



# RGGI Portal – Training and Support Tutorial

Regional Greenhouse Gas Initiative

25/09/2020



# Outline



Section 1 – Overview of the New Submission Process

Section 2 – Previously Qualified Applicants Submitting Through the RGGI Portal the First Time

Section 3 – Previously Qualified Applicants

- Changes to prior paper-based process
- Participation Requirements
- Material Change(s)

Section 4 – New Applicants

- Changes to prior paper-based process
- Participation Requirements
- Registration Form

- Auction Platform Account Creation

Section 5 – Previously Qualified Applicants with a Change to an Authorized Auction Representative

Section 6 – *Qualification Application, Intent to Bid, and Financial Security Information Submission*

- Accessing the RGGI Portal
- RGGI Portal Overview
- *Qualification Application*
- *Intent to Bid*
- Financial Security Information
- Post-Submission
- Export Functionality
- RGGI Portal Messaging



# Section 1 – Overview of the New Submission Process



# New Qualification Application Submission Overview

Submitted Online via the RGGI Portal



The *Qualification Application* is located in the RGGI Portal on the Auction Platform

- All sections of the *Qualification Application* are required for all new applicants or previously qualified applicants with a material change
- The *Qualification Application* includes:
  - Auto save functionality
  - Preloaded data from a new applicant's registration form or from a previously qualified applicant's prior *Qualification Application*

The RGGI Portal provides:

- A landing page with due dates and status messages
- Ability to email the RGGI Auction Manager

The *Qualification Application* must be submitted no later than the time and date shown in the Auction Schedule

- The submission window automatically closes at the deadline



# New Intent to Bid Submission Overview

Submitted Online via the RGGI Portal



The *Intent to Bid* is located in the RGGI Portal on the Auction Platform

- All sections of the *Intent to Bid* are required for all applicants
- The *Intent to Bid* includes:
  - Auto save functionality

The *Intent to Bid* must be submitted no later than the time and date shown in the Auction Schedule

- The submission window automatically closes at the deadline



# Section 2 – Previously Qualified Applicants Submitting Through the RGGI Portal the First Time



## Previously Qualified Applicants

First Time Submitting Through the RGGI Online Application Portal



All previously qualified applicants utilizing the RGGI Portal for the first time must review all the information that has been preloaded including:

- General Information and Authorized Auction Representative(s)

The applicant's COATS account number has not been preloaded and must be entered and verified

Information on the applicant's corporate and bidding associations also has not been preloaded and must be entered

- Please add the appropriate information
- Review Auction Notice Section 2.9 for information regarding corporate and bidding associations

Information on positive attestations must also be entered

- Applicants can now upload documents to address or supplement their positive attestation explanations

Applicants must complete the signature process





enel x

## Section 3 – Previously Qualified Applicants



# Previously Qualified Applicants

## Overview of Changes to the Old Paper-based Process



- Previously qualified applicants will utilize their current, active Auction Platform account to submit the *Intent to Bid* through the RGGI Portal
  - Please note that an active Auction Platform account does not automatically allow the applicant to participate in a RGGI auction, an applicant must still meet all the participation requirements



## Previously Qualified Applicants

Participation Requirements



Submit an *Intent to Bid* via the RGGI Portal

Meet the financial security requirements



# Previously Qualified Applicants

After the First Submission Through the RGGI Portal, Applicants Must Indicate Whether They Have a Material Change or Not



- Previously qualified applicants who have submitted through the RGGI Portal at least once are taken straight to the Intent to Bid section
- Material change question only appears for these applicants
- If the applicant indicates they have a material change, the entire Qualification Application becomes editable

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - LOCAL PC AUCTION

Qualification Deadline: Apr 16, 2020 5:00 PM    Remediation Deadline: Apr 16, 2020 5:00 PM    Financial Security Deadline: Apr 16, 2020 5:00 PM    [Export As PDF](#)

General Info & Authorized Auction Rep(s)
COATS Account Validation
Corporate Associations
Bidding Associations
Attestations & Signature
<b>Intent to Bid &amp; Signature</b>
Financial Security

The Applicant intends on participating in Local PC Auction. \*

A previously qualified applicant with a material change to the information previously submitted in its qualification application becomes a new applicant and must follow the requirements and procedures outlined in [Auction Notice](#) Section 2.2. Specific criteria outlining what constitutes a material change to previously submitted information in a qualification application are:

[General Information](#): Any change constