Program. See Rule 2.1(a)(v) of the GIS Operating Rules for more information.

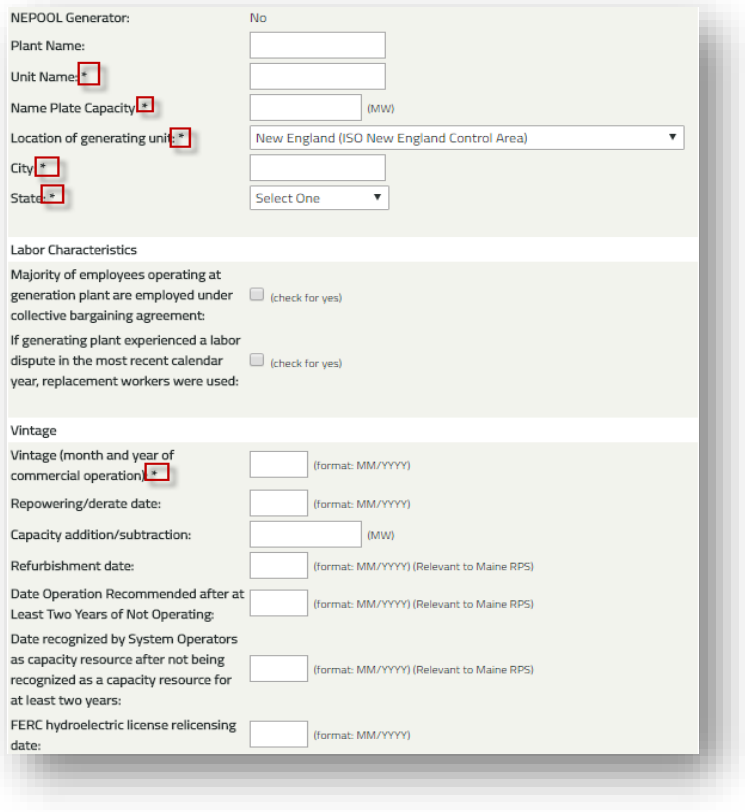
C. Non-NEPOOL Generator Project Registration Process

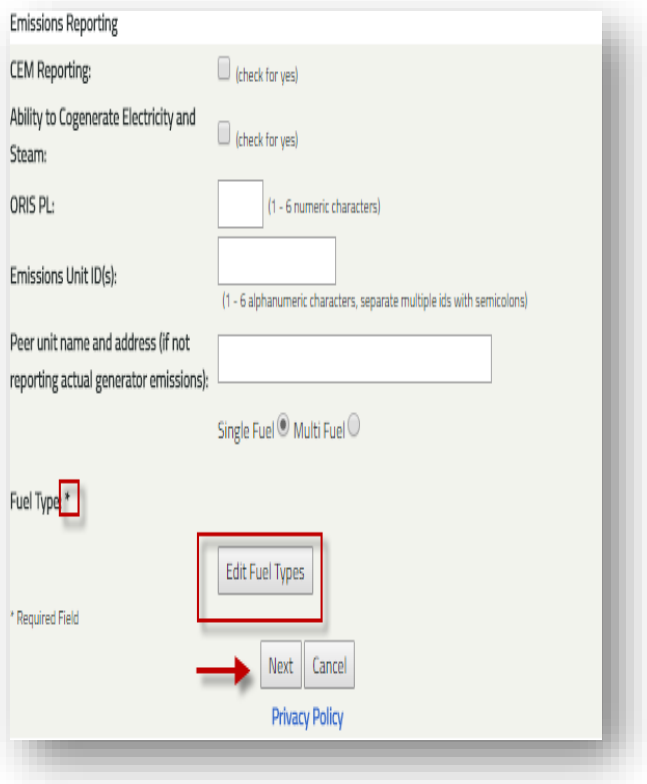
To Register a new Non-NEPOOL project, User takes the following steps:

6. In the Account Dashboard, locate the **Asset Management** module.
7. Under the **Asset Management** module, click on the Register Non-Nepool Generator hyperlink as pictured below:



8. In the New Generator Information page, enter data into all fields denoted with an asterisk.





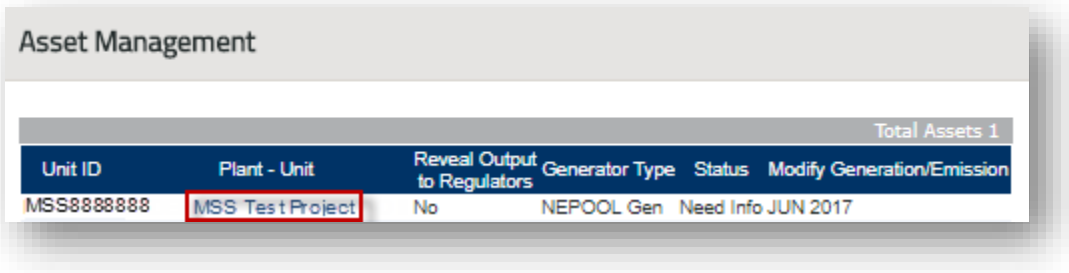
9. Click the 'Next' button to go to the next page.
10. In the second page of the New Generator Application, leave all the RPS Certification checkboxes blank and select an Independent Verifier from the Independent Verifier drop down.
11. Click on the 'Submit for Approval' button to register the new project.

    Note: A Unit ID will be created once the project is registered. User can view the Unit ID by going back to the **Asset Management** module. Projects will be in a 'Pending' status until a GIS Administrator reviews and approve the project. GIS Administrator requires State RPS certification in order to approve a GIS project.

D. NEPOOL Generator (MSS Project) Project Registration

NEPOOL Generator data are imported into GIS via ISONE monthly files. New NEPOOL Generators are displayed in 'Need Info' Status under the **Asset Management** module. User takes the following steps to complete the project registration for NEPOOL Generator(s).

1. In the Account Dashboard, locate the **Asset Management** module.
2. Under the **Asset Management** module, click on the project hyperlink under the Plant – Unit column as pictured below:



3. In the Generator Information page, enter data into all fields denoted with an asterisk.

NEPOOL Generation Information System

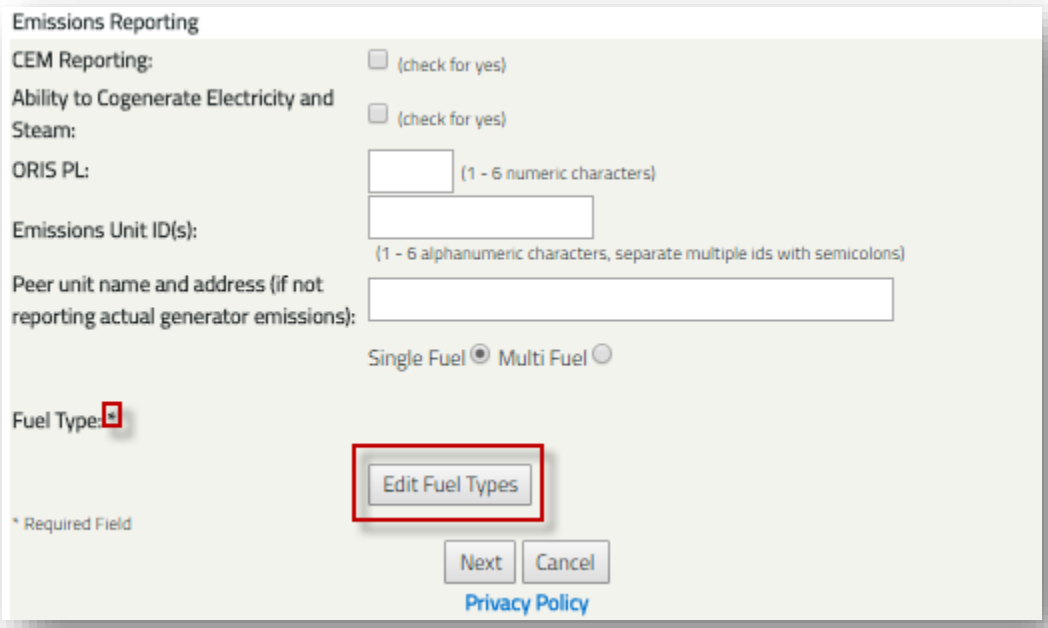
NEPOOL Generator:	Yes
MSS Unit ID:	
Plant Name:	UNDER5MW
Unit Name: *	MSS Test Project
Status:	Need Info
Name Plate Capacity: *	0.000 (MW)
Location of generating units: *	New England (ISO New England Control Area)
City: *	
State: *	Select One

Labor Characteristics

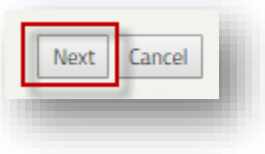
Majority of employees operating at generation plant are employed under collective bargaining agreement:	(check for yes)
If generating plant experienced a labor dispute in the most recent calendar year, replacement workers were used:	(check for yes)

Vintage

Vintage (month and year of commercial operation): *	(format: MM/YYYY)
Repowering/derate date:	(format: MM/YYYY)
Capacity addition/subtraction:	(MW)
Refurbishment date:	(format: MM/YYYY) (Relevant to Maine RPS)
Date Operation Recommended after at Least Two Years of Not Operating:	(format: MM/YYYY) (Relevant to Maine RPS)
Date recognized by System Operators as capacity resource after not being recognized as a capacity resource for at least two years:	(format: MM/YYYY) (Relevant to Maine RPS)
FERC hydroelectric license relicensing date:	(format: MM/YYYY)



4. Click the 'Next' button to go to the next page.



5. In the second page of the New Generator Application, leave all the RPS Certification checkboxes blank.
6. Click on the 'Submit for Approval' button to register the new project.

   Note: Projects will be in a 'Pending' status until a GIS Administrator reviews and approve the MSS project. GIS Administrator requires State RPS certification in order to approve a GIS project.

NEPOOL GIS Generation Data Loading

Generation data in GIS can either be self-reported or uploaded by an approved Independent Verifier based on RPS state approvals.

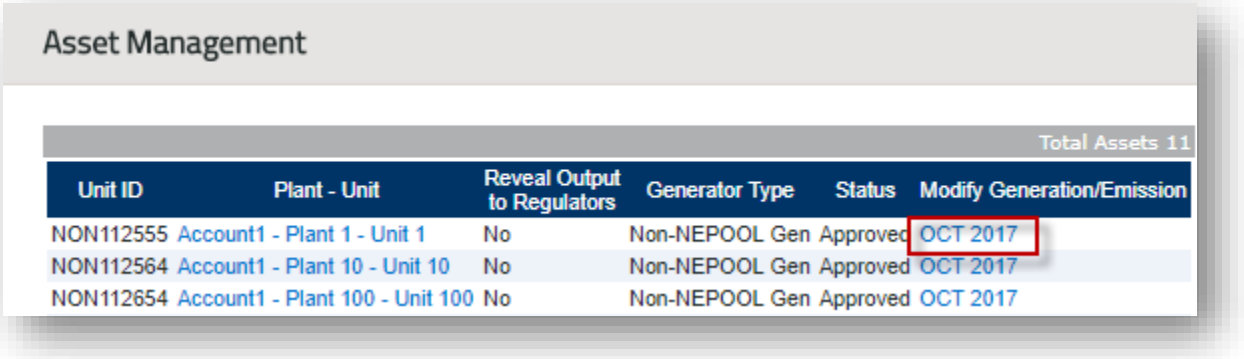
This section outlines the steps for how to report generation data to NEPOOL GIS and focuses on the following areas:

- Self-Report Generation Data
- Report Generation Data by an Independent Verifier
- Enter Generator Emissions Data
- ISO-NE Settlement Data Upload

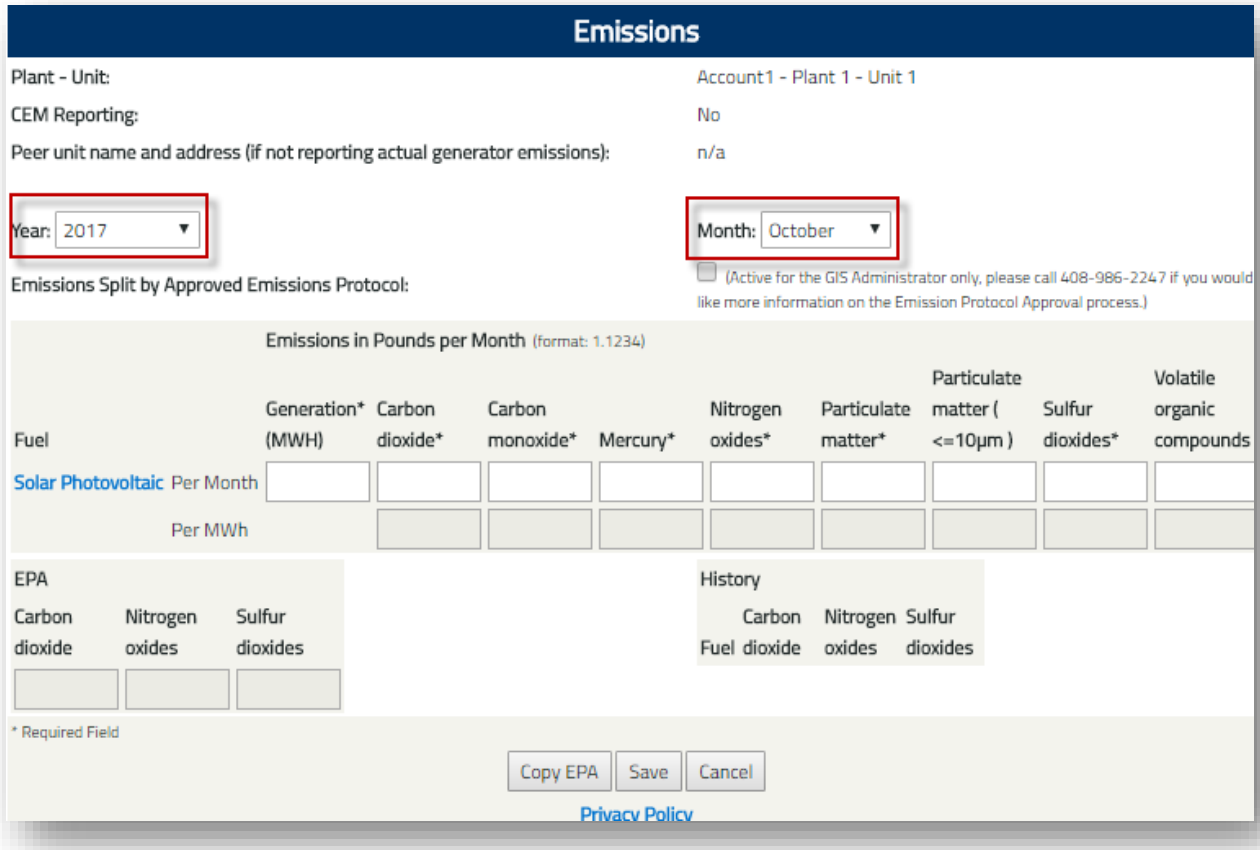
A. Self-Report Generation Data

For generators that are qualified to self-report generation data in GIS, User takes the following steps:

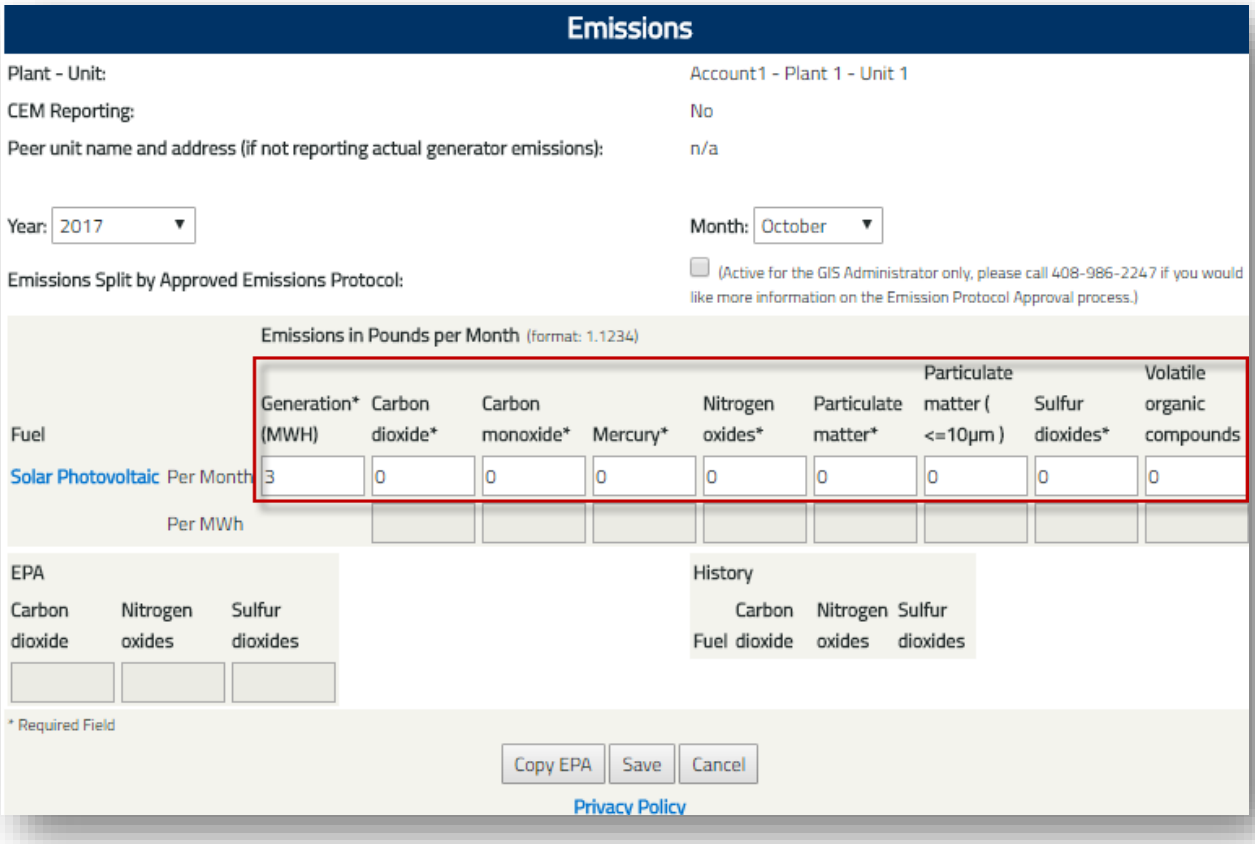
1. In the Account Dashboard, locate the **Asset Management** module.
2. Under the **Asset Management** module, click the corresponding hyperlinked month and year under the Modify Generation/Emissions column.



3. Select the appropriate Year and Month from the drop-downs.



4. Enter the monthly generation under the Generation (MWh) column and emissions (if applicable) under each corresponding emission columns.



Emissions

Plant - Unit: Account1 - Plant 1 - Unit 1

CEM Reporting: No

Peer unit name and address (if not reporting actual generator emissions): n/a

Year: 2017 Month: October

Emissions Split by Approved Emissions Protocol: (Active for the GIS Administrator only, please call 408-986-2247 if you would like more information on the Emission Protocol Approval process.)

Emissions in Pounds per Month (format: 1.1234)

Fuel		Generation* (MWH)	Carbon dioxide*	Carbon monoxide*	Mercury*	Nitrogen oxides*	Particulate matter*	Particulate matter (<=10µm)	Sulfur dioxides*	Volatile organic compounds
Solar Photovoltaic	Per Month	3	0	0	0	0	0	0	0	0
	Per MWh									

EPA

Carbon dioxide	Nitrogen oxides	Sulfur dioxides

History

Fuel	Carbon dioxide	Nitrogen oxides	Sulfur dioxides

* Required Field

Copy EPA Save Cancel

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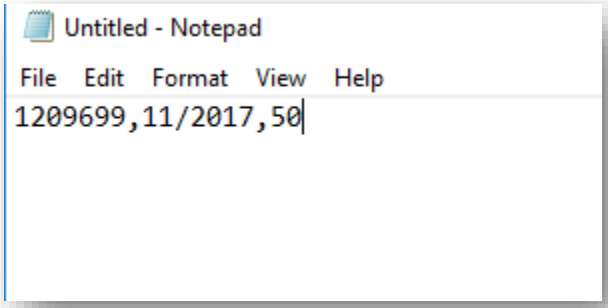
Note: Generators located in New England will report gross monthly emissions output and Import generators will report emissions in lbs./MWh.

5. Click the ‘Save’ button to report monthly generation data.

B. Report Generation Data by an Independent Verifier

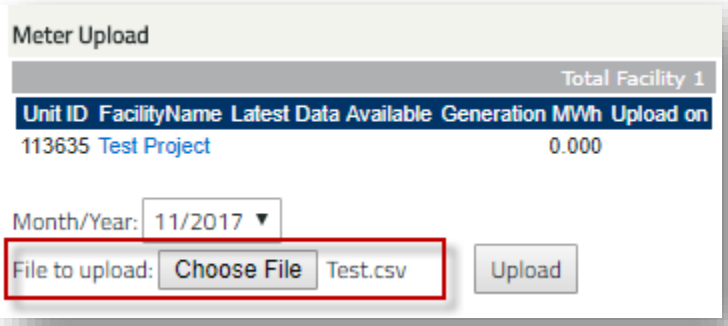
Independent Verifiers are assigned to projects through the project registration screen and approved based on RPS state approvals. Once an independent verifier is selected and the project is approved in GIS, the Independent Verifier begins uploading monthly generation data for projects. To upload GIS generation data, the Independent Verifier takes the following steps:

1. Create a .TXT or .CSV monthly file for Generation Data Upload. The fields in the Generation Data Batch Upload must contain:
    a. GIS ID number (NON prefix removed)
    b. Month/Year (MM/YYYY format)
    c. Total MWh



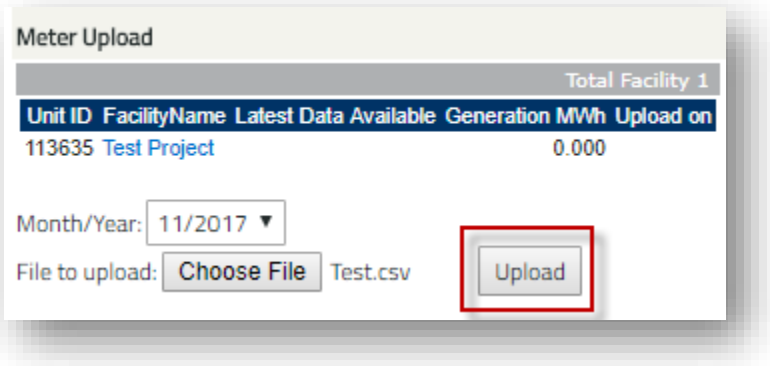
Note: The monthly generation data file may contain multiple unit ids. MWh data can be loaded out to the thousandth decimal place. Any fractional MWh data will be carried over and applied to the subsequent generation month.

2. Go to the **Meter Upload** module, under the Month/Year drop-down, select the month and year, and click the 'Choose File' button to locate the file.

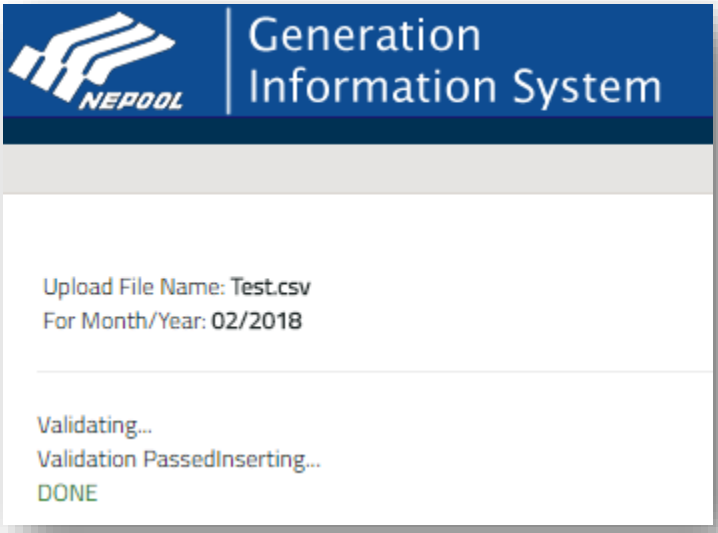


3. Click the 'Upload' button to upload the monthly generation data file.

Note: If there are any issues with the data in the upload file, the file will not be uploaded.



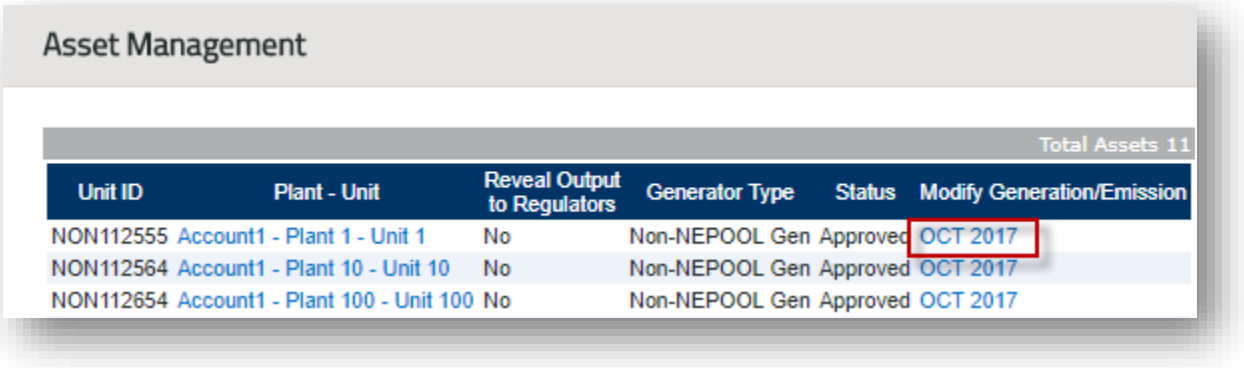
4. After clicking the 'Upload' button, a confirmation screen will appear to display and confirm the results of the upload.



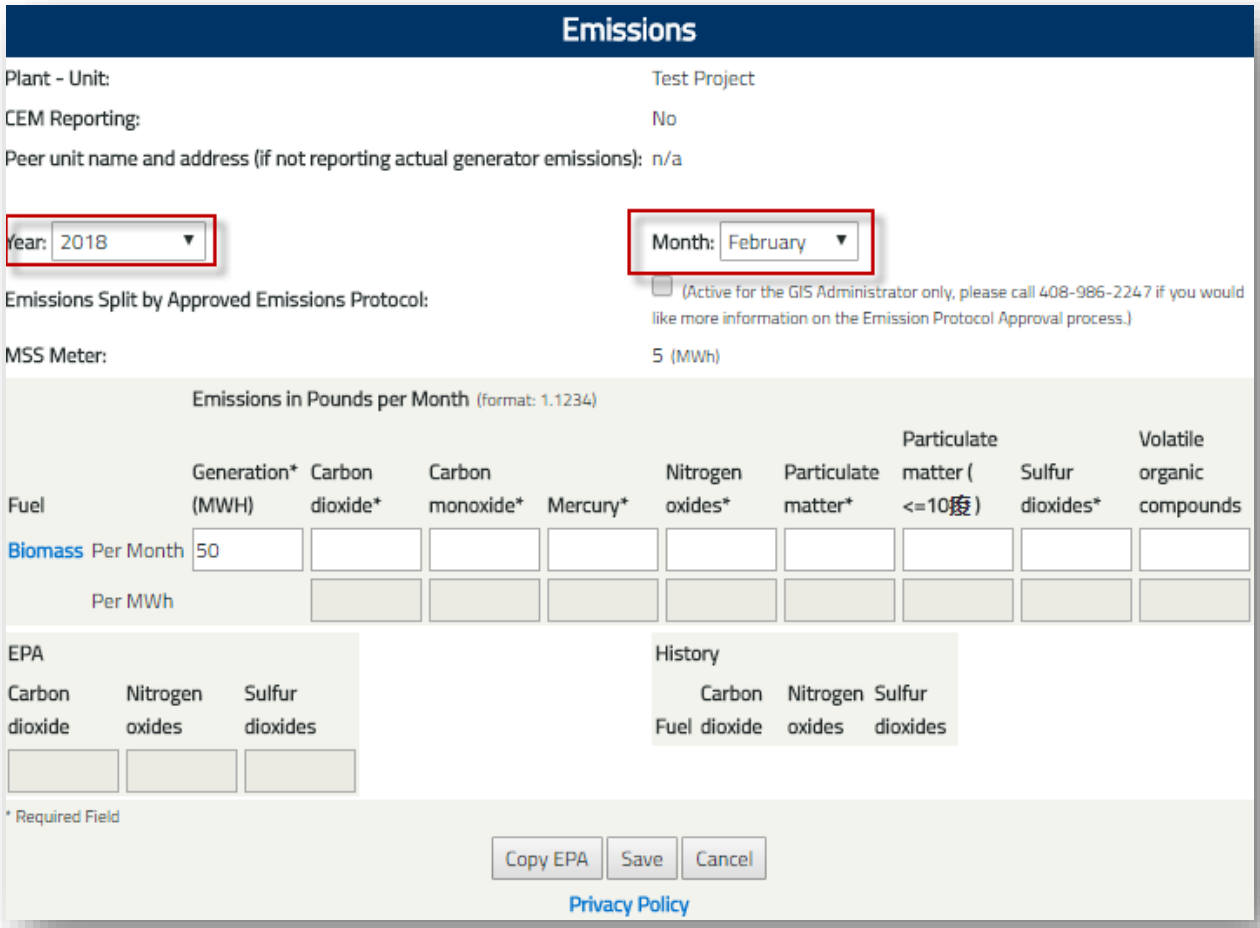
C. Enter Generator Emissions Data

Generating units with fuel/technology types other than Hydro, Geothermal, Nuclear, Ocean, Solar, Wind, Flywheel or Thermal are required to enter emissions into NEPOOL GIS. To enter emissions, User takes the following steps:

1. In the Account Dashboard, locate the **Asset Management** module.
2. Under the **Asset Management** module, click the corresponding hyperlinked month and year under the Modify Generation/Emissions column.



3. Select the appropriate Year and Month from the drop-downs.



Emissions

Plant - Unit: Test Project

CEM Reporting: No

Peer unit name and address (if not reporting actual generator emissions): n/a

Year: 2018

Month: February

Emissions Split by Approved Emissions Protocol: (Active for the GIS Administrator only, please call 408-986-2247 if you would like more information on the Emission Protocol Approval process.)

MSS Meter: 5 (MWh)

Emissions in Pounds per Month (format: 1.1234)

Fuel		Generation* (MWH)	Carbon dioxide*	Carbon monoxide*	Mercury*	Nitrogen oxides*	Particulate matter*	Particulate matter (<=10µ)	Sulfur dioxides*	Volatile organic compounds
Biomass	Per Month	50								
	Per MWh									

EPA

Carbon dioxide	Nitrogen oxides	Sulfur dioxides

History

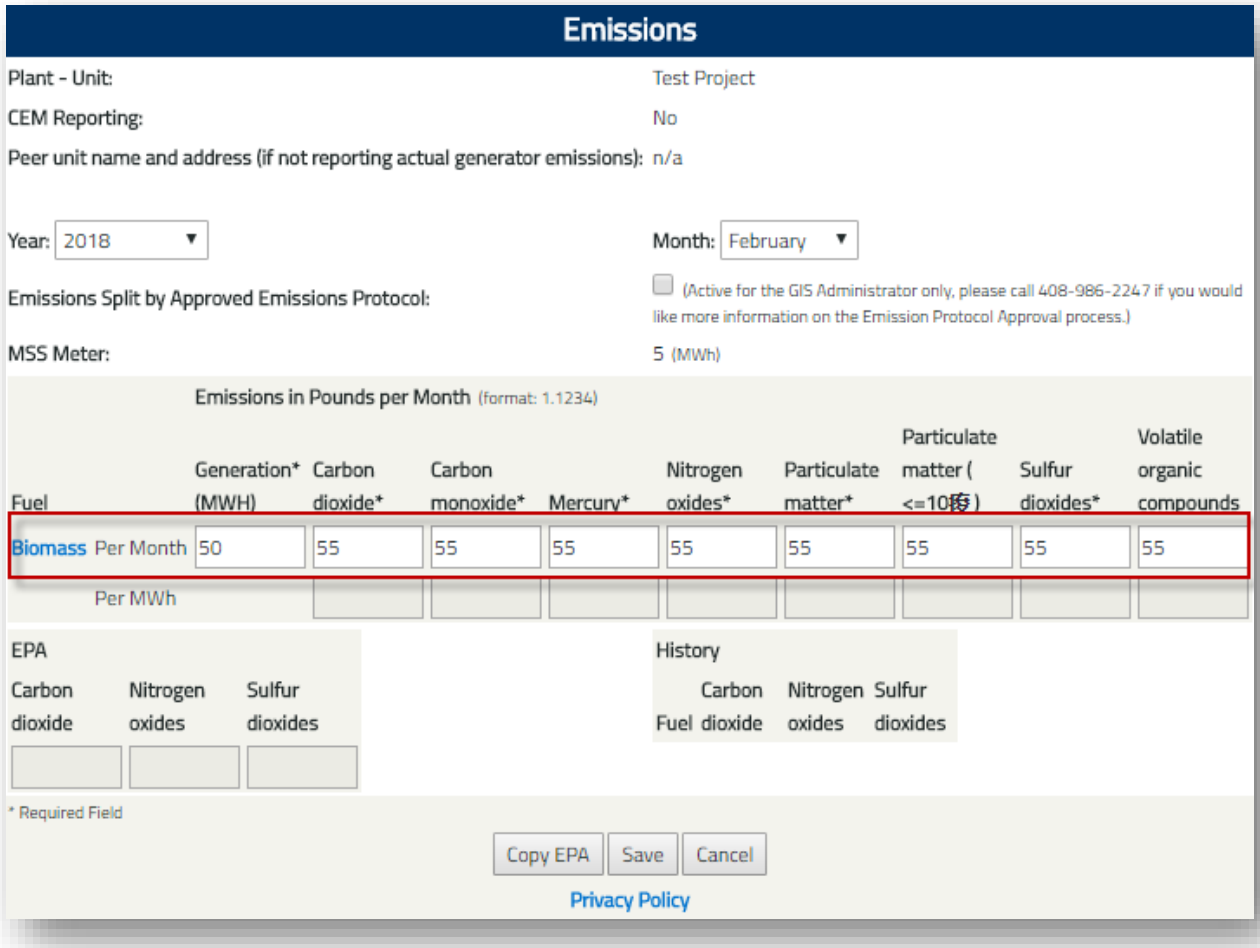
Fuel	Carbon dioxide	Nitrogen oxides	Sulfur dioxides

* Required Field

Copy EPA | Save | Cancel

Privacy Policy

4. Verify the monthly generation under the Generation (MWh) column and enter emissions under each corresponding emission columns.



Emissions

Plant - Unit: Test Project

CEM Reporting: No

Peer unit name and address (if not reporting actual generator emissions): n/a

Year: 2018 Month: February

Emissions Split by Approved Emissions Protocol: (Active for the GIS Administrator only, please call 408-986-2247 if you would like more information on the Emission Protocol Approval process.)

MSS Meter: 5 (MWh)

Emissions in Pounds per Month (format: 1.1234)

Fuel		Generation* (MWH)	Carbon dioxide*	Carbon monoxide*	Mercury*	Nitrogen oxides*	Particulate matter*	Particulate matter (<=10µ)	Sulfur dioxides*	Volatile organic compounds
Biomass	Per Month	50	55	55	55	55	55	55	55	55
	Per MWh									

EPA

Carbon dioxide	Nitrogen oxides	Sulfur dioxides

History

Fuel	Carbon dioxide	Nitrogen oxides	Sulfur dioxides

* Required Field

Copy EPA Save Cancel

Privacy Policy

Note: Generators located in New England will report gross monthly emissions output and Import generators will report emissions in lbs./MWh

5. Click the ‘Save’ button to save emissions entry.

D. ISO-NE Settlement Data Upload

All ISO-NE generation settlement data is uploaded into the NEPOOL GIS monthly on or around the 15th of every month after the month the generation occurred.

For MSS meter data inquiries, please reach out to the ISO-NE Customer Support at (413) 540-4220.

NEPOOL GIS Certificate Transfers to Another Account Holder

GIS Certificates can only be transferred after Certificates are issued and during an opened trading period. NEPOOL GIS dates can be found by clicking on the following link.

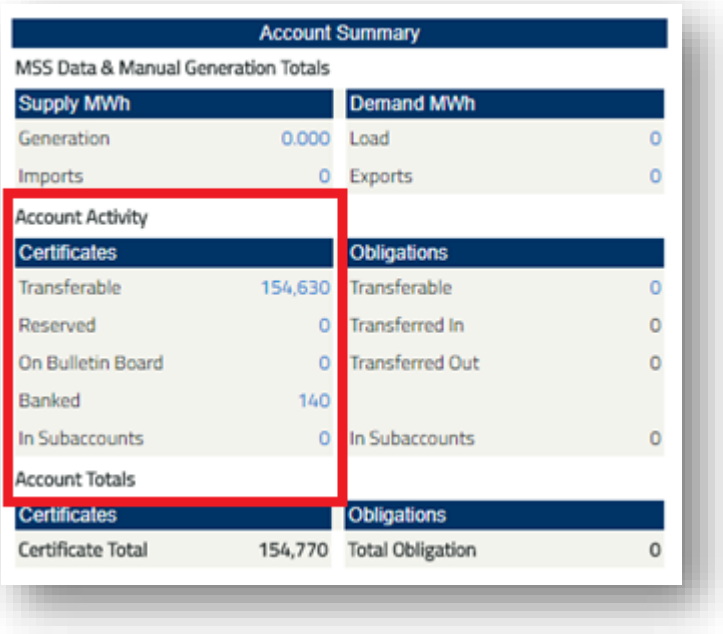
This section outlines the steps for how to transfer Certificates to another Account Holder in NEPOOL GIS (GIS) and focuses on the following areas:

- View Active Certificates
- Transfer Certificates to Another Account Holder
- Accept Certificate Transfer
- Reject Certificate Transfer
- Withdraw Certificate Transfer

A. View Active Certificates

To view Active Certificates available for transfer, User takes the following steps:

1. In the Account Dashboard, User locates the **Account Status** module.
2. Under the **Account Summary** module, User clicks on a hyperlink under Account Activity as pictured below to view Certificate inventory in the specific page of the clicked hyperlink.



Account Summary

MSS Data & Manual Generation Totals

Supply MWh		Demand MWh	
Generation	0.000	Load	0
Imports	0	Exports	0

Account Activity

Certificates		Obligations	
Transferable	154,630	Transferable	0
Reserved	0	Transferred In	0
On Bulletin Board	0	Transferred Out	0
Banked	140		
In Subaccounts	0	In Subaccounts	0

Account Totals

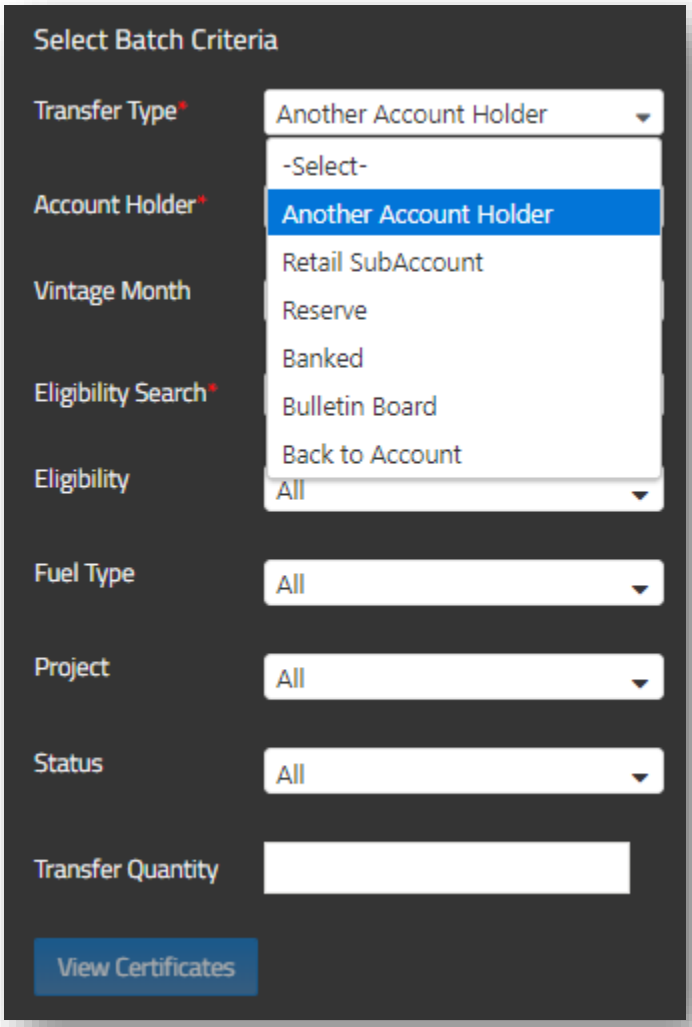
Certificates		Obligations	
Certificate Total	154,770	Total Obligation	0

B. Transfer Certificates to Another Account Holder

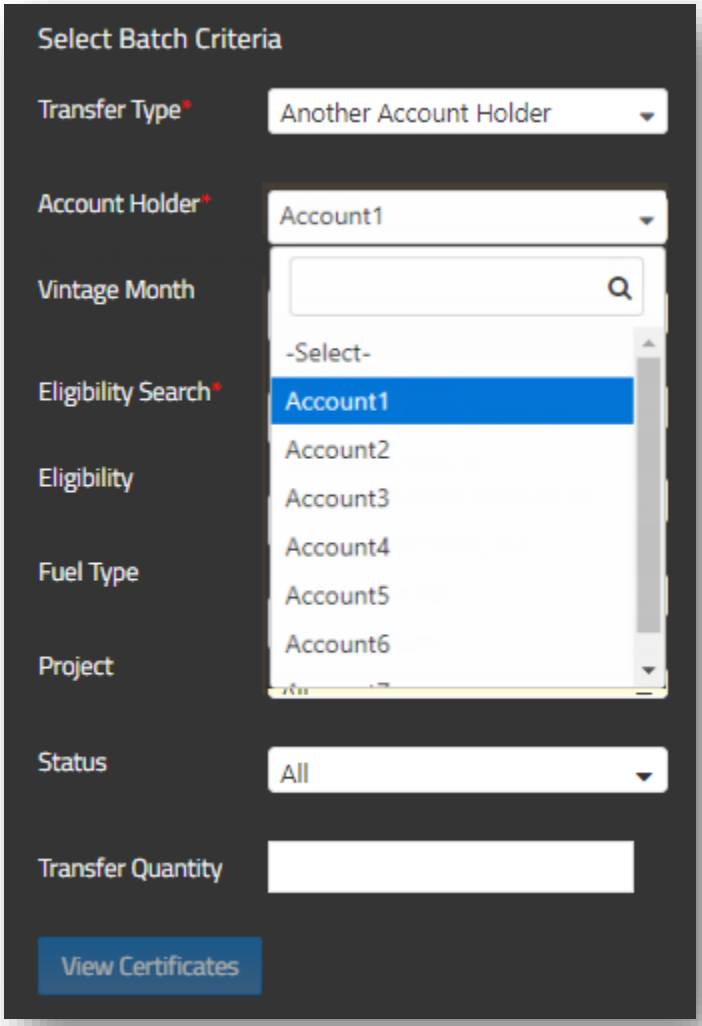
To initiate a GIS Certificate Transfer to Another Account Holder, User takes the following steps:

1. Log in to NEPOOL GIS.
2. In the Account Dashboard, User clicks on the **Transfer** option from the menu bar as shown below:

3. In the Select Batch Criteria section on the left pane, User selects Another Account Holder from the Transfer Type drop-down. The dynamic Selection Criteria is driven off of the transfer type selection.

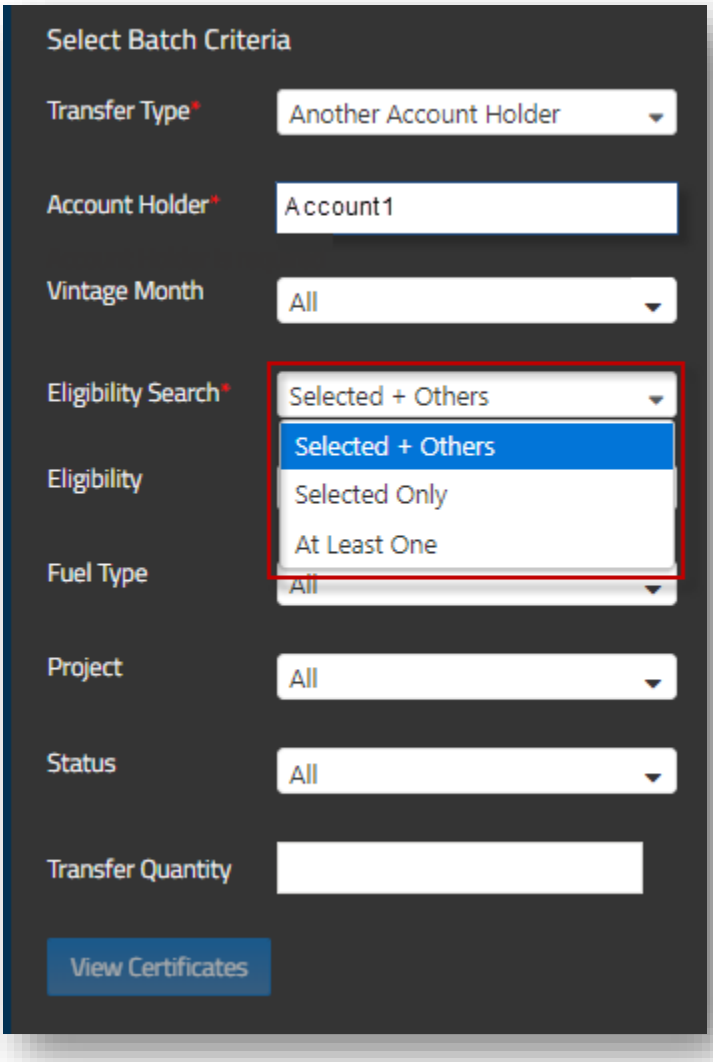


4. Under the Account Holder drop-down in the Select Batch Criteria section, User selects the Account Holder that will be receiving the Certificates.

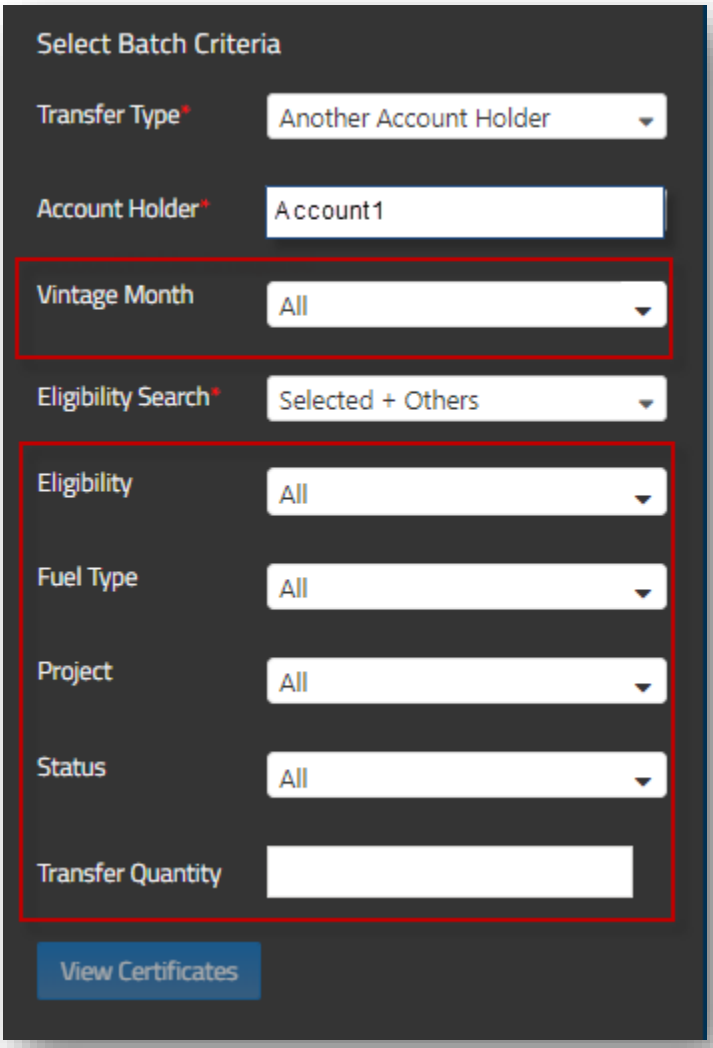


Note: A search box is displayed in the drop-down to allow users to type in the account holder name from the drop-down to narrow down the Account Holder list.

5. Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
    a. **Selected + Others** – Searches for certificate holdings that have all the selected and zero or more other eligibilities.
    b. **Selected Only** – Searches for certificate holdings that have only the selected eligibilities.
    c. **At Least One** – Searches for certificate holding that have at least one selected eligibility and zero or more other eligibilities

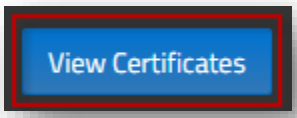


6. Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.

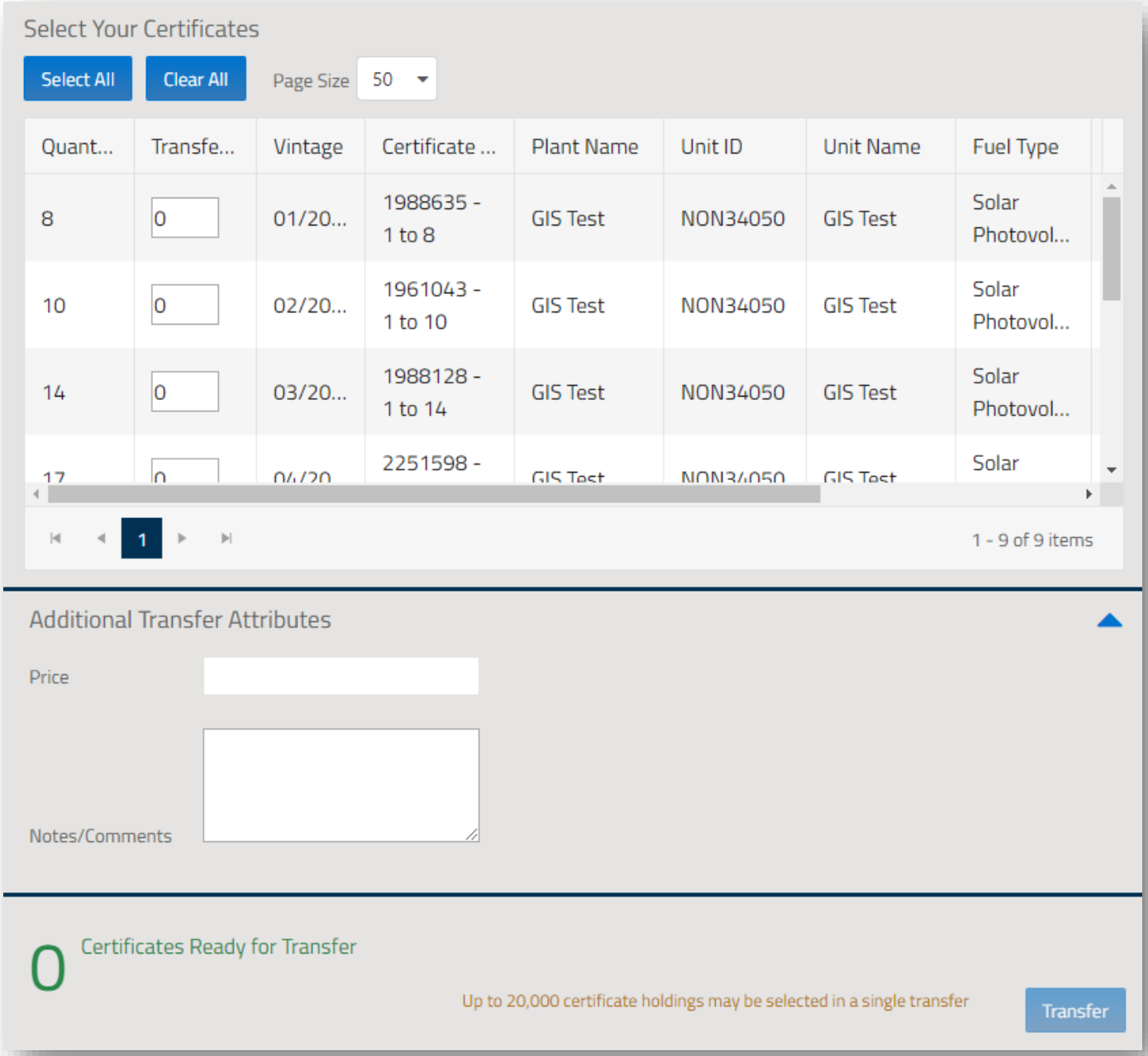


Note: In the Transfer Quantity field of the selection criteria, User can enter the total number of RECs to transfer without having to manually select the batch(es) in the right pane.

7. Once all the options are selected, User clicks on the 'View Certificates' button to populate the requested data on the right pane.

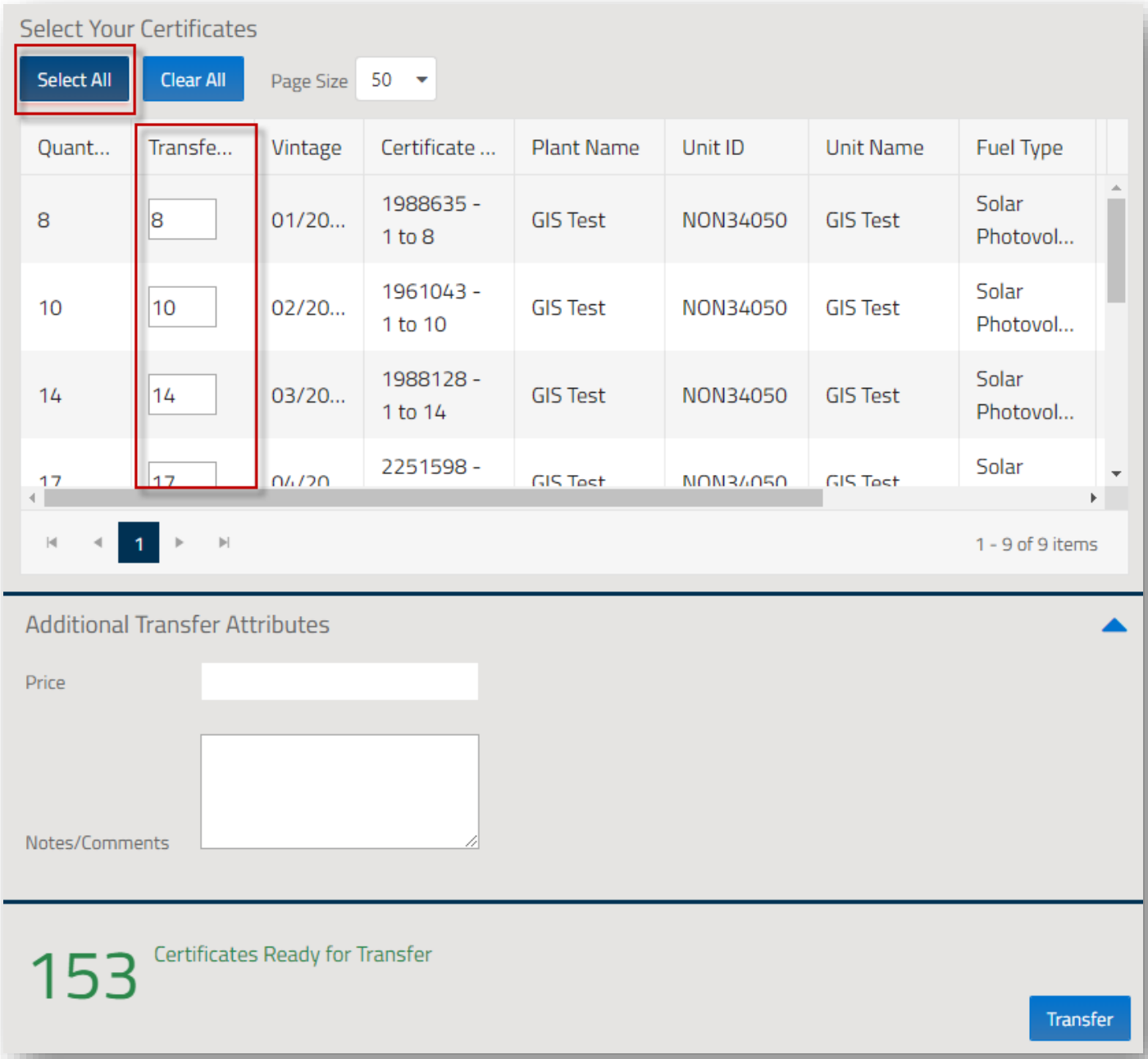


8. After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.



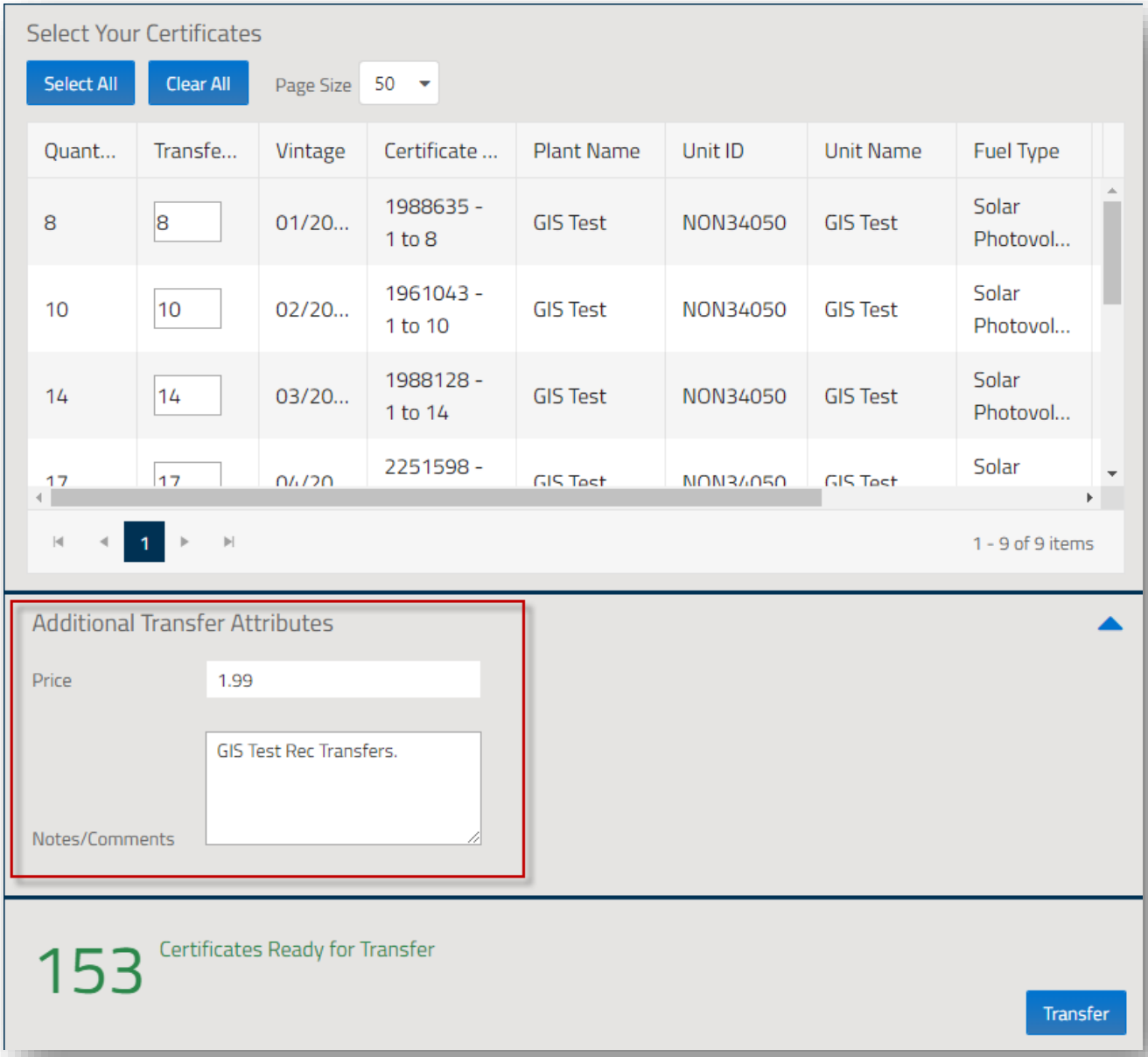
Note: If Transfer Quantity was entered in the selection criteria, the Transfer Quantity column displays selected REC quantities for batches up to the quantity entered.

9. In the Select Your Certificates section on the right pane, User either clicks ‘Select All’ button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.

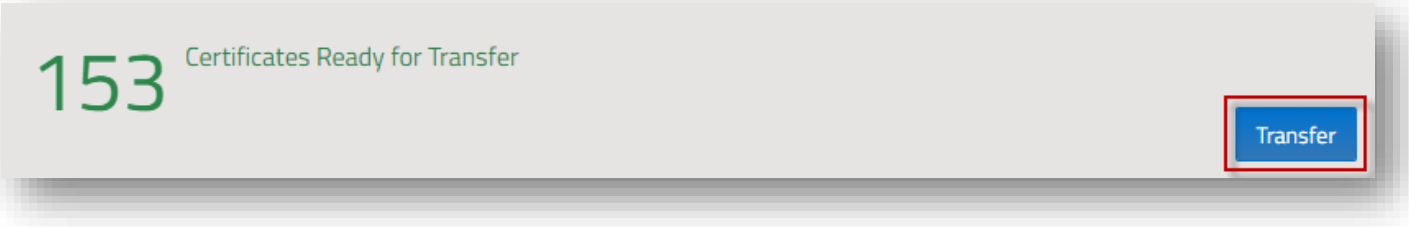


Note: Clicking the 'Select All' or 'Clear All' buttons only impacts the REC batches on the current page. User can select or clear additional batches from multiple pages on the right pane.

10. In the Additional Transfer Attributes section on the right pane, User can enter optional Price and/or Notes/Comments information for their counter-party to see.



11. User clicks the 'Transfer' button to execute Certificate transfer to the designated Account Holder selected from the selection criteria.



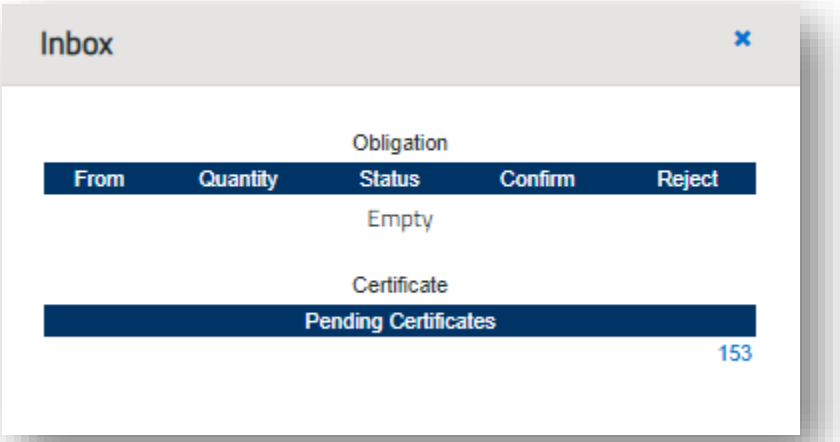
Note: After initiating a Certificate transfer to another Account Holder, automated emails are sent to both Transferor and Transferee. The transferred Certificates are marked as "Pending" in the Transferor's Outbox until the Transferee either accepts or rejects the Certificate transfer. If the Transferee rejects the Certificate transfer, the Certificates will be returned to the Transferor's account. If the Transferee does not accept the Certificate transfer by the end of the respective quarter's trading period, the Certificate will be returned to the Transferor's account.

C. Accept Certificate Transfer

Once a REC transfer is initiated by the Transferor, the Transferee reviews the **Inbox** module to accept or reject the new REC Transfer requests.

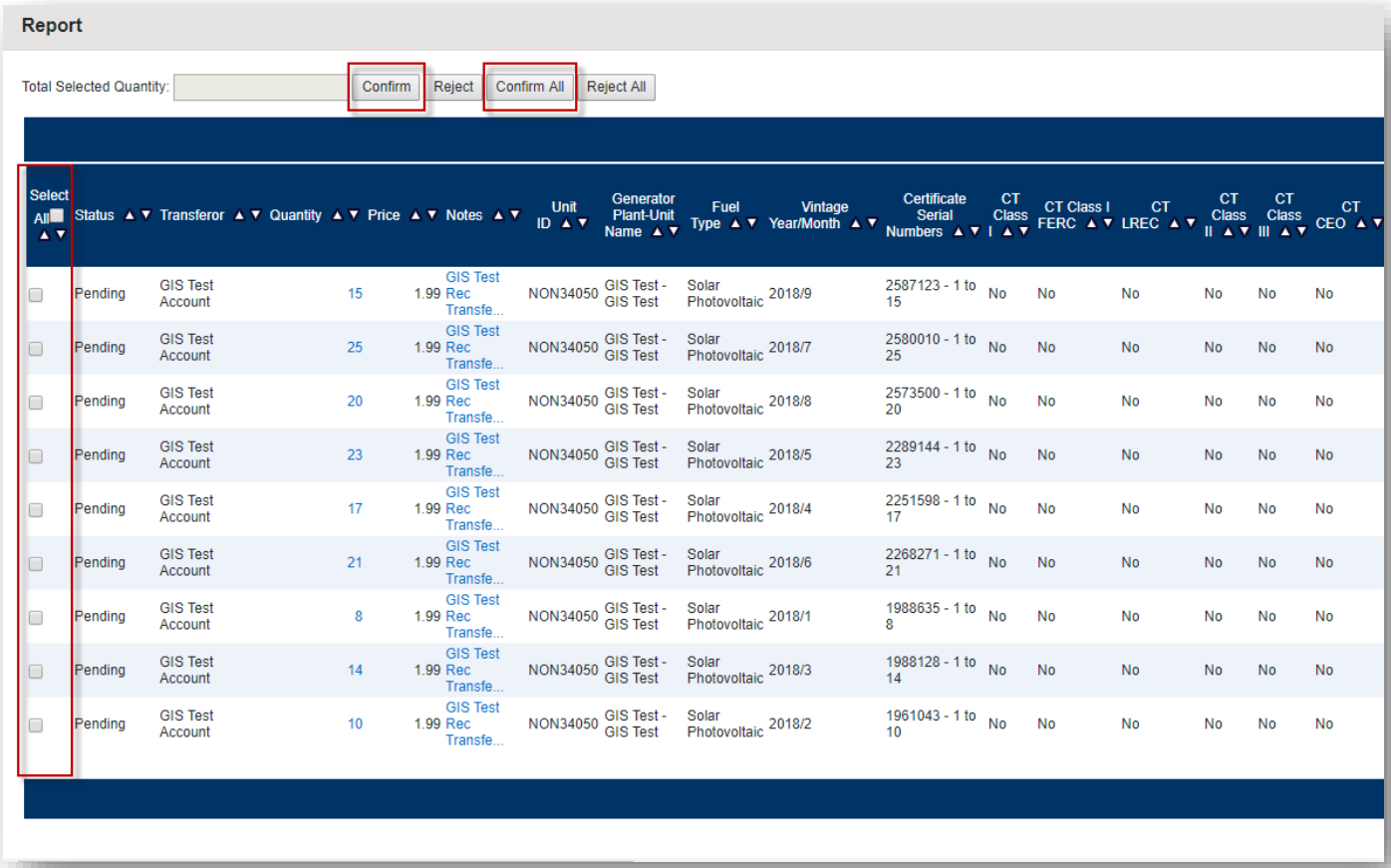
To accept a REC Transfer, the Transferee takes the following steps:

1. In the Account Dashboard, locate the **Inbox** module.



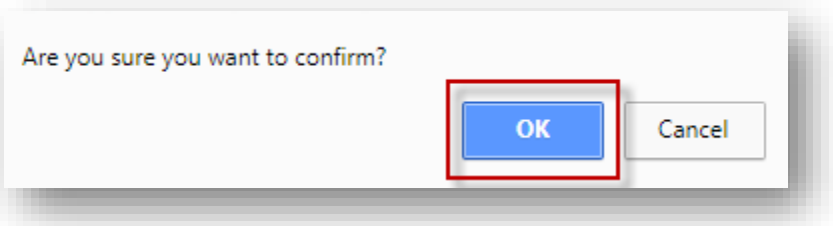
2. Under the **Inbox** module, click the quantity hyperlink under Pending Certificates.

3. Select the checkbox(es) under the Select All column and click the 'Confirm' button to accept the selected REC transfer(s) or click on the Confirm All button to accept all REC Transfers in the Inbox.

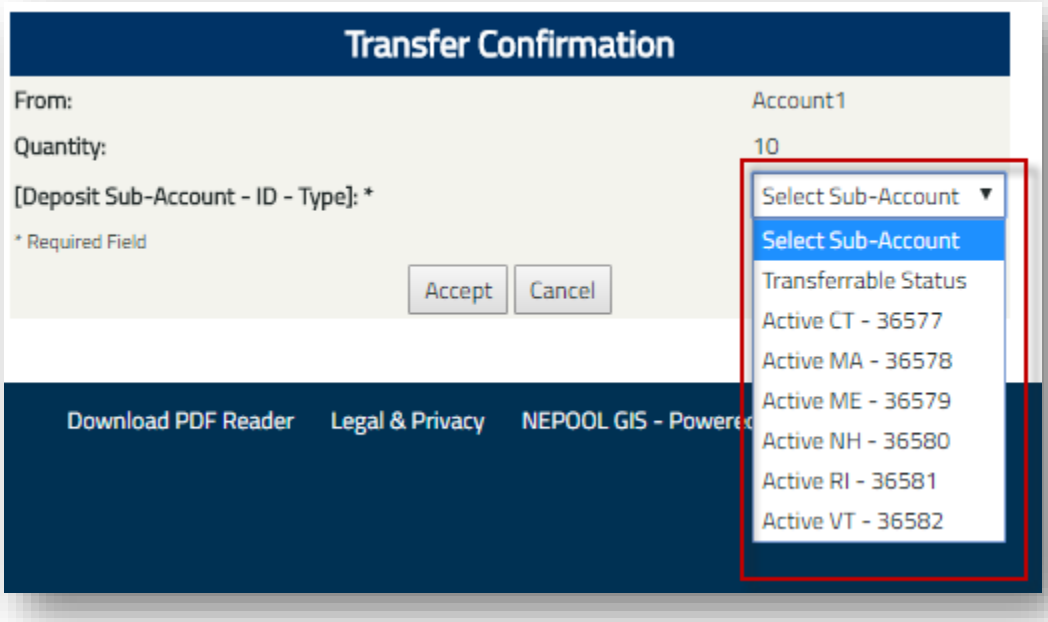


Select All	Status	Transferor	Quantity	Price	Notes	Unit ID	Generator Plant-Unit Name	Fuel Type	Vintage Year/Month	Certificate Serial Numbers	CT Class I	CT Class I FERC	CT LREC	CT Class II	CT Class III	CT CEO
	Pending	GIS Test Account	15	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/9	2587123 - 1 to 15	No	No	No	No	No	No
	Pending	GIS Test Account	25	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/7	2580010 - 1 to 25	No	No	No	No	No	No
	Pending	GIS Test Account	20	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/8	2573500 - 1 to 20	No	No	No	No	No	No
	Pending	GIS Test Account	23	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/5	2289144 - 1 to 23	No	No	No	No	No	No
	Pending	GIS Test Account	17	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/4	2251598 - 1 to 17	No	No	No	No	No	No
	Pending	GIS Test Account	21	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/6	2268271 - 1 to 21	No	No	No	No	No	No
	Pending	GIS Test Account	8	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/1	1988635 - 1 to 8	No	No	No	No	No	No
	Pending	GIS Test Account	14	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/3	1988128 - 1 to 14	No	No	No	No	No	No
	Pending	GIS Test Account	10	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/2	1961043 - 1 to 10	No	No	No	No	No	No

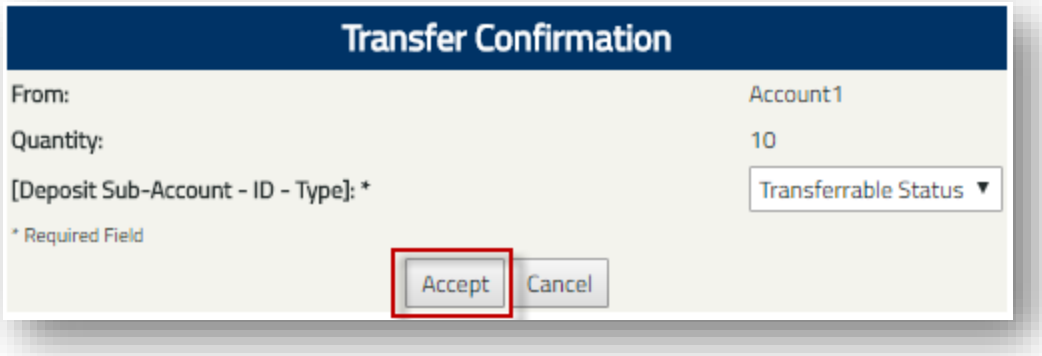
4. Click the ‘OK’ button to confirm the selection.



5. In the Transfer Confirmation screen, select the Sub-Account where the accepted RECs are to be deposited.



6. Click the Accept button to confirm the location where the RECs will be deposited.



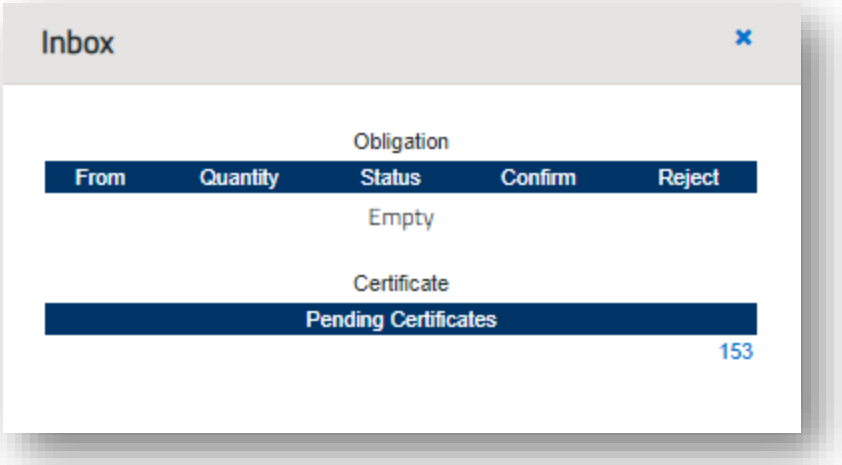
7. Transferor and Transferee will be notified via email of the confirmed REC Transfer.

D. Reject Certificate Transfer

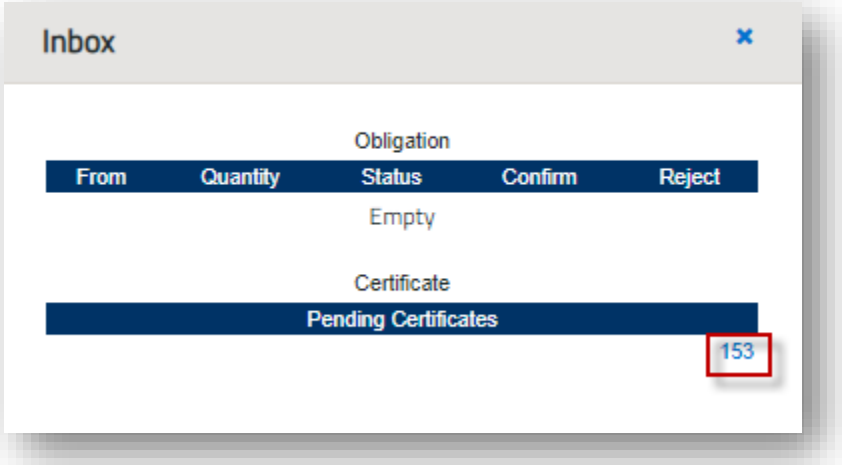
Once a REC transfer is initiated by the Transferor, the Transferee reviews the **Inbox** module to accept or reject the new REC Transfer requests.

To reject a REC Transfer, the Transferee takes the following steps:

1. In the Account Dashboard, locate the **Inbox** module.



2. Under the **Inbox** module, click the quantity hyperlink under Pending Certificates.



3. Select the checkbox(es) under the Select All column and click the 'Reject' button to reject the selected REC transfer(s) or click on the 'Reject All' button to reject all REC Transfers in the Inbox.

NEPOOL
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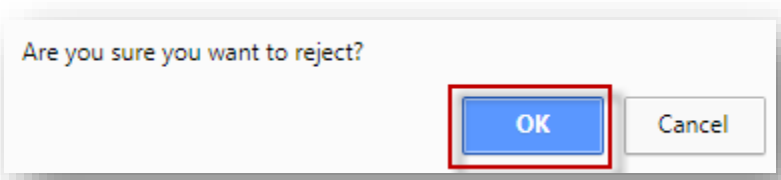
Total Selected Quantity: Confirm Reject Confirm All Reject All

Select All	Status	Transferor	Quantity	Price	Notes	Unit ID	Generator Plant-Unit Name	Fuel Type	Vintage Year/Month	Certificate Serial Numbers	CT Class I	CT Class I FERC	CT LREC	CT Class II	CT Class III	CT CEO
	Pending	GIS Test Account	15	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/9	2587123 - 1 to 15	No	No	No	No	No	No
	Pending	GIS Test Account	25	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/7	2580010 - 1 to 25	No	No	No	No	No	No
	Pending	GIS Test Account	20	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/8	2573500 - 1 to 20	No	No	No	No	No	No
	Pending	GIS Test Account	23	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/5	2289144 - 1 to 23	No	No	No	No	No	No
	Pending	GIS Test Account	17	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/4	2251598 - 1 to 17	No	No	No	No	No	No
	Pending	GIS Test Account	21	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/6	2268271 - 1 to 21	No	No	No	No	No	No
	Pending	GIS Test Account	8	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/1	1988635 - 1 to 8	No	No	No	No	No	No
	Pending	GIS Test Account	14	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/3	1988128 - 1 to 14	No	No	No	No	No	No
	Pending	GIS Test Account	10	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/2	1961043 - 1 to 10	No	No	No	No	No	No

4. Click the ‘OK’ button to confirm the selection.

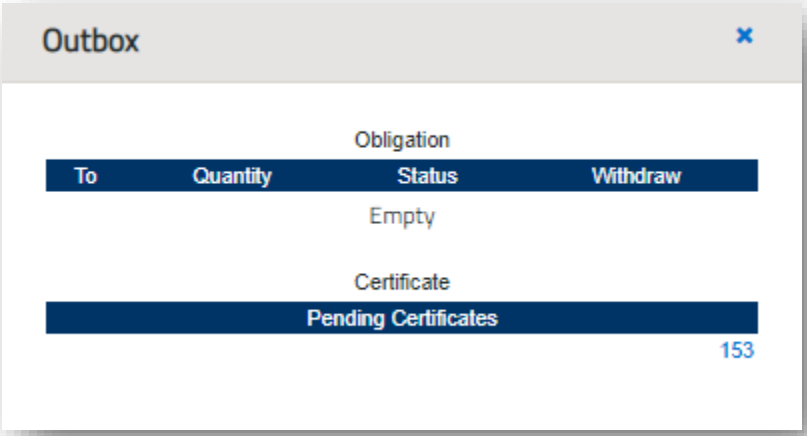


5. The rejected RECs will be returned to the Transferor’s GIS account. The Transferor and Transferee will be notified via email of the rejected REC Transfer.

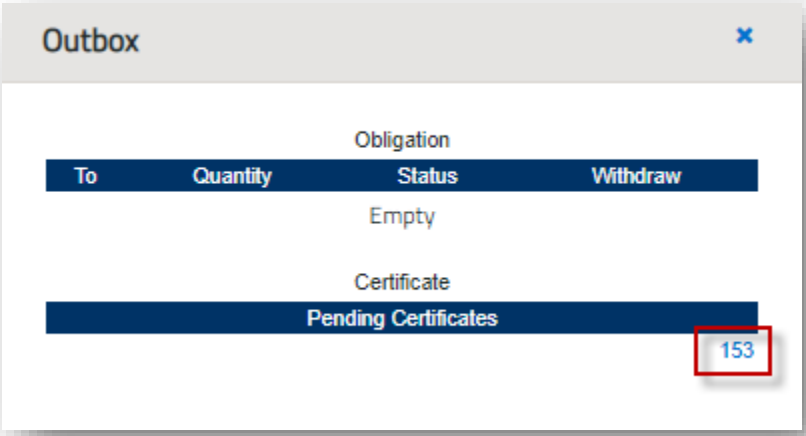
E. Withdraw Certificate Transfer

Once a REC transfer is initiated by the Transferor, the Transferor can withdraw the transferred RECs only if the RECs are still in 'Pending' status. Below are the steps to withdraw a REC transfer.

1. In the Account Dashboard, locate the **Outbox** module.



2. Under the **Outbox** module, click the quantity hyperlink under Pending Certificates.



3. Select the checkbox(es) under the Select All column and click the 'Withdraw' button to withdraw the selected REC transfer(s) or click on the 'Withdraw All' button to withdraw all REC Transfers in the Outbox.

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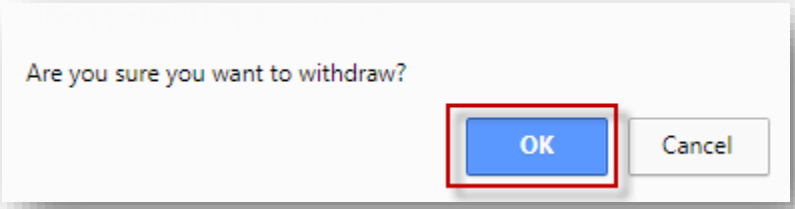
Generation Information System

Report

Total Selected Quantity: Withdraw Withdraw All

Select All	Status	Transferee	Quantity	Price	Notes	Unit ID	Generator Plant-Unit Name	Fuel Type	Vintage Year/Month	Certificate Serial Numbers	CT Class I	CT Class I FERC	CT LREC	CT Class II	CT Class III	CT CEO
	Pending	Test Account II	15	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/9	2587123 - 1 to 15	No	No	No	No	No	No
	Pending	Test Account II	25	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/7	2580010 - 1 to 25	No	No	No	No	No	No
	Pending	Test Account II	20	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/8	2573500 - 1 to 20	No	No	No	No	No	No
	Pending	Test Account II	23	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/5	2289144 - 1 to 23	No	No	No	No	No	No
	Pending	Test Account II	17	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/4	2251598 - 1 to 17	No	No	No	No	No	No
	Pending	Test Account II	21	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/6	2268271 - 1 to 21	No	No	No	No	No	No
	Pending	Test Account II	8	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/1	1988635 - 1 to 8	No	No	No	No	No	No
	Pending	Test Account II	14	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/3	1988128 - 1 to 14	No	No	No	No	No	No
	Pending	Test Account II	10	1.99	GIS Test Rec Transfe...	NON34050	GIS Test - GIS Test	Solar Photovoltaic	2018/2	1961043 - 1 to 10	No	No	No	No	No	No

4. Click the 'OK' button to confirm the selection.



5. The withdrawn RECs will be returned to the Transferor's GIS account. The Transferor and Transferee will be notified via email of the withdrawn REC Transfer.

NEPOOL GIS Retirement

This section outlines the steps for how to retire Certificates in NEPOOL GIS (GIS) and focuses on the following areas:

- Retire Certificates for RPS Compliance
- Retire Certificates for General Purposes

A. Retire Certificates for RPS Compliance

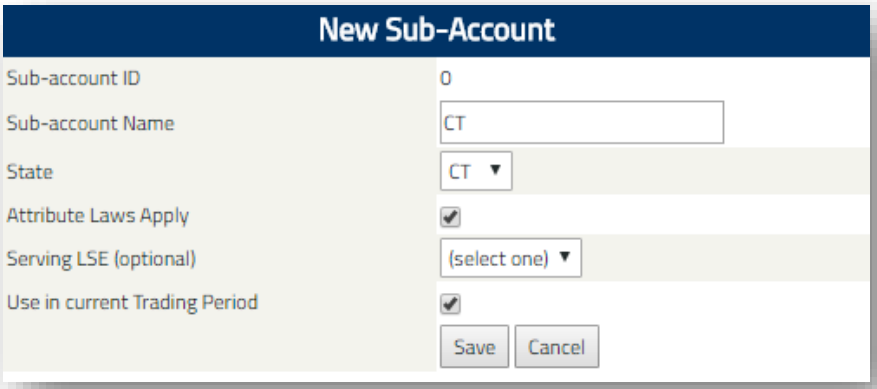
Users may transfer Certificates in and out of a Retail Sub-Account at any time during an active trading period. Certificates will permanently retire in the Sub Account at the end of an active trading period. Below is the process to retire Certificates for RPS Compliance.

Create a Compliance Sub-Account

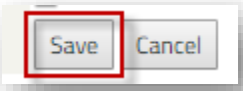
To create a new Compliance Sub-Account, please take the following steps:

1. In the Account Dashboard, locate the **Account Status** module.
2. Under the **Account Status** module, click on the 'Create New Subaccount' hyperlink.

3. In the New Sub-Account page, enter data into the new Sub-Account fields.



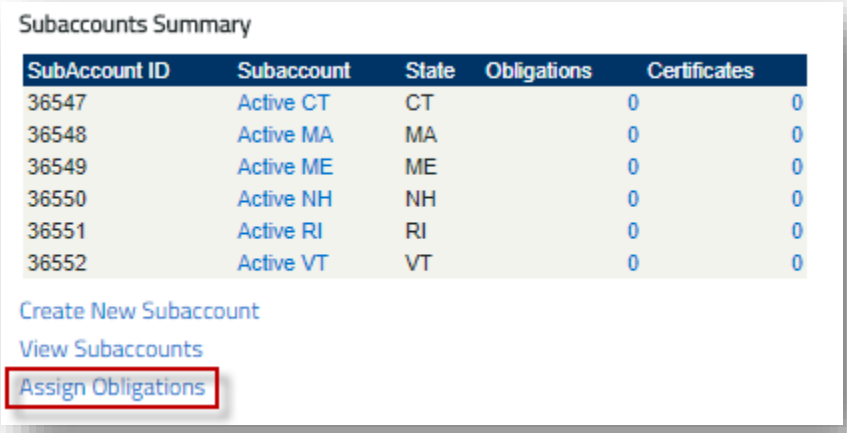
4. Click on the 'Save' button to create new Sub-Account.



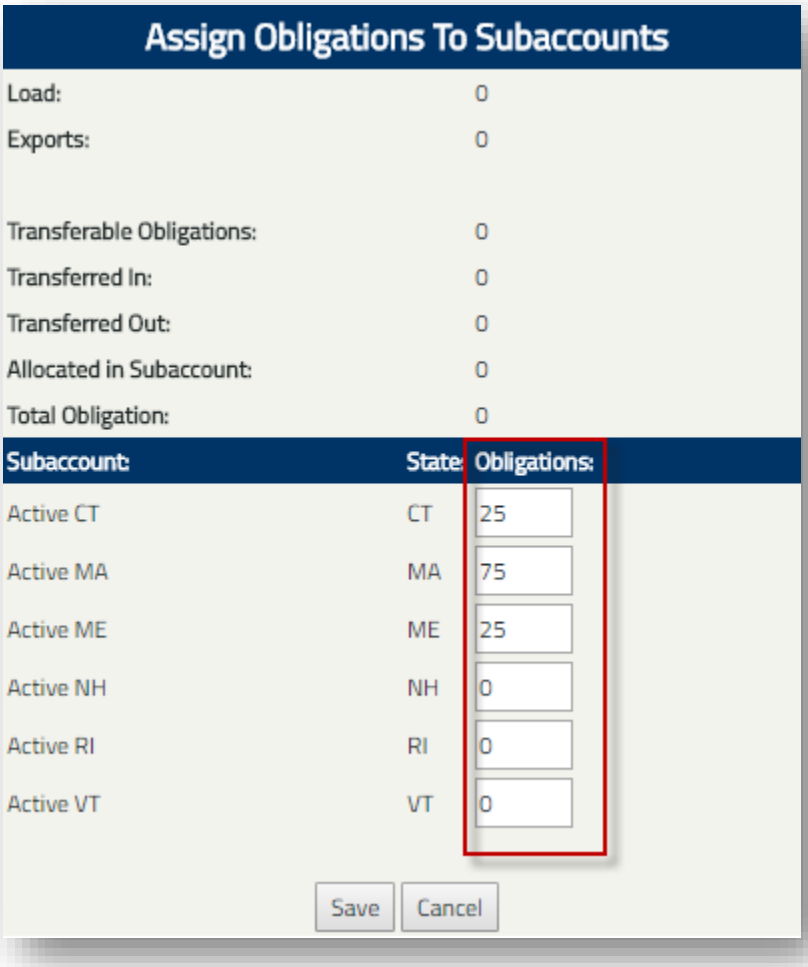
Assign Load Obligation

To assign Load Obligation, please take the following steps:

1. In the Account Dashboard, locate the **Account Status** module.
2. Under the **Account Status** module, click on the 'Assign Obligations' hyperlink.

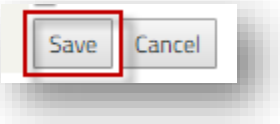


3. In the Assign Obligations to Subaccounts page, enter the Obligation amount for each Subaccount.



Note: The Obligation assignment must equal the Total Obligation amount.

4. Click the 'Save' button to complete Load Obligation assignments.

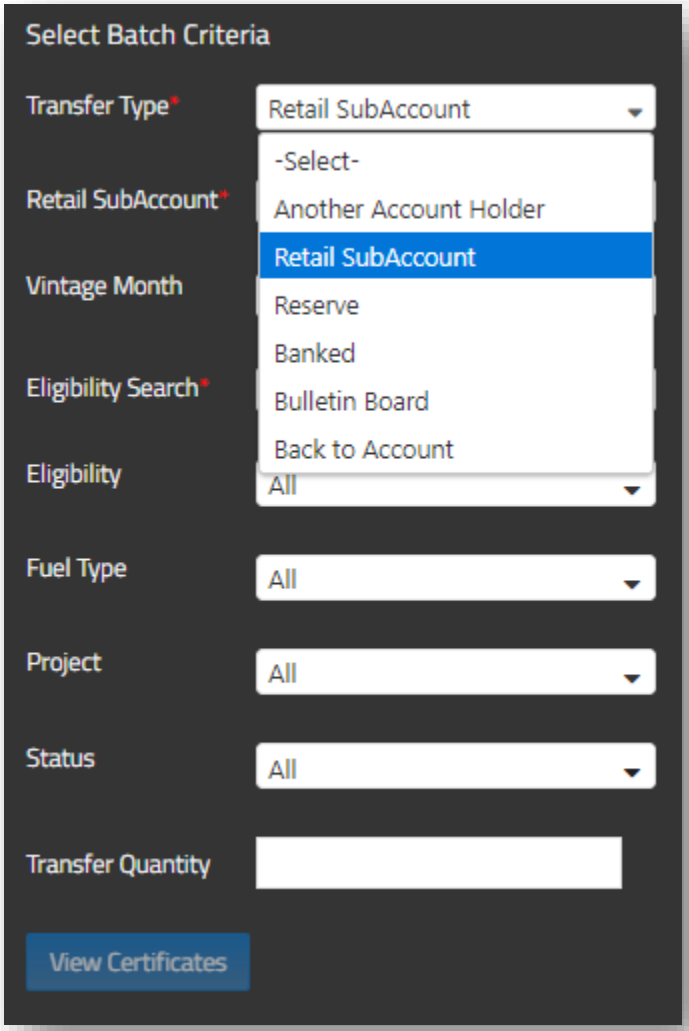


Transfer Certificates to a Retail Sub-Account for Compliance Purposes

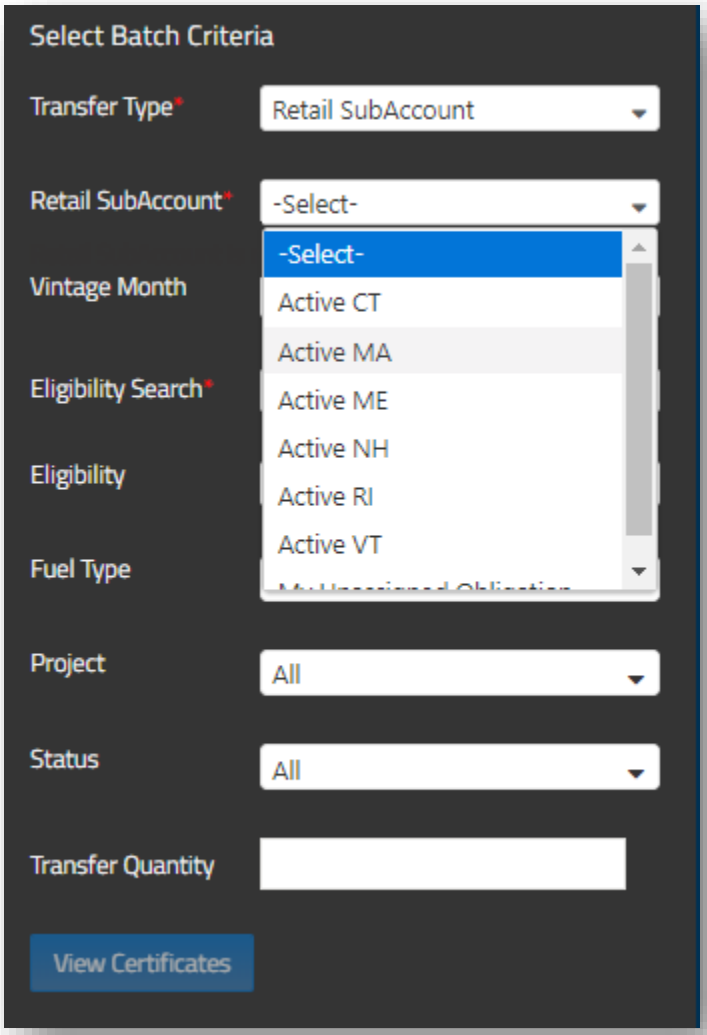
Users may transfer Certificates in and out of a Retail Sub-Account at any time during an active trading period. Certificates will permanently retire in the Sub Account at the end of an active trading period.
To initiate transfer of GIS Certificates to a Retail Sub-Account for compliance retirements, the User takes the following steps:

1. Log in to NEPOOL GIS.
2. In the Account Dashboard, User clicks on the **Transfer** option from the menu bar as shown below:

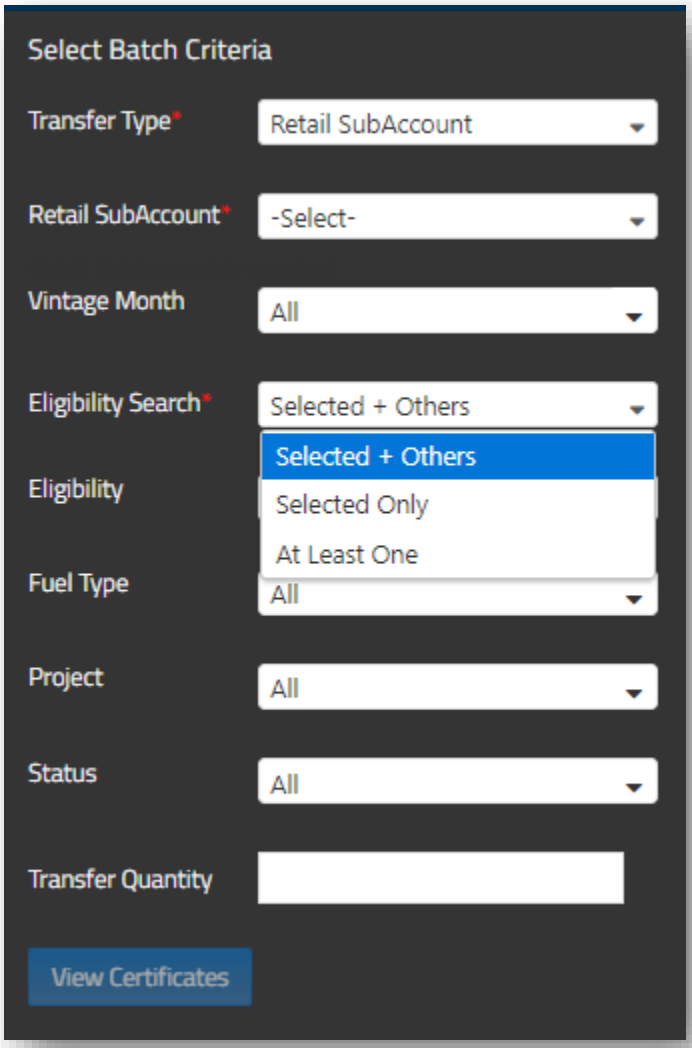
3. In the Select Batch Criteria section on the left pane, User selects Retail SubAccount under the Transfer Type drop-down.



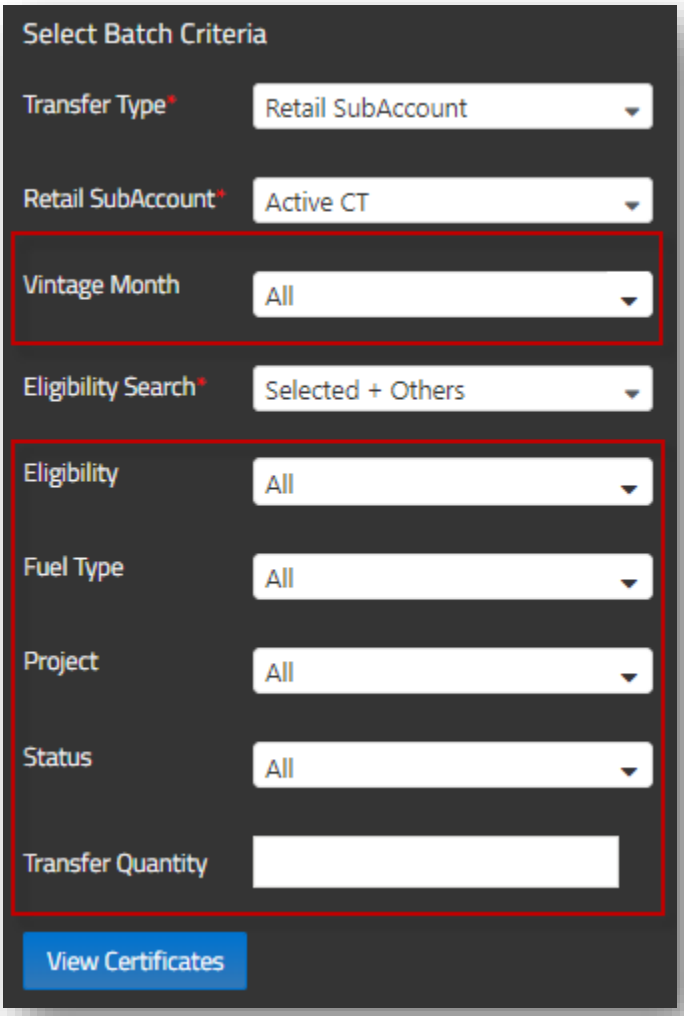
4. Under the Retail SubAccount drop-down in the Select Batch Criteria section, User selects the Retail SubAccount where the RECs will be retired.



5. Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
    a. **Selected + Others** – Searches for certificate holdings that have all the selected and zero or more other eligibilities.
    b. **Selected Only** – Searches for certificate holdings that have only the selected eligibilities.
    c. **At Least One** – Searches for certificate holding that have at least one selected eligibility and zero or more other eligibilities

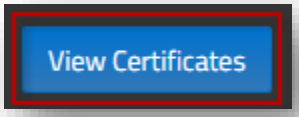


6. Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.

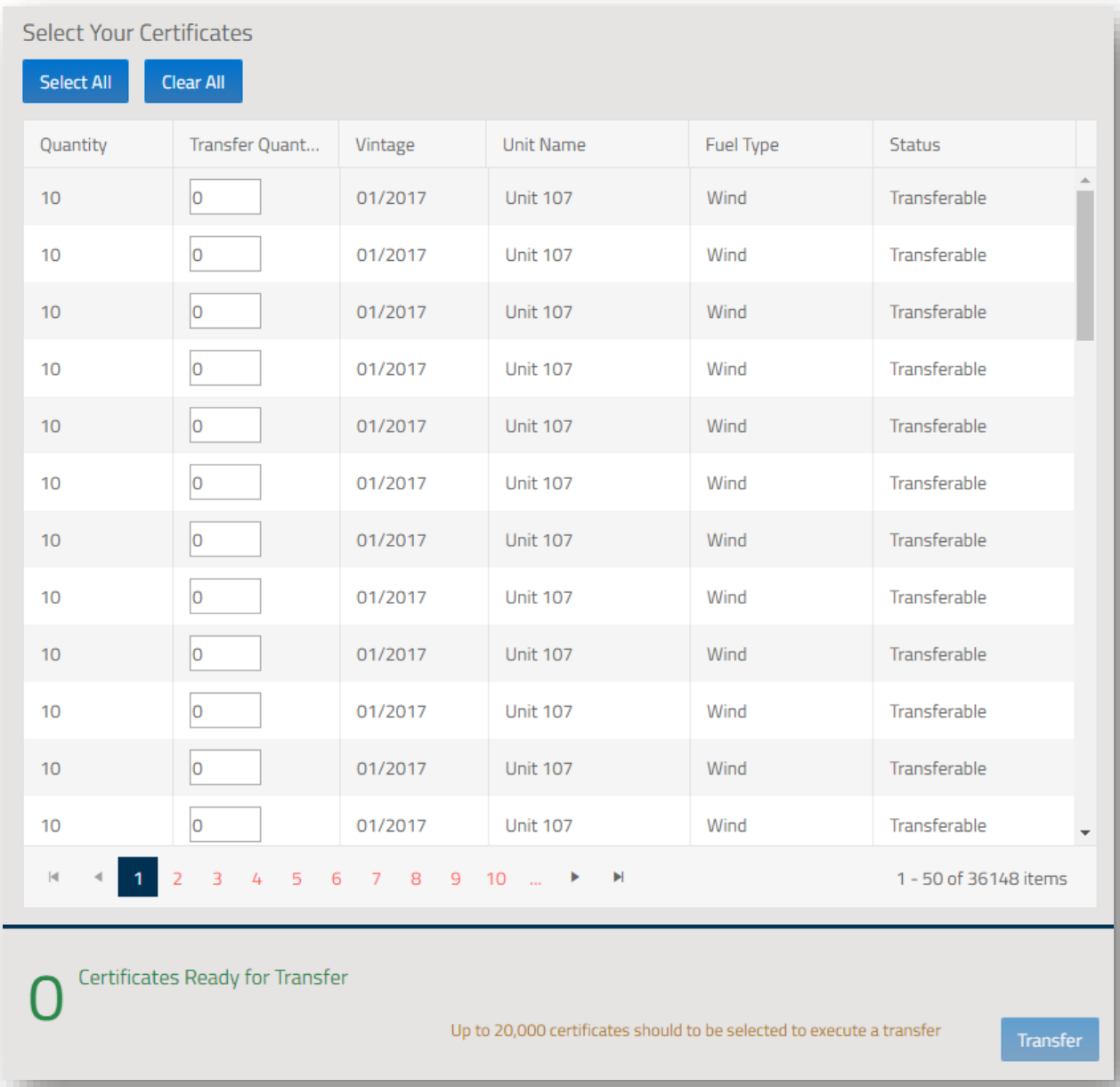


Note: In the Transfer Quantity field of the selection criteria, User can enter the total number of RECs to transfer without having to manually select the batch(es) in the right pane.

7. Once all the options are selected, User clicks on the 'View Certificates' button to populate the requested data on the right pane.

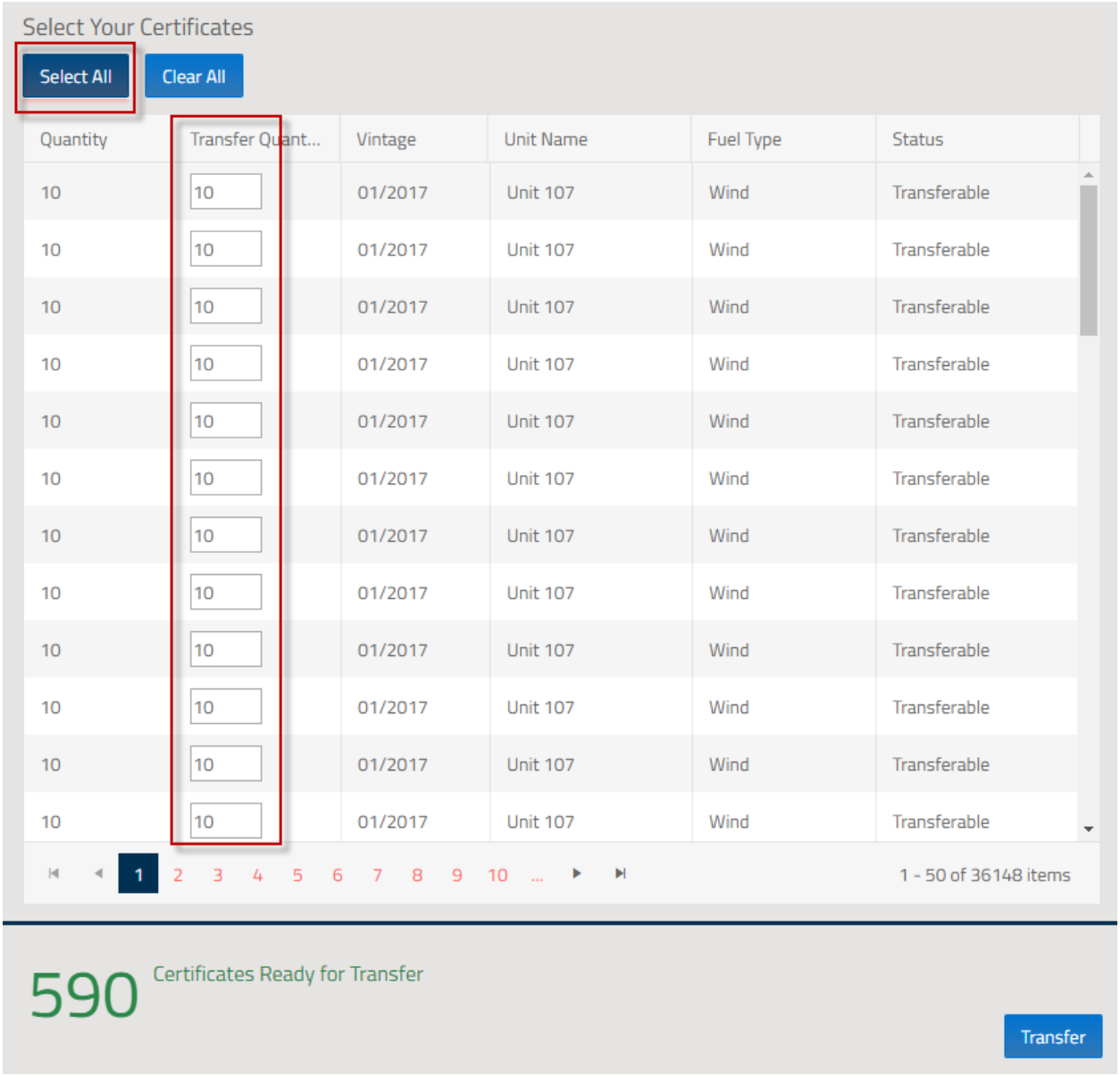


8. After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.



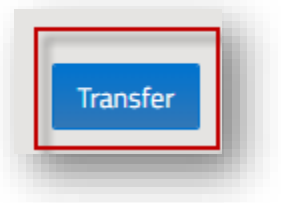
Note: If Transfer Quantity was entered in the selection criteria, the Transfer Quantity column displays selected REC quantities for batches up to the quantity entered.

9. In the Select Your Certificates section on the right pane, User either clicks 'Select All' button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.

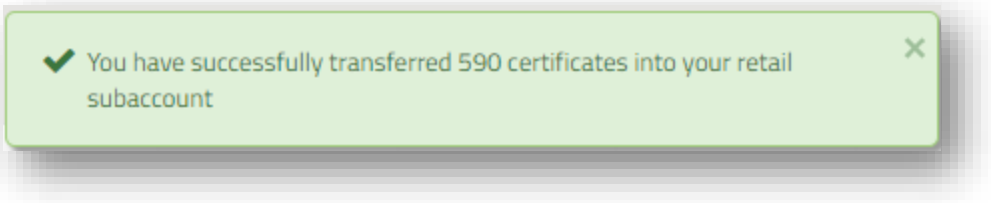


Note: Clicking the 'Select All' or 'Clear All' buttons only impacts the REC batches on the current page. User can select or clear additional batches from multiple pages on the right pane.

10. User clicks the 'Transfer' button to execute Certificate transfer to the Retail SubAccount.



11. A pop-up box will display to confirm that the RECs have been successfully transferred to the Retail SubAccount.



Note: Users may transfer Certificates in and out of a Retail Sub-Account at any time during an active trading period. Certificates will permanently retire in the Sub Account at the end of an active trading period.

B. Retire Certificates for General Purposes

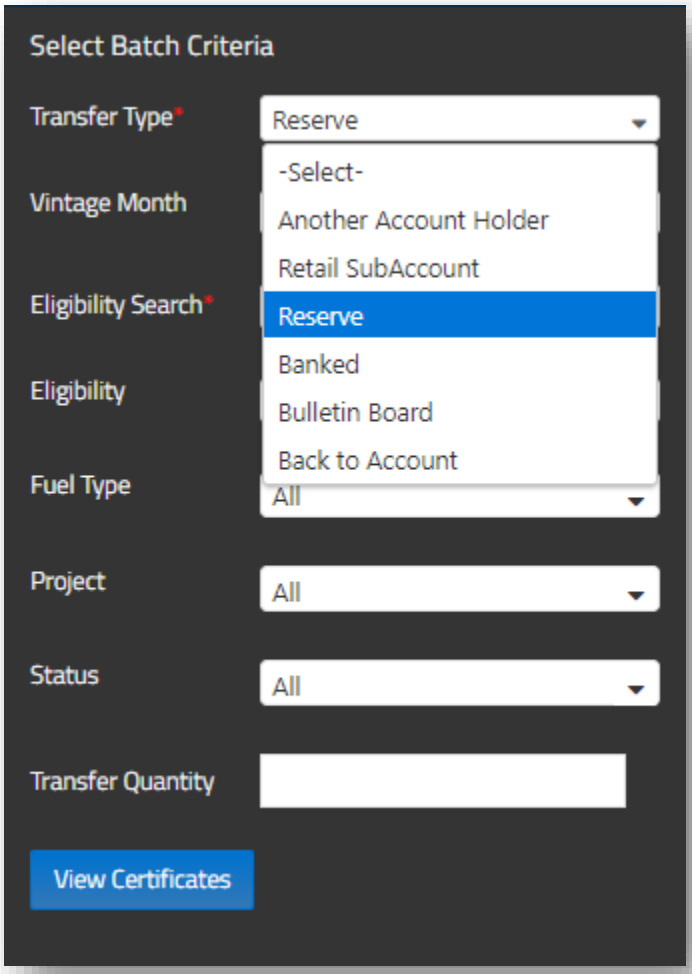
In GIS, the Reserve Sub-Account is used to retire Certificates for General or Voluntary purposes. Certificates can be "Reserved" representing transactions of Certificates with Third Parties, unrelated to NEPOOL, or for a company's own personal reason. A transaction of this type represents the ability for a GIS User to transact a NEPOOL GIS Certificate outside of the GIS system.

Users may transfer Certificates in and out of a Reserve Sub-Account at any time during an active trading period. **Certificates will permanently retire in the Reserve Sub-Account at the end of an active trading period.**

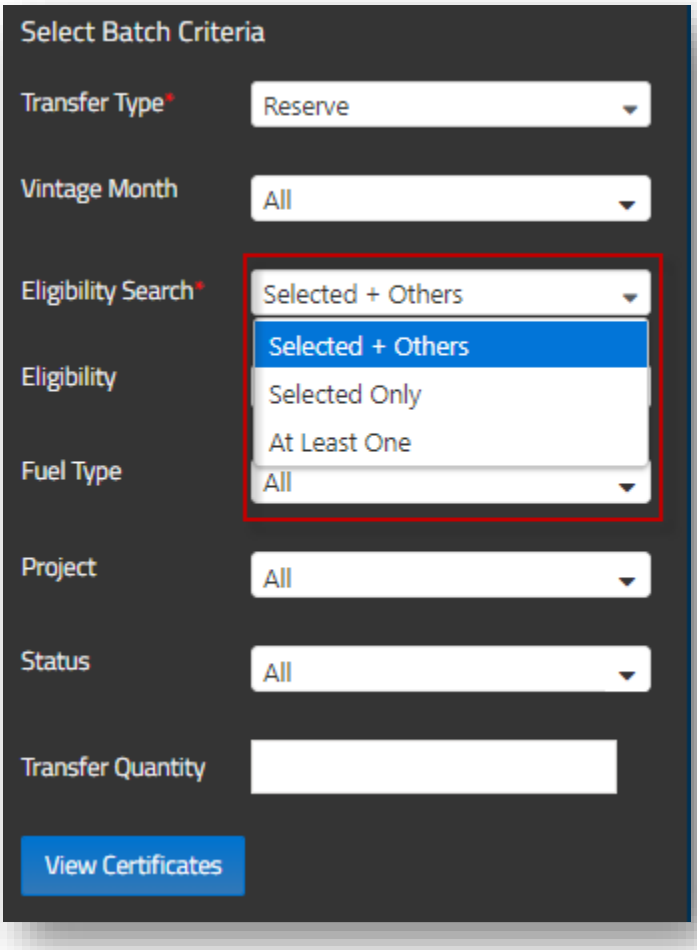
To initiate transfer of GIS Certificates to a Reserve Sub-Account, the User takes the following steps:

1. Log in to NEPOOL GIS.
2. In the Account Dashboard, User clicks on the **Transfer** option from the menu bar as shown below:

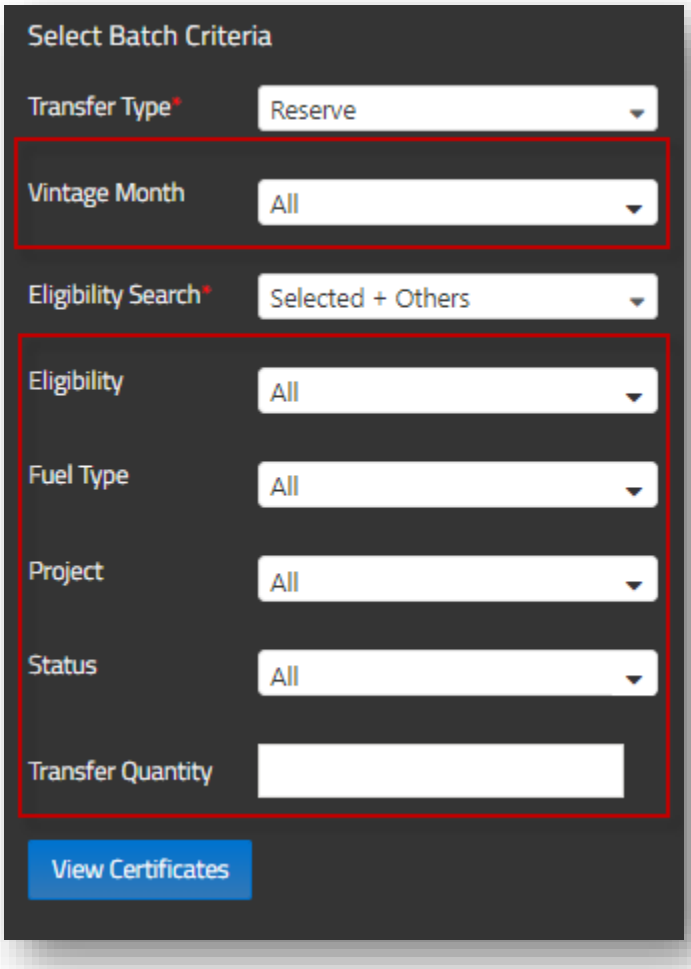
3. In the Select Batch Criteria section on the left pane, User selects Reserve Sub-Account under the Transfer Type drop-down.



4. Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
    a. **Selected + Others** – Searches for certificate holdings that have all the selected and zero or more other eligibilities.
    b. **Selected Only** – Searches for certificate holdings that have only the selected eligibilities.
    c. **At Least One** – Searches for certificate holding that have at least one selected eligibility and zero or more other eligibilities

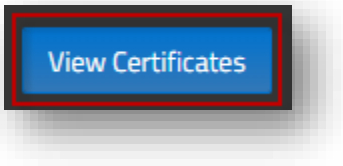


5. Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.

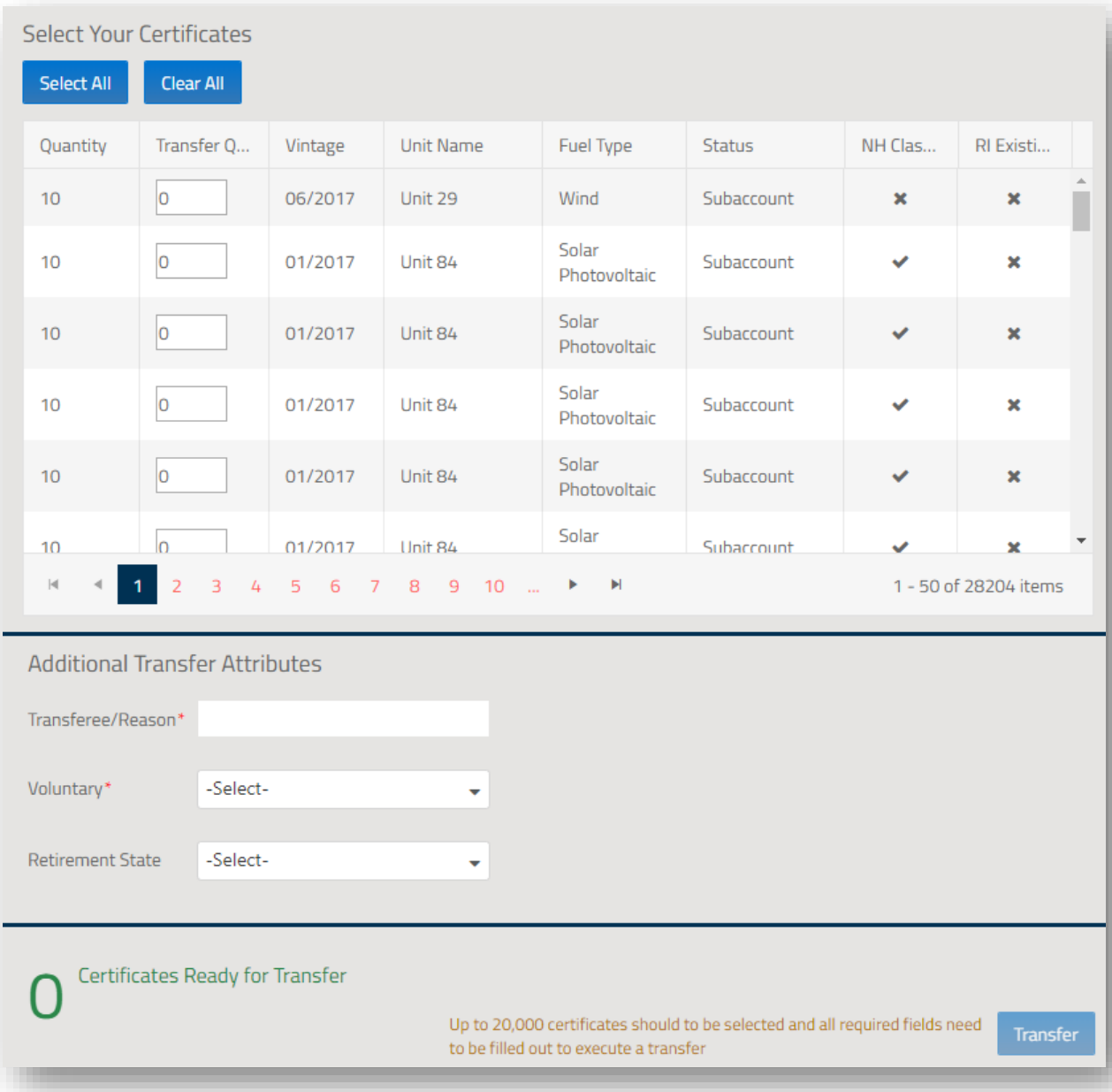


Note: In the Transfer Quantity field of the selection criteria, User can enter the total number of RECs to transfer without having to manually select the batch(es) in the right pane.

6. Once all the options are selected, User clicks on the 'View Certificates' button to populate the requested data on the right pane.

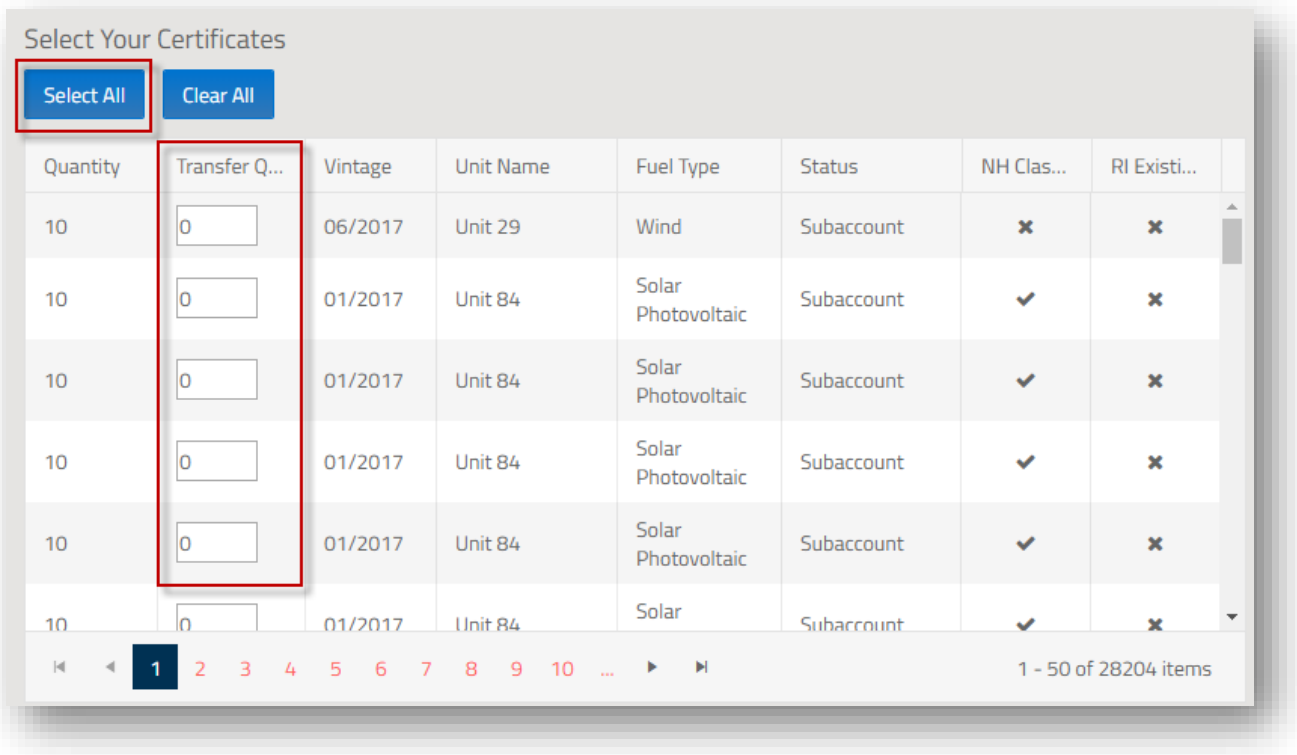


7. After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.



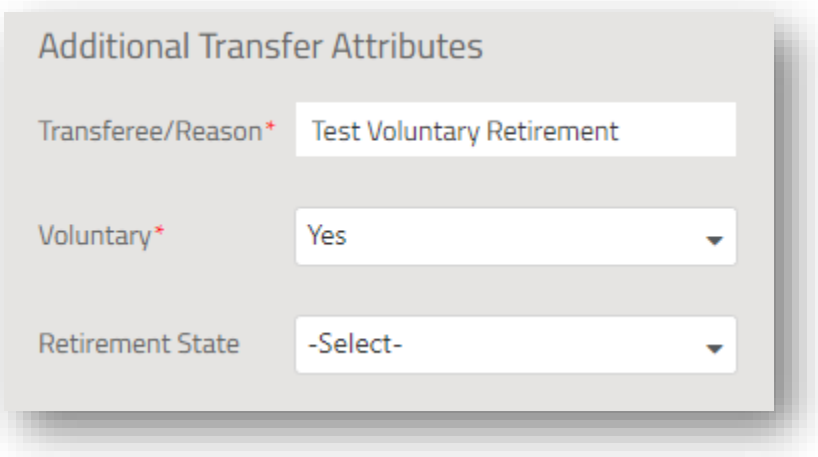
Note: If Transfer Quantity was entered in the selection criteria, the Transfer Quantity column displays selected REC quantities for batches up to the quantity entered.

8. In the Select Your Certificates section on the right pane, User either clicks ‘Select All’ button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.

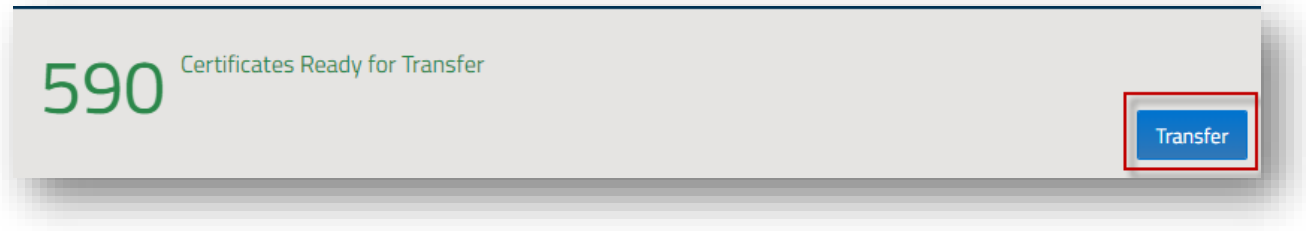


Note: Clicking the 'Select All' or 'Clear All' buttons only impacts the REC batches on the current page. User can select or clear additional batches from multiple pages on the right pane.

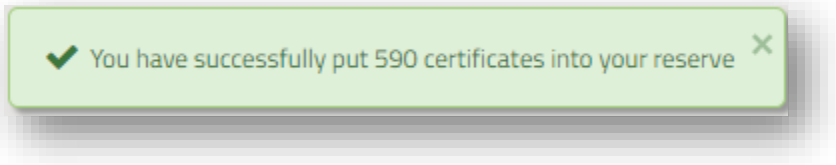
9. In the Additional Transfer Attributes section, enter data in the available fields:
    a. Transferee/Reason – Reason for retirement
    b. Voluntary – Yes or No
    c. Retirement State (Optional)



10. User clicks the ‘Transfer’ button to execute Certificate transfer to the Reserve Sub-Account.



11. A pop-up box will display to confirm that the RECs have been successfully transferred to the Reserve Sub-Account.



NEPOOL GIS Forward Certificate Transfers

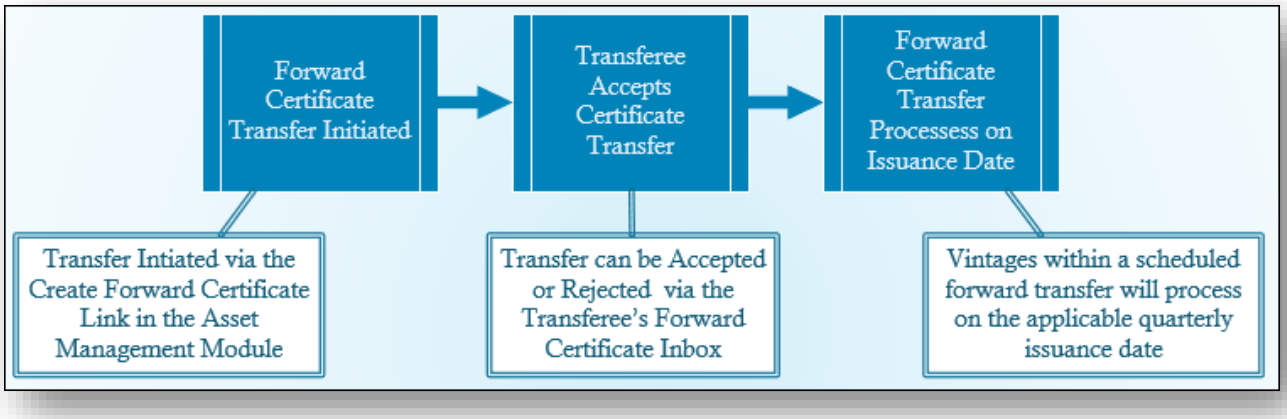
Once GIS projects are approved, Users can set-up Forward Certificate Transfers to automatically transfer issued RECs from their project(s) to their counterparty's GIS account when a Trading Period is opened.

This section outlines the requirements and steps for how to establish and manage Forward Certificates Transfers in NEPOOL GIS (GIS) and focuses on the following areas:

- Forward Certificate Transfer Process
- Description of the Forward Certificate Transfer fields
- Create a New Forward Certificate Transfer
- Approve/Reject a Forward Certificate Transfer Request
- Check the Status of a Forward Certificate Transfer
- Modify an existing Forward Certificate Transfer

A. Forward Certificate Transfer Process

Below is the process flow of the Forward Certificate Transfer process:



B. Description of the Forward Certificate Transfer Fields

Below is the description of each of field in the Forward Certificate Transfer page:

Forward Certificate Name/Alias: Transferor assigned name for the scheduled forward certificate transfer viewable by both the transferee and transferor.

Receiving Account Holder: The account in which the certificates will be deposited, the transferee.

Begin Vintage: The first generation month and year to be transferred to the transferee.

End Vintage: The last generation month and year to be transferred to the transferee.

Priority: Each forward certificate transfers name can be assigned a priority, with “1” having top priority over all subsequent forward certificate transfers. In the event a forward certificate transfer with a higher priority transfers the full set of available certificates, any lower priority forward transfers will fail. By default the system applies a “0” priority, meaning no priority.

All or Nothing: Requires the full quantity of certificates to be available for transfer if the Monthly Fixed Amount method is used or forward certificate will fail. Example: 100 certificates entered into the Monthly Fixed Amount field, 95 certificates available for transfer, the forward certificate transfer will fail.

Partial Fill: If the Monthly Fixed Amount method is used and the full quantity of certificates is not available for transfer, the quantity available will be transferred. Example: 100 certificates entered into the Monthly Fixed Amount field, 95 certificates available for transfer, 95 certificates will transfer.

Note/Transferee: Optional description of the forward certificate terms to be entered by the transferor and viewable by both the transferor and transferee.

Show Import Generators/Show My Generators: This button can be used to toggle between viewing the transferor’s approved generators or a list of approved import generators. By default, the transferor’s generators are displayed.

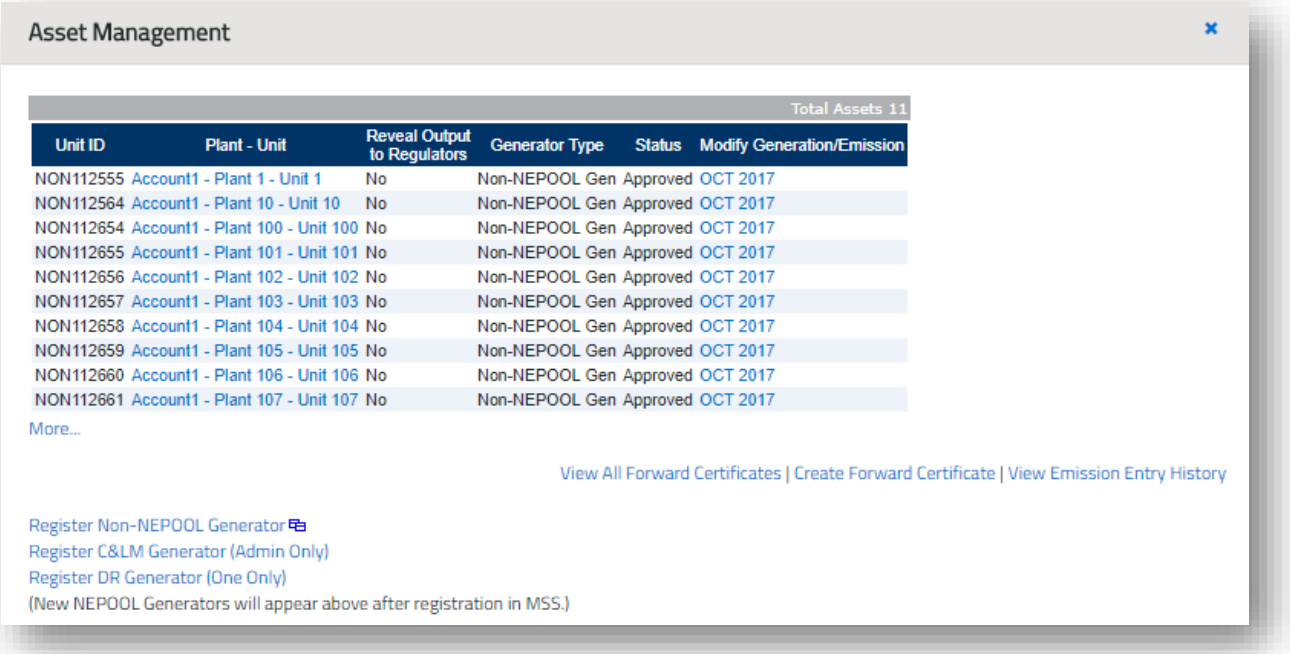
Monthly Percentage: A percentage applied to the monthly certificate output to be transferred.

Monthly Fixed Amount: A fixed monthly whole number value of certificates to be transferred.
Selection of this box will block all capability to rescind, edit or change this Forward certificate: If selected, only the NEPOOL GIS administrator will have the ability to modify the scheduled transfer, contingent on confirmation from both the transferor and transferee.

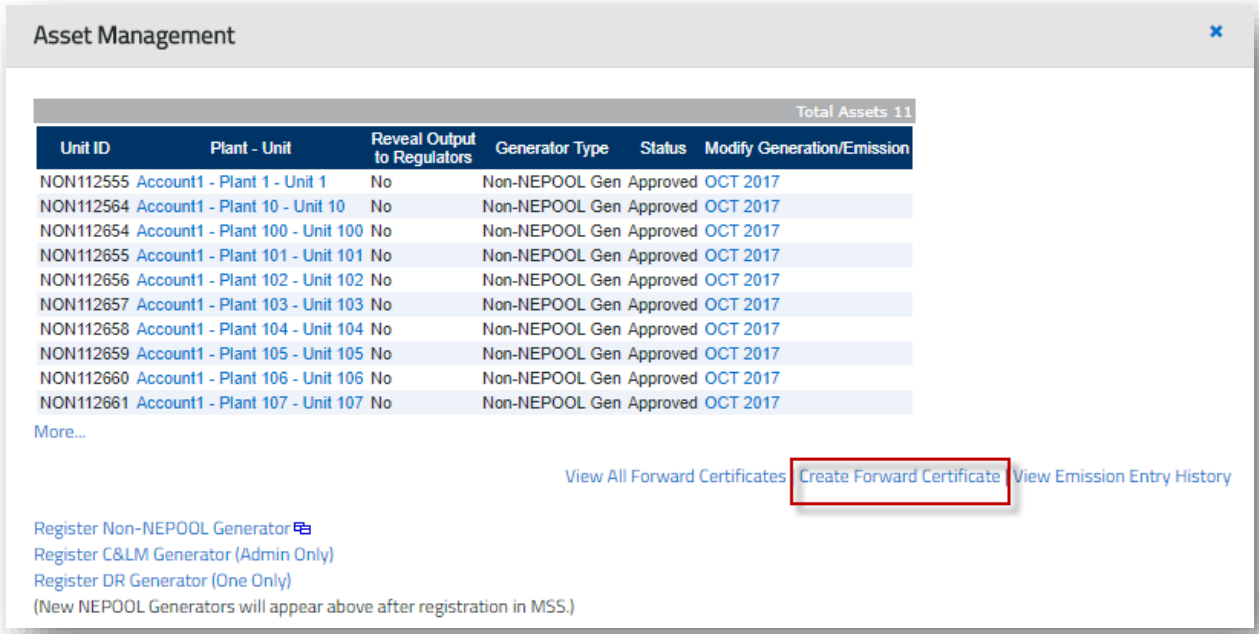
C. Create a New Forward Certificate Transfer

Once projects are approved in GIS, Transferors can create Forward Certificate Transfers by taking the following steps:

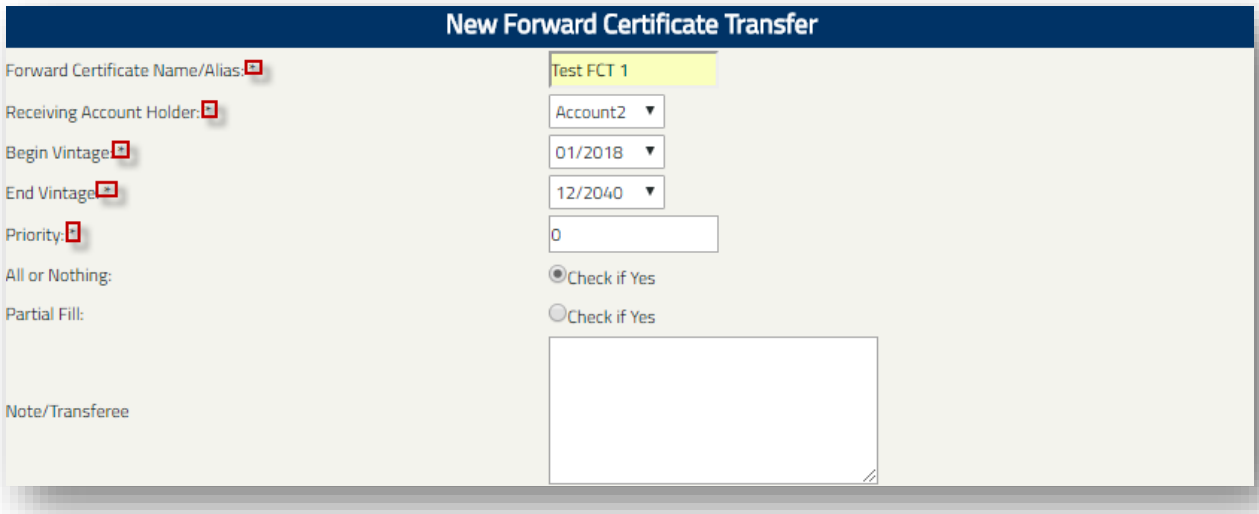
1. In the Account Dashboard, locate the **Asset Management** module.



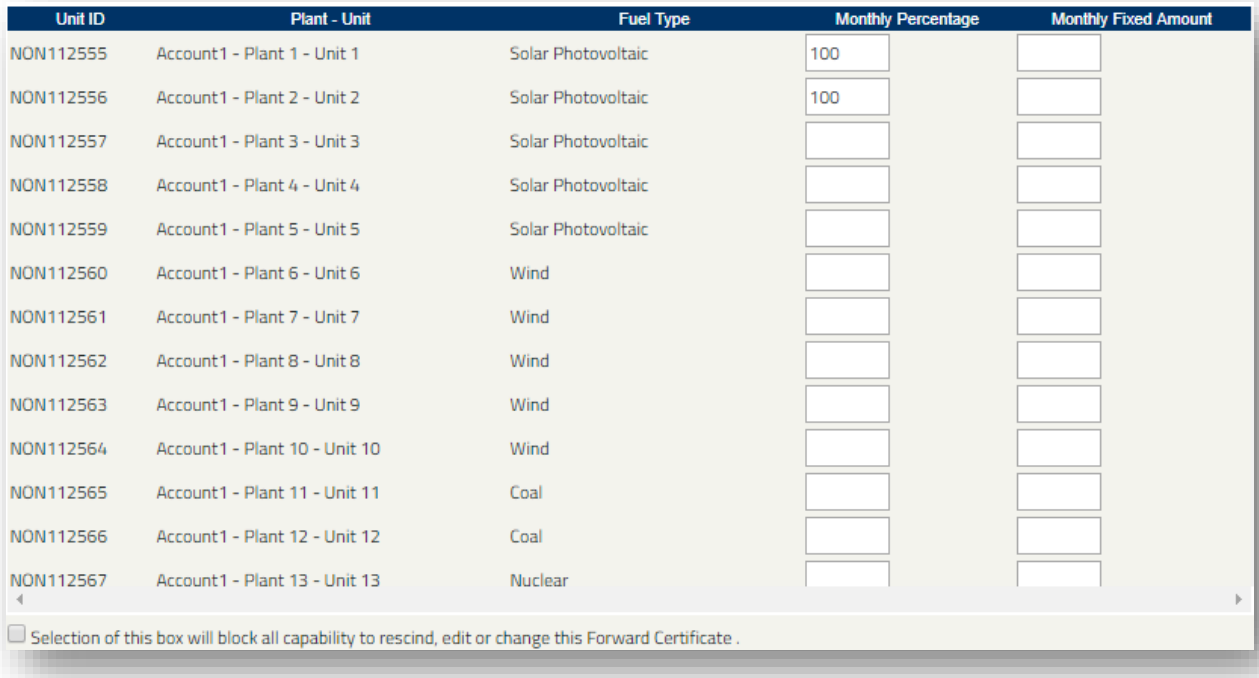
2. Under the **Asset Management** module, click on the 'Create Forward Certificate' hyperlink as pictured below:



3. In the New Forward Certificate Transfer screen, enter data into all required fields on the form denoted with an asterisk.



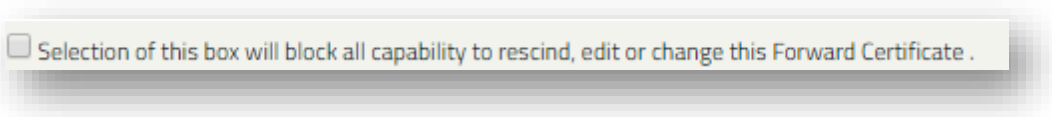
4. Under the Generator's table, enter either the Monthly Percentage of Monthly Fixed Amount for each generator that is part of the Forward Certificate Transfer.



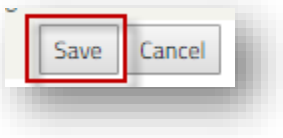
Unit ID	Plant - Unit	Fuel Type	Monthly Percentage	Monthly Fixed Amount
NON112555	Account1 - Plant 1 - Unit 1	Solar Photovoltaic	100	
NON112556	Account1 - Plant 2 - Unit 2	Solar Photovoltaic	100	
NON112557	Account1 - Plant 3 - Unit 3	Solar Photovoltaic		
NON112558	Account1 - Plant 4 - Unit 4	Solar Photovoltaic		
NON112559	Account1 - Plant 5 - Unit 5	Solar Photovoltaic		
NON112560	Account1 - Plant 6 - Unit 6	Wind		
NON112561	Account1 - Plant 7 - Unit 7	Wind		
NON112562	Account1 - Plant 8 - Unit 8	Wind		
NON112563	Account1 - Plant 9 - Unit 9	Wind		
NON112564	Account1 - Plant 10 - Unit 10	Wind		
NON112565	Account1 - Plant 11 - Unit 11	Coal		
NON112566	Account1 - Plant 12 - Unit 12	Coal		
NON112567	Account1 - Plant 13 - Unit 13	Nuclear		

Selection of this box will block all capability to rescind, edit or change this Forward Certificate .

5. For Irrevocable Forward Certificate Transfers, check the checkbox “Selection of this box will block all capacity to rescind, or edit this Forward Certificate.”



6. Click on the ‘Save’ button to create a new Forward Certificate Transfer.



Note: After a new Forward Certificate Transfer is created, the Forward Certificate Transfer will be in a ’Pending’ status until the Transferee accepts/rejects the Forward Certificate Transfer. Both the Transferor and Transferee will receive an email notification regarding the Forward Certificate Transfer.

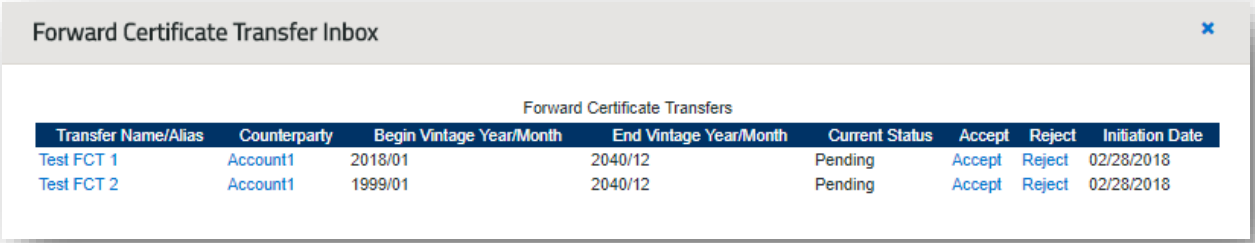
D. Approve/Reject a Forward Certificate Transfer

Once the Forward Certificate transfer is initiated by the Transferor, the Transferee reviews the **Forward Certificate Transfer Inbox** module to review new Forward Certificate Transfer requests.

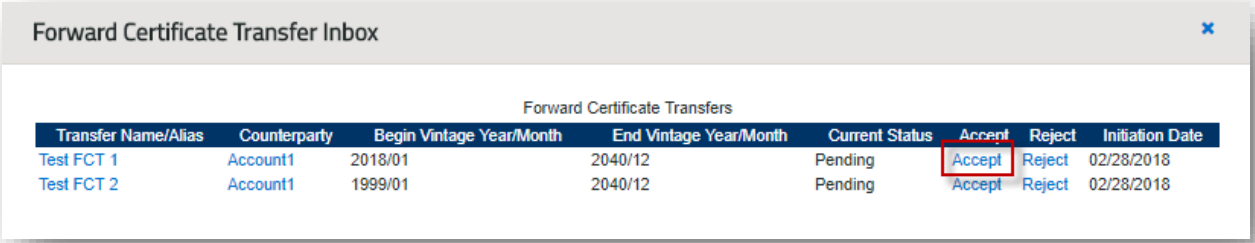
Approve Forward Certificate Transfer

To approve a Forward Certificate Transfer, the Transferee takes the following steps:

1. In the Account Dashboard, locate the **Forward Certificate Transfer Inbox** Module.

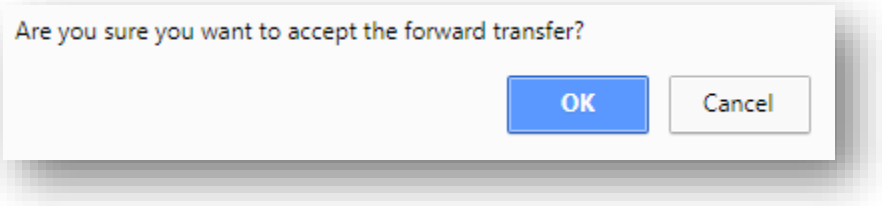


2. Click the Accept hyperlink under the 'Accept' column to effectuate the Forward Certificate Transfer.



Note: Approved Forward Certificate Transfers will process on the appropriate certificate issuance date for the approved vintages. For example, January and February 2018 Forward Certificate Transfers will process on July 15, 2018.

3. Click the 'OK' button to confirm the selection.

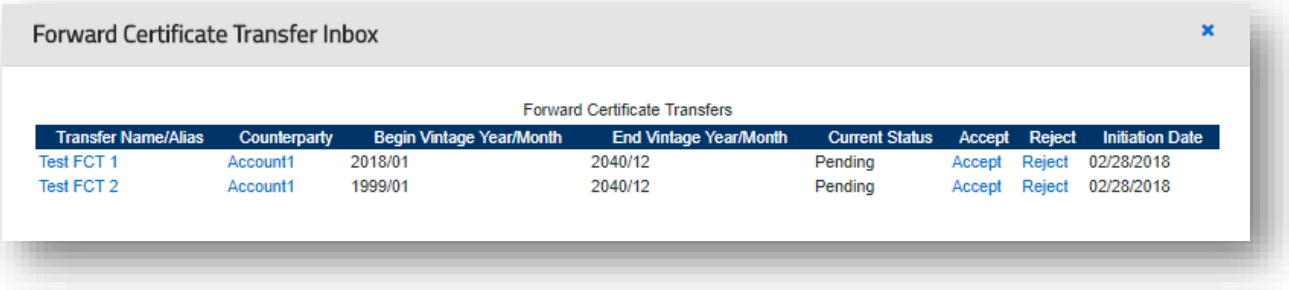


4. Transferor and Transferee will be notified via email of the new status of the Forward Certificate Transfer.

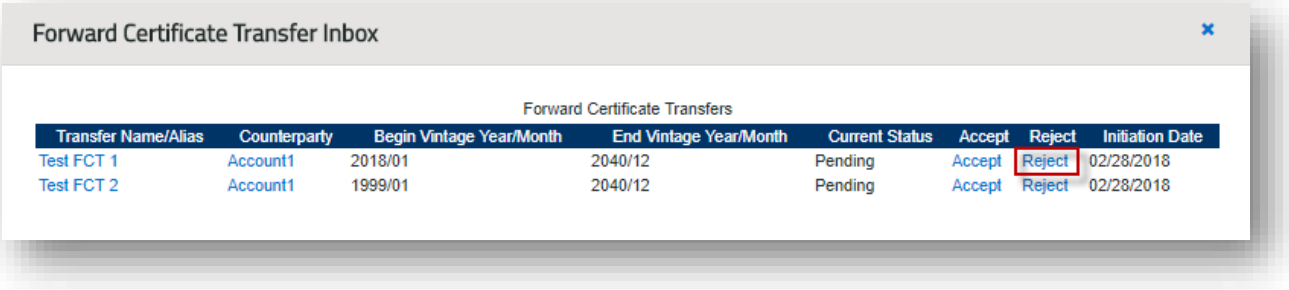
Reject Forward Certificate Transfer

To reject a Forward Certificate Transfer, the Transferee takes the following steps:

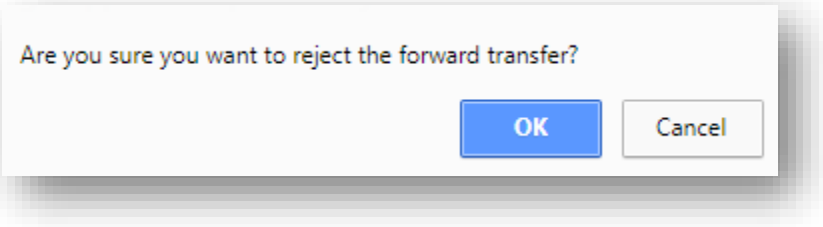
1. In the Account Dashboard, locate the **Forward Certificate Transfer Inbox** Module.



2. Under the Forward Certificate Transfers table, click the Reject hyperlink under the Reject column to decline the Forward Certificate Transfer.



3. Click the ‘OK’ button to confirm the selection.

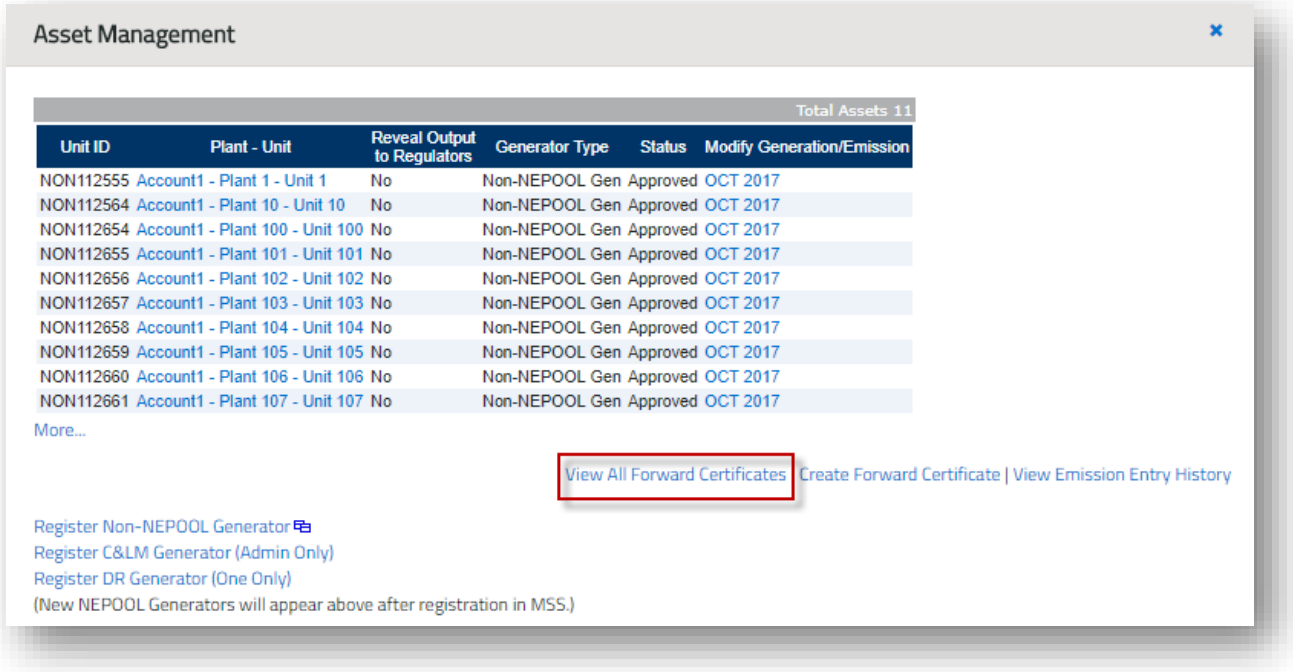


4. Transferor and Transferee will be notified via email of the new status of the Forward Certificate Transfer.

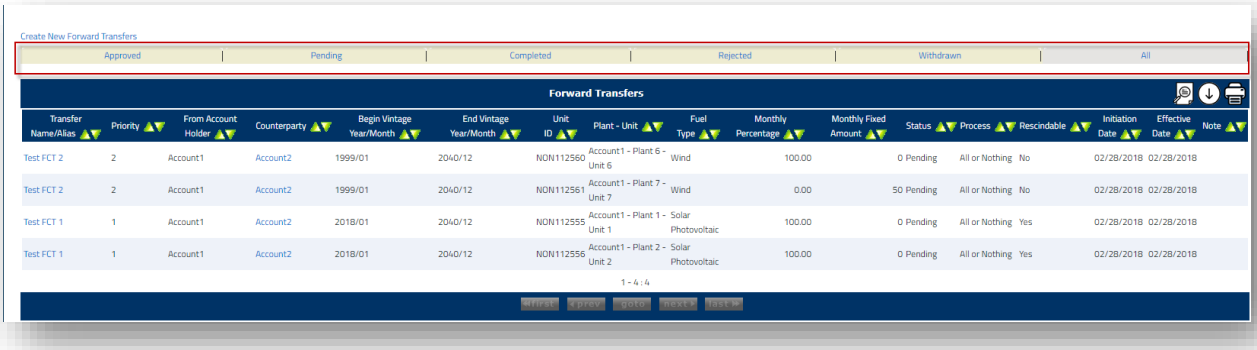
E. Check the Status of a Forward Certificate Transfer

The Transferor can view and check on the status of their Forward Certificate Transfers by taking the following steps:

1. In the Account Dashboard, locate the **Asset Management** Module.
2. Click the hyperlink View All Forward Certificates.



3. Click on a tab at the top of the table to navigate between specific Forward Certificate Transfer statuses.



Create New Forward Transfers

Approved | Pending | Completed | Rejected | Withdrawn | All

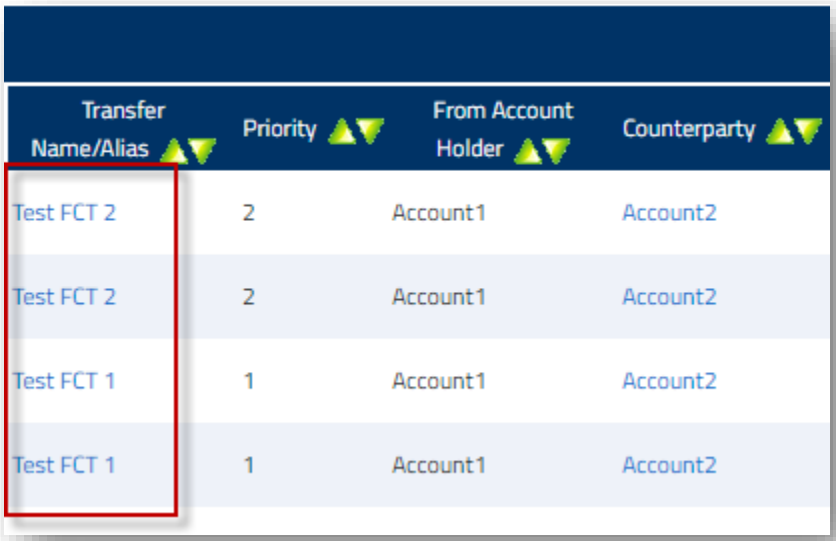
Forward Transfers

Transfer Name/Alias	Priority	From Account Holder	Counterparty	Begin Vintage Year/Month	End Vintage Year/Month	Unit ID	Plant - Unit	Fuel Type	Monthly Percentage	Monthly Fixed Amount	Status	Process	Rescindable	Initiation Date	Effective Date	Note
Test FCT 2	2	Account1	Account2	1999/01	2040/12	NON112560	Account1 - Plant 6 - Unit 6	Wind	100.00	0	Pending	All or Nothing	No	02/28/2018	02/28/2018	
Test FCT 2	2	Account1	Account2	1999/01	2040/12	NON112561	Account1 - Plant 7 - Unit 7	Wind	0.00	50	Pending	All or Nothing	No	02/28/2018	02/28/2018	
Test FCT 1	1	Account1	Account2	2018/01	2040/12	NON112555	Account1 - Plant 1 - Unit 1	Solar Photovoltaic	100.00	0	Pending	All or Nothing	Yes	02/28/2018	02/28/2018	
Test FCT 1	1	Account1	Account2	2018/01	2040/12	NON112556	Account1 - Plant 2 - Unit 2	Solar Photovoltaic	100.00	0	Pending	All or Nothing	Yes	02/28/2018	02/28/2018	

1 - 4 : 4

first prev goto next last

4. View Forward Certificate Transfer information on the Forward Transfers table or click on the hyperlink under the Transfer Name/Alias column to view Forward Certificate Transfer details.



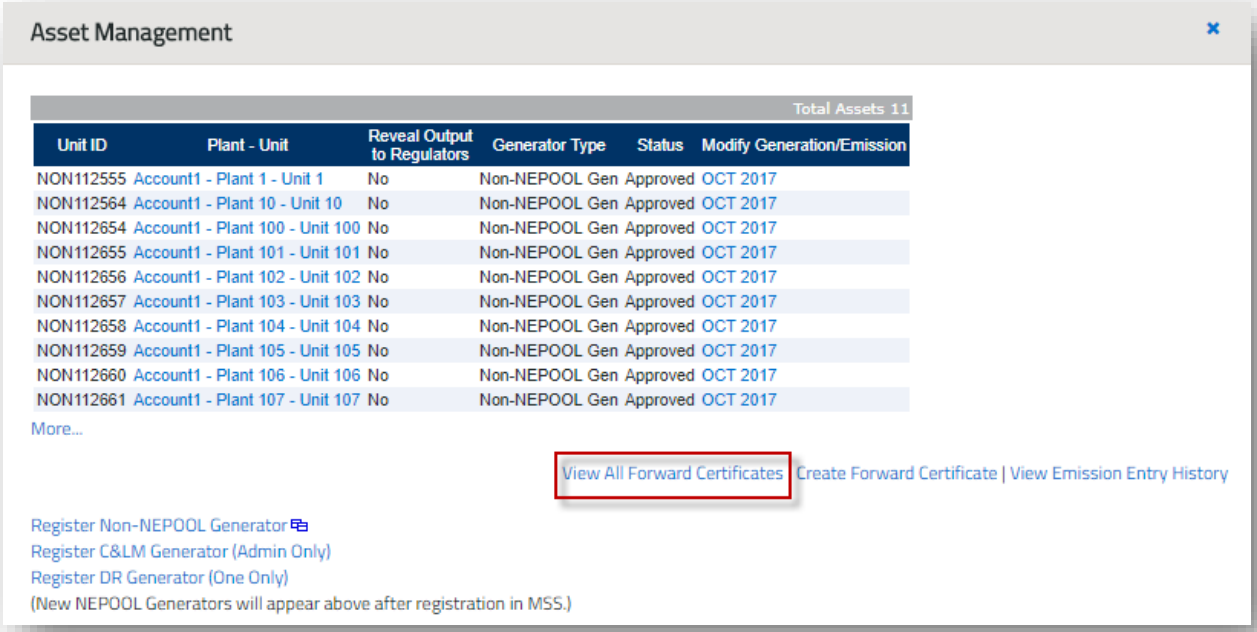
Transfer Name/Alias	Priority	From Account Holder	Counterparty
Test FCT 2	2	Account1	Account2
Test FCT 2	2	Account1	Account2
Test FCT 1	1	Account1	Account2
Test FCT 1	1	Account1	Account2

F. Modify a Forward Certificate Transfer

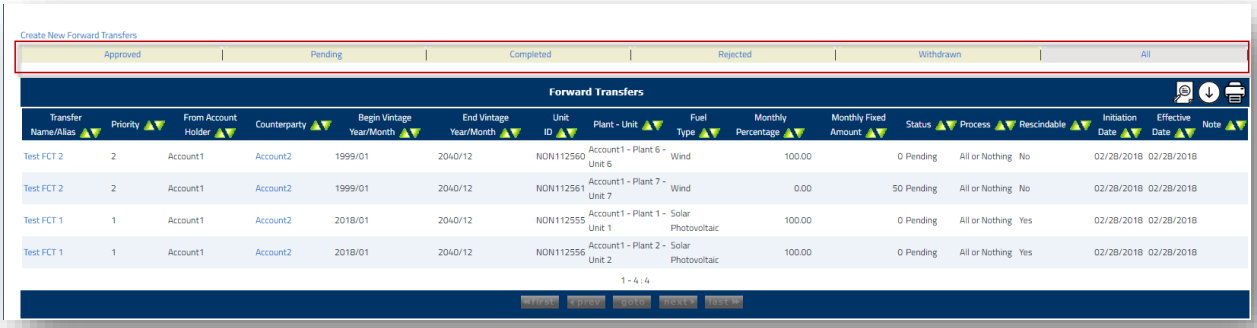
User can modify an existing Forward Certificate Transfer at any time only if the ‘Rescindable’ column is marked ’Yes’. If the 'Rescindable' column is marked 'No', Transferor must receive confirmation from Transferee to update the Forward Certificate Transfer and work with APX GIS Administrator to make the update.

Below are the steps to modify an existing Forward Certificate Transfer:

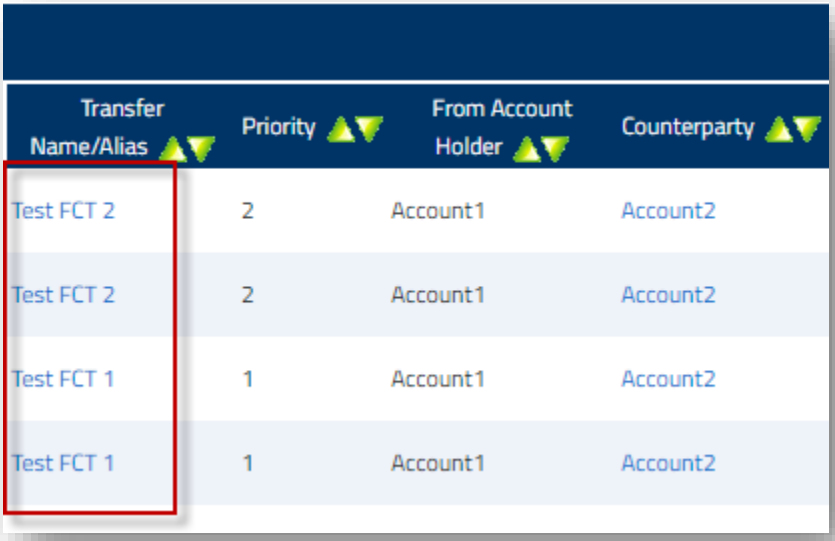
1. In the Account Dashboard, User locates the **Asset Management** Module.
2. Click the hyperlink View All Forward Certificates.



3. Click on a tab at the top of the table to navigate between specific Forward Certificate Transfers statuses.

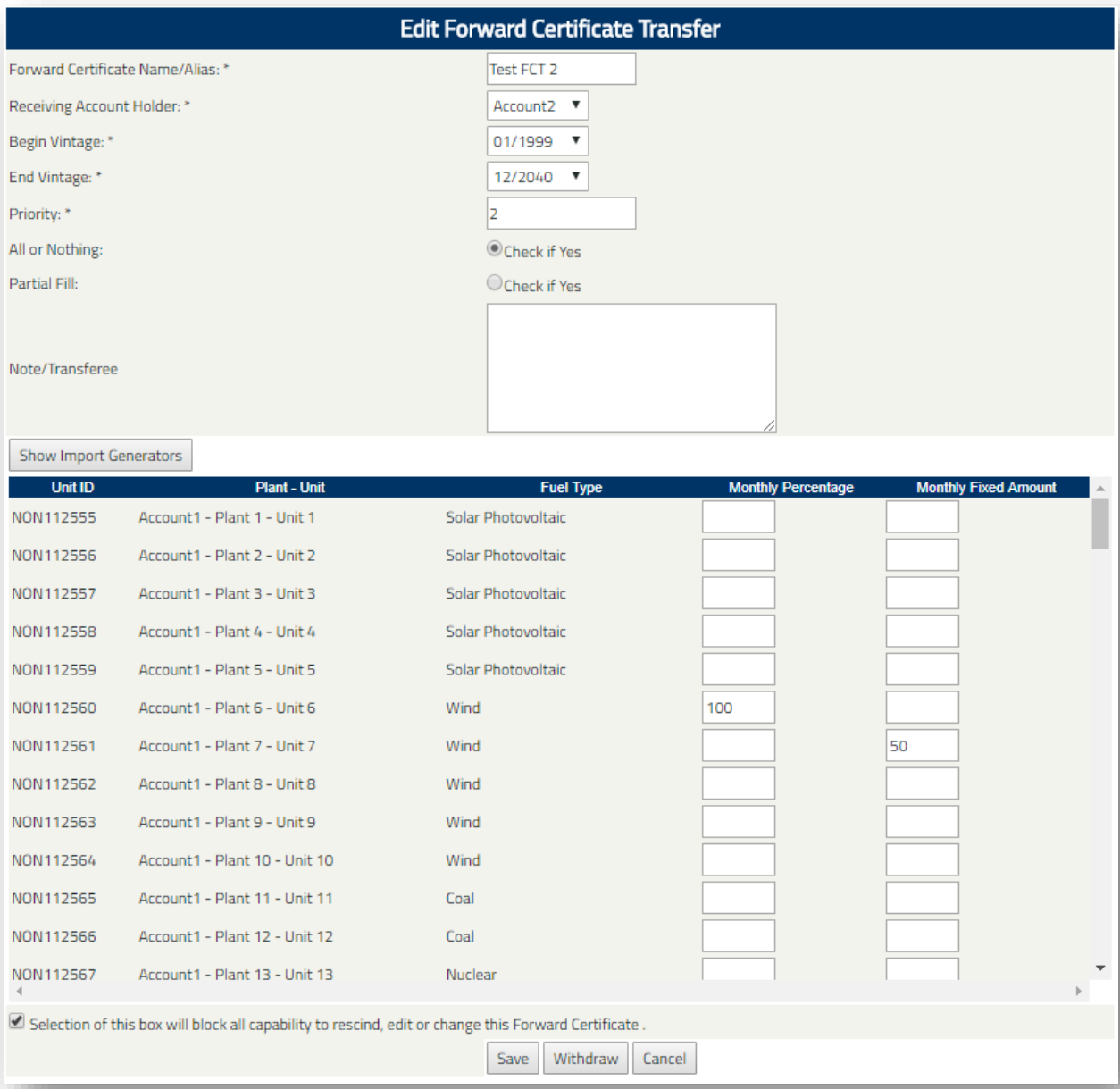


4. Click on the hyperlink under the Transfer Name/Alias column to view Forward Certificate Transfer details.

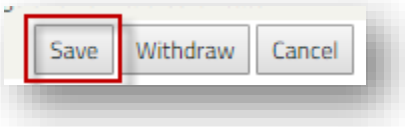


Transfer Name/Alias	Priority	From Account Holder	Counterparty
Test FCT 2	2	Account1	Account2
Test FCT 2	2	Account1	Account2
Test FCT 1	1	Account1	Account2
Test FCT 1	1	Account1	Account2

5. In the Edit Forward Certificate Transfer page, modify the details of the Forward Certificate Transfer.



6. Click the ‘Save’ button to resubmit the Forward Certificate Transfer request.



Note: After an existing Forward Certificate Transfer is modified, the Forward Certificate Transfer will be in a 'Pending' status until the Transferee accepts/rejects the Forward Certificate Transfer. Both the Transferor and Transferee will receive an email notification regarding the Forward Certificate Transfer.

NEPOOL GIS Bulletin Board User Guide

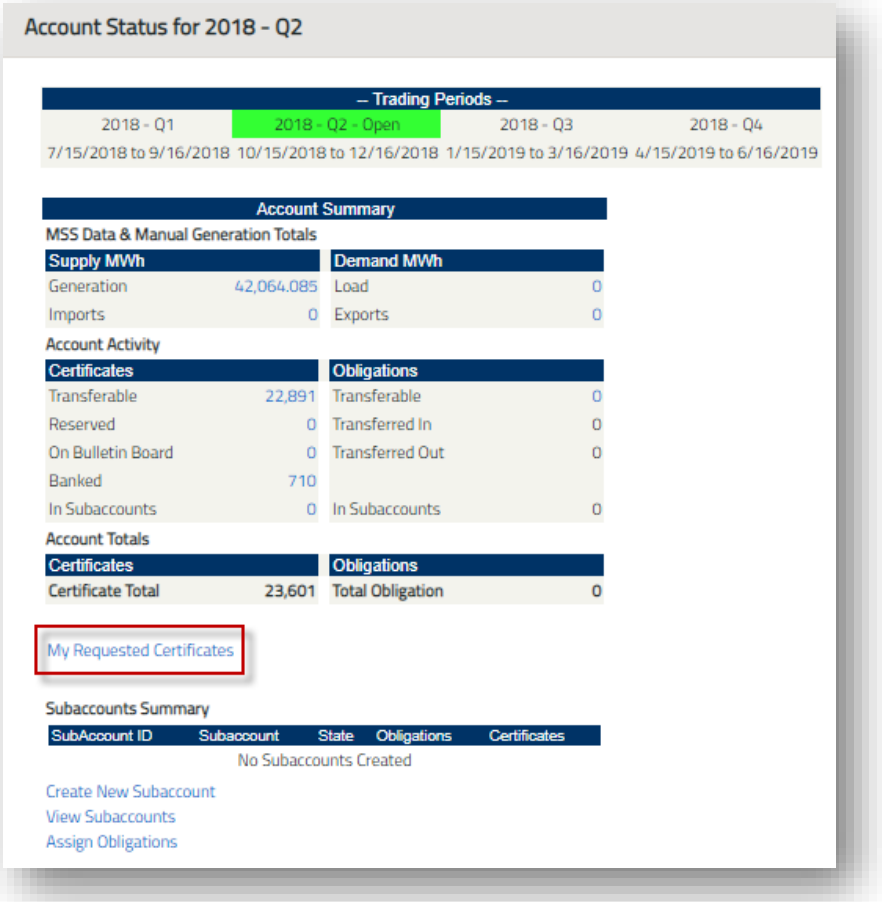
This section outlines the steps for how to use the NEPOOL GIS (GIS) Bulletin Board and focuses on the following areas:

- Buying Certificates in GIS
- Selling Certificates in GIS
- View Offered/Requested Certificates on the Bulletin Board

A. Buying Certificates in GIS

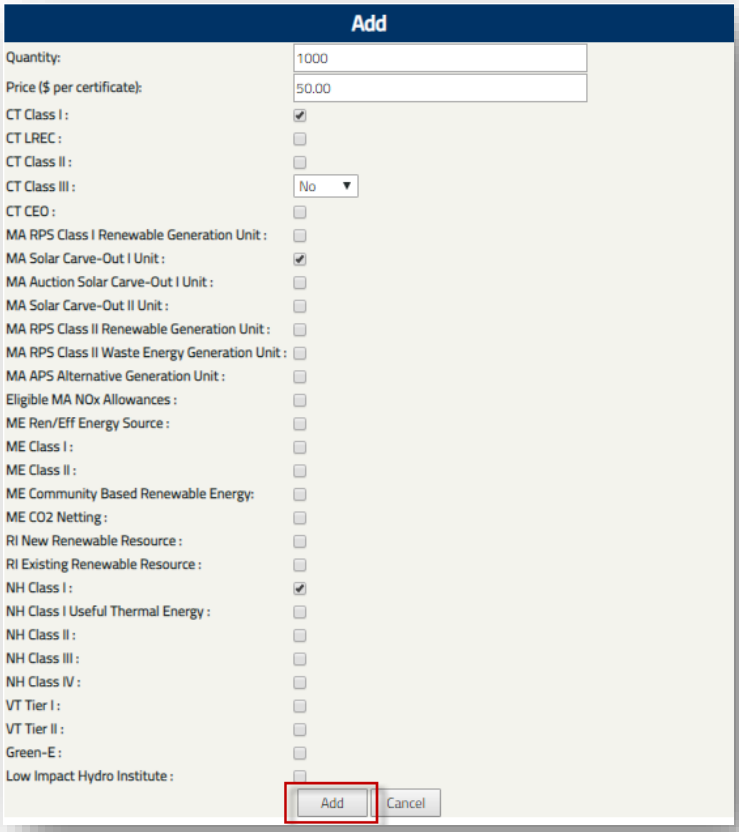
A User can post an interest to purchase GIS Certificates by taking the following steps:

3. In the GIS Account Dashboard, click on the My Requested Certificates hyperlink located under the Account Status Module.



4. In the My Requested Certificate page, click on the 'Add New' button.

5. Complete the form and submit by clicking the ‘Add’ button.



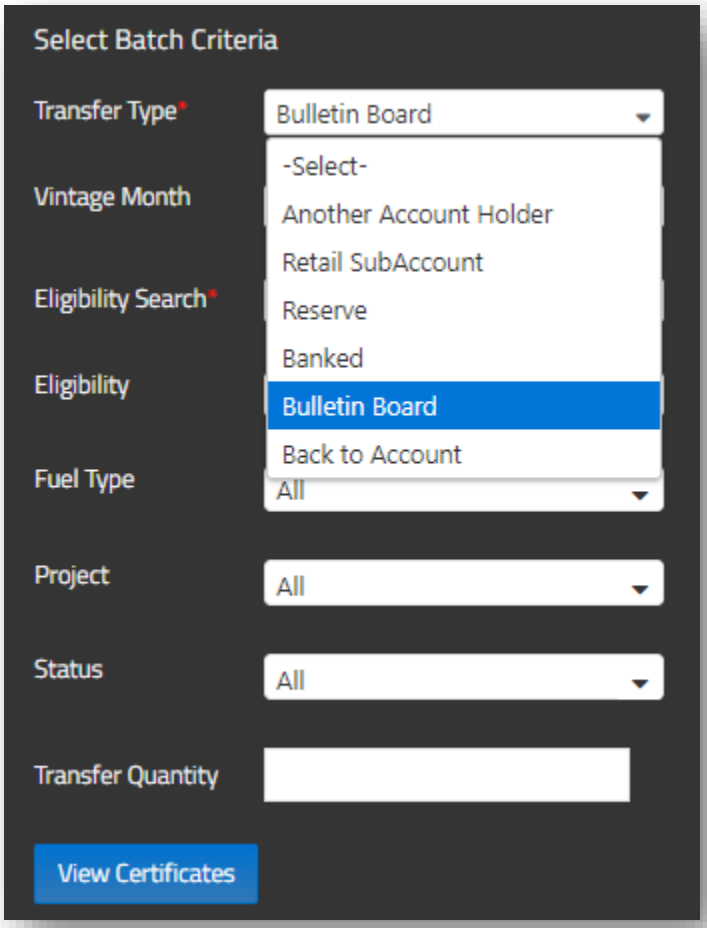
6. The My Requested Certificate page will display the requested certificate listings. The listing can be edited from the Bulletin Board by selecting the Edit hyperlink or cancelled at any time by clicking on the Delete hyperlink.

B. Selling Certificates in GIS

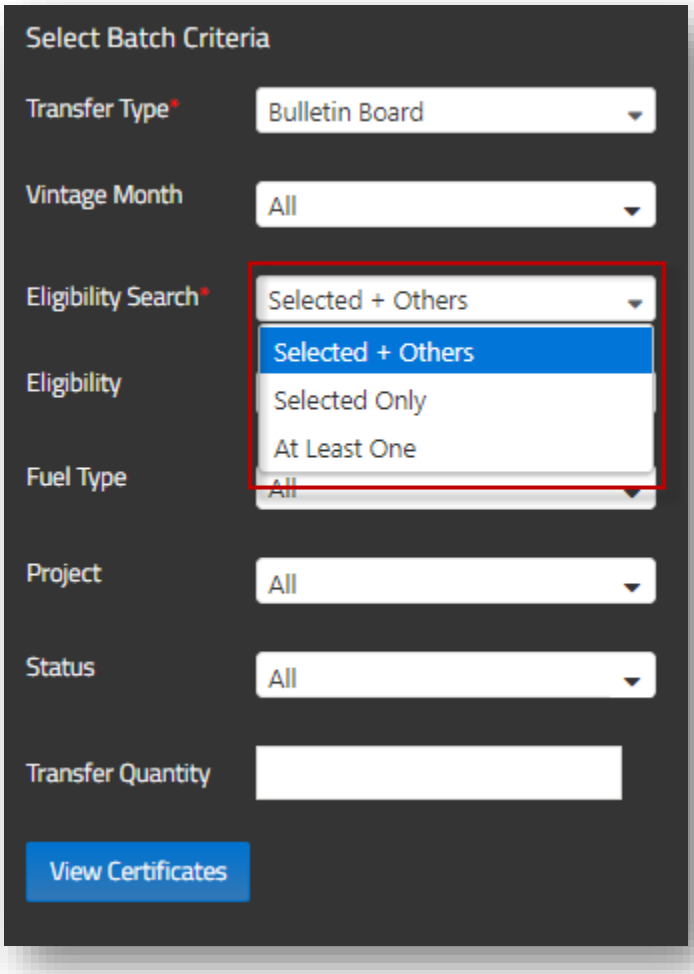
NEPOOL GIS provides the Bulletin Board Subaccount where the User may post Certificates available to purchase. To post available Certificates to the Bulletin Board, the User takes the following steps:

5. Log in to NEPOOL GIS.
6. In the Account Dashboard, User clicks on the **Transfer** option from the menu bar as shown below:

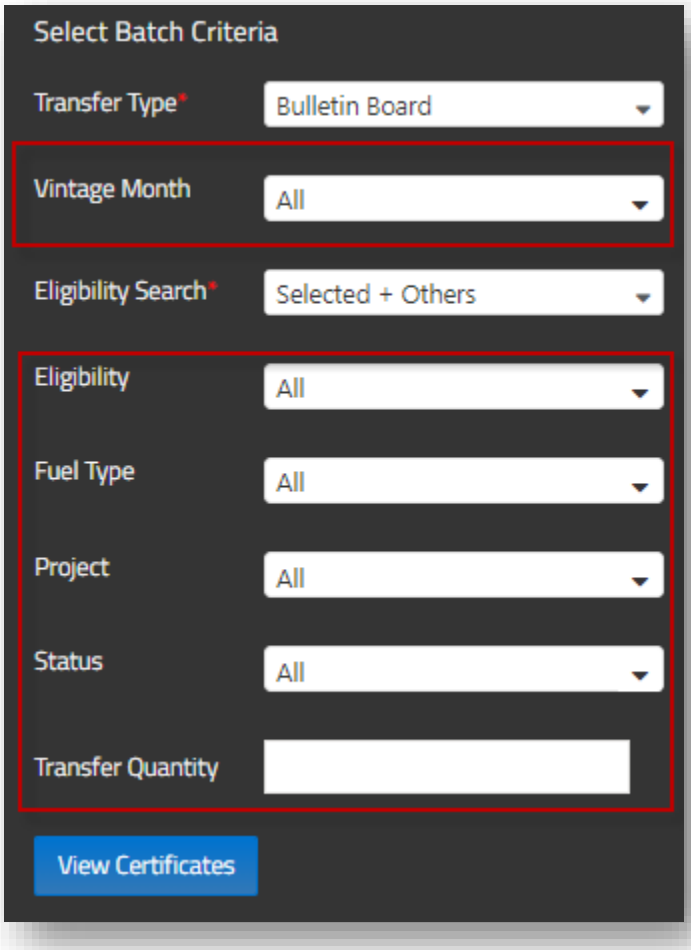
7. In the Select Batch Criteria section on the left pane, User selects Bulletin Board from the Transfer Type drop-down. The dynamic Selection Criteria is driven off the transfer type selection.



8. Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
    a. **Selected + Others** – Searches for certificate holdings that have all the selected and zero or more other eligibilities.
    b. **Selected Only** – Searches for certificate holdings that have only the selected eligibilities.
    c. **At Least One** – Searches for certificate holding that have at least one selected eligibility and zero or more other eligibilities

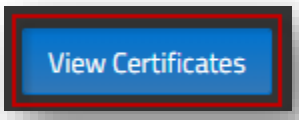


9. Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.



Note: In the Transfer Quantity field of the selection criteria, User can enter the total number of RECs to transfer without having to manually select the batch(es) in the right pane.

10. Once all the options are selected, User clicks on the 'View Certificates' button to populate the requested data on the right pane.



11. After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.

NEPOOL
Generation Information System

Select Your Certificates

Select All | Clear All | Page Size 50

Quant...	Transfe...	Vintage	Certificate ...	Plant Name	Unit ID	Unit Name	Fuel Type	Status	N
1	0	01/20...	1948417 - 1 to 1		NON123456	Test Project	Solar Photovol...	Banked	
1	0	03/20...	1976527 - 1 to 1		NON123456	Test Project	Solar Photovol...	Banked	
1	0	05/20...	2286779 - 1 to 1		NON123456	Test Project	Solar Photovol...	Transferable	
1	0	06/20...	2260529 - 1 to 1		NON123456	Test Project	Solar Photovol...	Transferable	

1 - 4 of 4 items

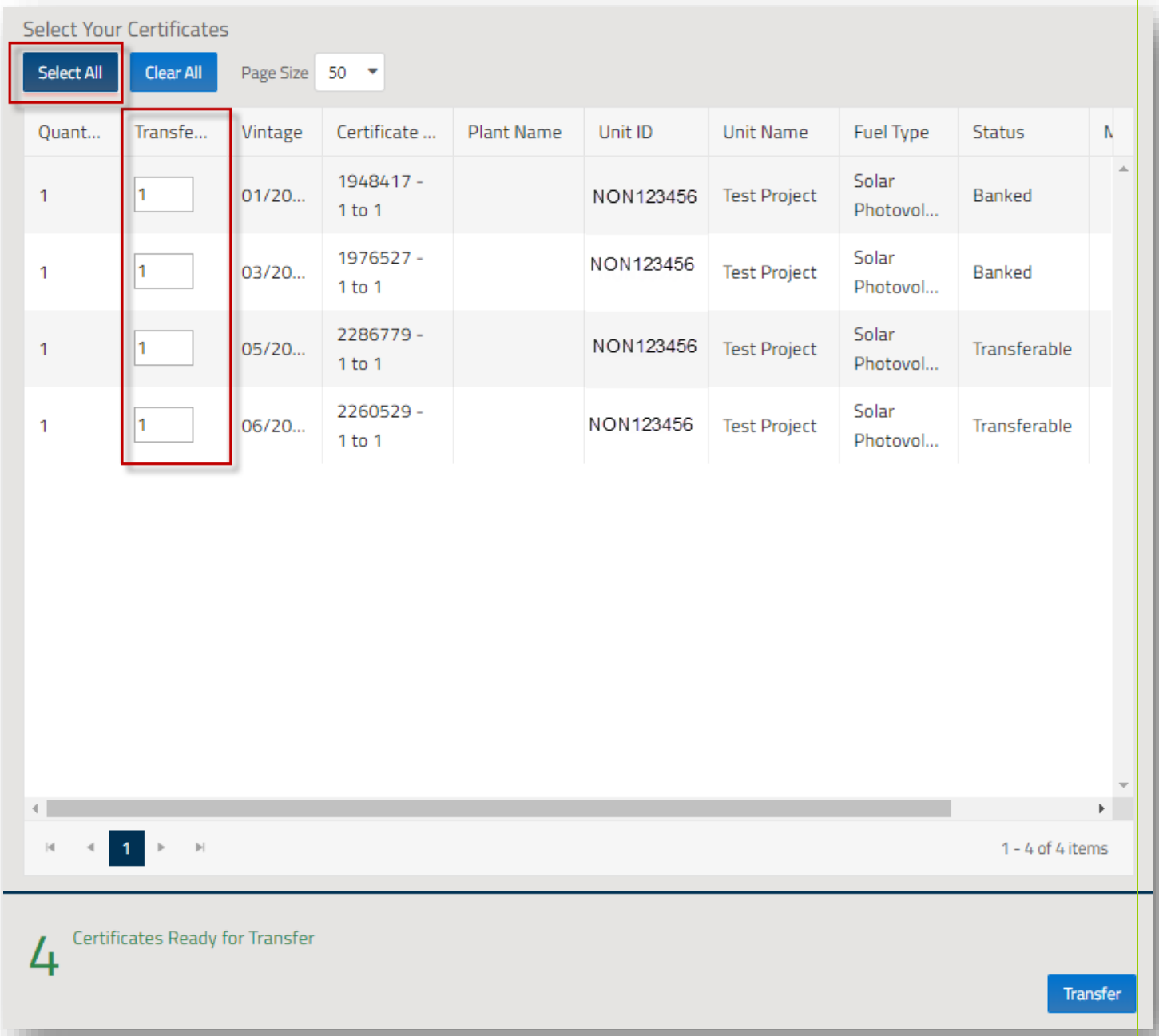
0 Certificates Ready for Transfer

Up to 20,000 certificate holdings may be selected in a single transfer

Transfer

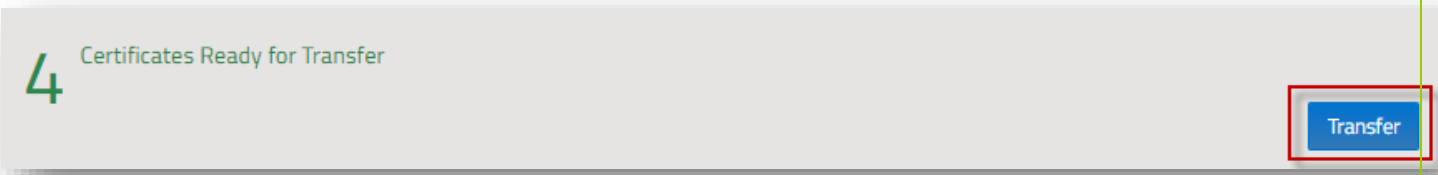
Note: If Transfer Quantity was entered in the selection criteria, the Transfer Quantity column displays selected Transfer quantities for batches up to the quantity entered.

12. In the Select Your Certificates section on the right pane, User either clicks ‘Select All’ button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.

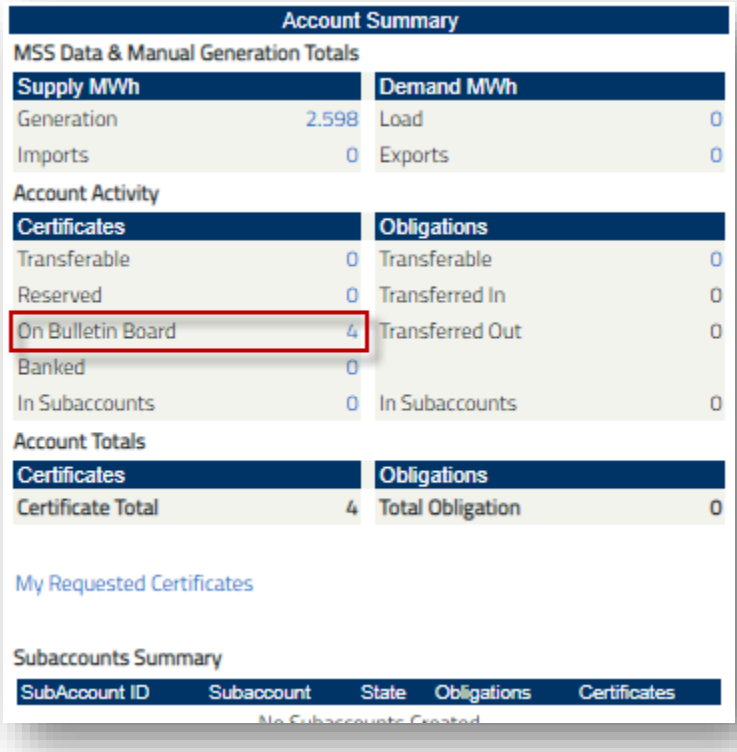


Note: Clicking the ‘Select All’ or ‘Clear All’ buttons only impacts the Certificate batches on the current page. User can select or clear additional batches from multiple pages on the right pane.

13. User clicks the ‘Transfer’ button to execute Certificate transfer to the Bulletin Board.



14. The Certificates transferred to the Bulletin Board will be located in the Account Holder’s Bulletin Board located under the Account Status Module.



15. The Certificates posted to the Bulletin Board can be viewed by all GIS Users and visitors under the Bulletin Board Report located in the Public Reports.

NEPOOL
Generation Information System

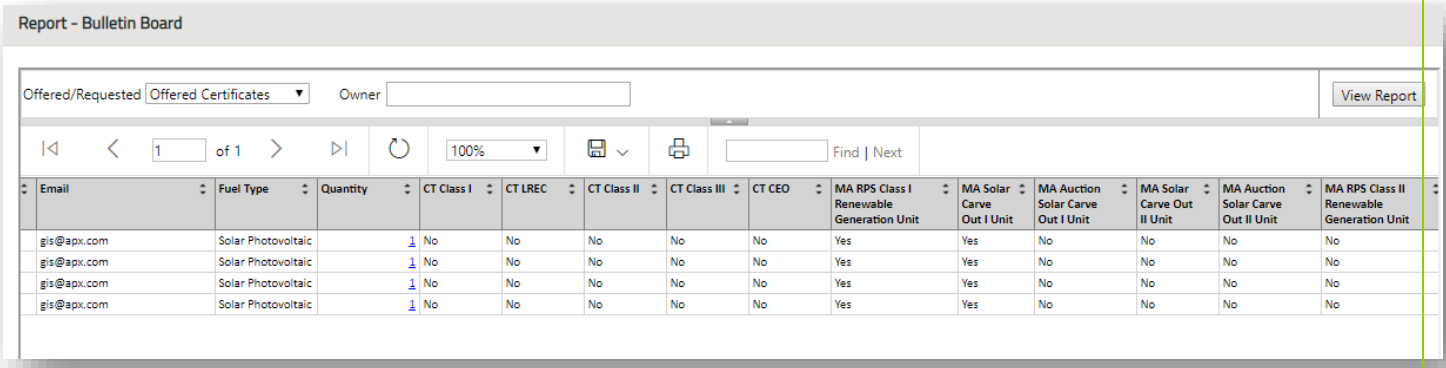
C. View Offered/Requested Certificates on the Bulletin Board

To view offered/requested Certificates on the Bulletin Board, a User takes the following steps:

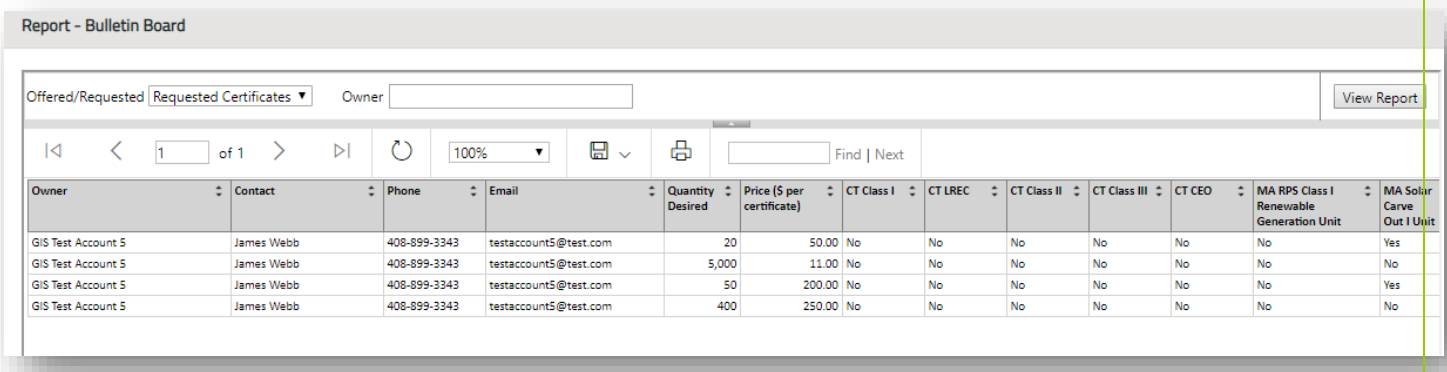
1. Log into NEPOOL GIS.

2. In the Account Dashboard, the User clicks on the Reports option from the menu bar and click on the Bulletin Board report hyperlink located under Public Report as shown below:

3. In the Bulletin Board report, the User selects either Offered or Requested from the Offered/Requested drop-down and clicks on the View Report button to view the Bulletin Board selection.



Email	Fuel Type	Quantity	CT Class I	CT LREC	CT Class II	CT Class III	CT CEO	MA RPS Class I Renewable Generation Unit	MA Solar Carve Out I Unit	MA Auction Solar Carve Out I Unit	MA Solar Carve Out II Unit	MA Auction Solar Carve Out II Unit	MA RPS Class II Renewable Generation Unit
gis@apx.com	Solar Photovoltaic	1	No	No	No	No	No	Yes	Yes	No	No	No	No
gis@apx.com	Solar Photovoltaic	1	No	No	No	No	No	Yes	Yes	No	No	No	No
gis@apx.com	Solar Photovoltaic	1	No	No	No	No	No	Yes	Yes	No	No	No	No
gis@apx.com	Solar Photovoltaic	1	No	No	No	No	No	Yes	Yes	No	No	No	No



Report - Bulletin Board

Offered/Requested Requested Certificates Owner View Report

1 of 1 100% Find | Next

Owner	Contact	Phone	Email	Quantity Desired	Price ($ per certificate)	CT Class I	CT LREC	CT Class II	CT Class III	CT CEO	MA RPS Class I Renewable Generation Unit	MA Solar Carve Out I Unit
GIS Test Account 5	James Webb	408-899-3343	testaccount5@test.com	20	50.00	No	No	No	No	No	No	Yes
GIS Test Account 5	James Webb	408-899-3343	testaccount5@test.com	5,000	11.00	No	No	No	No	No	No	No
GIS Test Account 5	James Webb	408-899-3343	testaccount5@test.com	50	200.00	No	No	No	No	No	No	Yes
GIS Test Account 5	James Webb	408-899-3343	testaccount5@test.com	400	250.00	No	No	No	No	No	No	No

4. Interested Users can contact the seller or buyer directly using the contact information supplied with each post.

This section outlines the steps for how to navigate the NEPOOL GIS (GIS) Reports and focuses on the following areas:

- View GIS Report
- Download GIS Report

A. View GIS Report

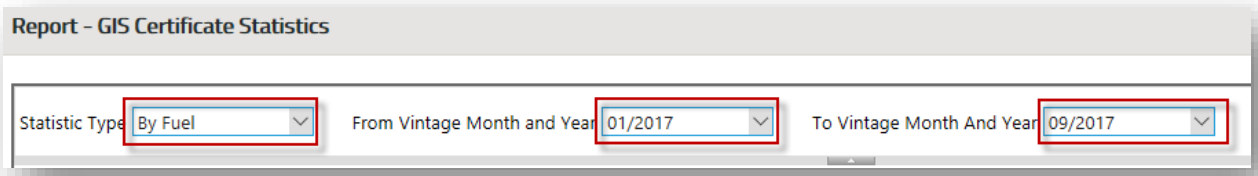
To view a GIS Report, the User takes the following steps:

7. In the GIS Account Dashboard, locate the Menu Bar on the top right of the GIS screen.

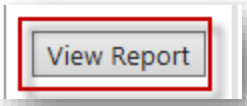
8. Click on the Reports button on the Menu Bar and select a specific GIS Report to view.

Notes: GIS Reports are available based on the GIS Account's Account Type.

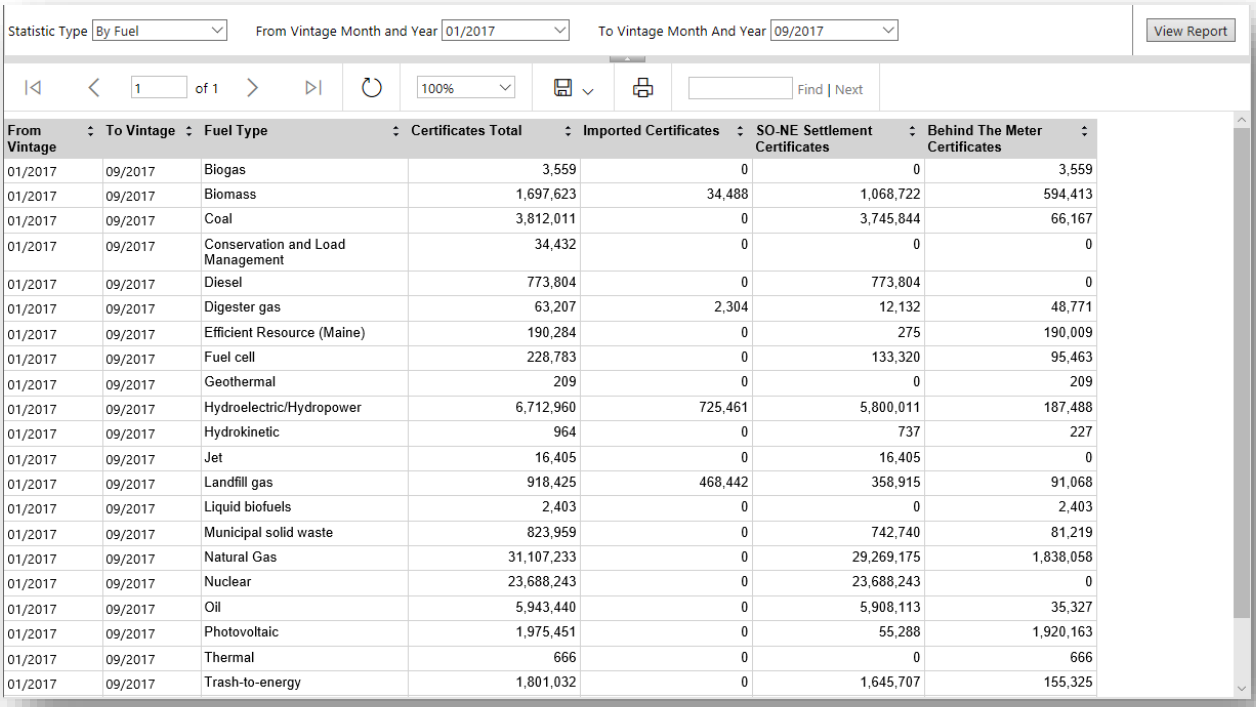
9. Enter the required report parameters on top of the report.



10. Click on the 'View Report' button to view the report.



11. The report displays data results based on the parameters entered.

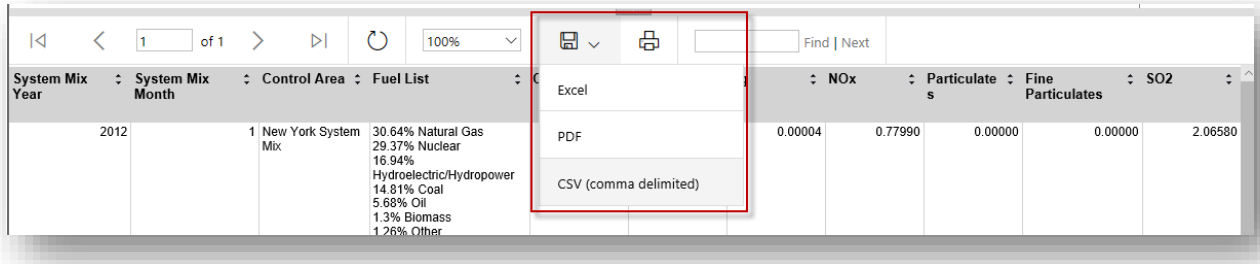


From Vintage	To Vintage	Fuel Type	Certificates Total	Imported Certificates	SO-NE Settlement Certificates	Behind The Meter Certificates
01/2017	09/2017	Biogas	3,559	0	0	3,559
01/2017	09/2017	Biomass	1,697,623	34,488	1,068,722	594,413
01/2017	09/2017	Coal	3,812,011	0	3,745,844	66,167
01/2017	09/2017	Conservation and Load Management	34,432	0	0	0
01/2017	09/2017	Diesel	773,804	0	773,804	0
01/2017	09/2017	Digester gas	63,207	2,304	12,132	48,771
01/2017	09/2017	Efficient Resource (Maine)	190,284	0	275	190,009
01/2017	09/2017	Fuel cell	228,783	0	133,320	95,463
01/2017	09/2017	Geothermal	209	0	0	209
01/2017	09/2017	Hydroelectric/Hydropower	6,712,960	725,461	5,800,011	187,488
01/2017	09/2017	Hydrokinetic	964	0	737	227
01/2017	09/2017	Jet	16,405	0	16,405	0
01/2017	09/2017	Landfill gas	918,425	468,442	358,915	91,068
01/2017	09/2017	Liquid biofuels	2,403	0	0	2,403
01/2017	09/2017	Municipal solid waste	823,959	0	742,740	81,219
01/2017	09/2017	Natural Gas	31,107,233	0	29,269,175	1,838,058
01/2017	09/2017	Nuclear	23,688,243	0	23,688,243	0
01/2017	09/2017	Oil	5,943,440	0	5,908,113	35,327
01/2017	09/2017	Photovoltaic	1,975,451	0	55,288	1,920,163
01/2017	09/2017	Thermal	666	0	0	666
01/2017	09/2017	Trash-to-energy	1,801,032	0	1,645,707	155,325

B. Download the GIS Reports

To download a GIS report, the User takes the following steps:

16. In the report, click on the ‘Export’ icon and select the specific available file format.



17. Download report to a specific folder in the computer.

NEPOOL GIS Generator/Load Asset Redirect User Guide

This section outlines the steps on how to transfer a GIS Generator or a GIS Load Asset from one GIS account to another GIS account in NEPOOL GIS.

A. Initiate a Generator/Load Asset Redirect Request

To initiate a Generator/Load Asset Redirect Request, the requestor takes the following steps:

1. Identify the project information for the generator or load asset that needs to be transferred or fill out the Generator Redirect Request form.

   - Please identify the Project being transferred (Link to GIS Generators):
     - Unit ID **(Required):** _____
     - Plant – Unit Name: _____
   - Is the asset part of an aggregated project in NEPOOL GIS?
     - Yes, No, or Not Sure
   - Please Identify the new Project Owner (Link to GIS Account Holders):
     - Project ownership will be transferred to this GIS Account Holder Name **(Required):**
       - _____
     - Transfer to GIS Account Holder ID (if available):
       - _____
     - Contact Name and/or Email (if available):
       - _____
   - What is the Effective Generation month for this change **(Required)**?
     - For example, what will be First Vintage of RECS issued to the new Project Owner?
       - _____
   - Additional Information (**Optional):**
     - Who is current Project Owner? _____
     - What is the size of Project? _____

- Are there any existing Forward Certificate Transfers (FTC)? _____
- What state eligibilities does the Project currently have approved? _____

Note: Load Assets **CAN ONLY** be transferred between NEPOOL Member accounts in GIS.

2. The requestor reaches out to the GIS Administrator via email GIS@APX.com or by phone (408) 899-3343 and provides the GIS Administrator with the redirect transfer request information.

3. The GIS Administrator reviews the redirect transfer request and coordinates with both parties to confirm the redirect request.
   - The Unit ID that will be transferred.
   - The receiving NEPOOL GIS account (Including Company ID)
   - The effective date (I.E. first vintage that will issue to new Generator Owner).

4. Once the redirect transfer details are confirmed, the GIS administrator processes the redirect transfer request in GIS and confirms with both parties that the redirect transfer request has been processed.

5. If the GIS administrator is unable to reach the other transfer party, then it is requester's responsible for reaching out to them to obtain consent and forward the response to the GIS administrator.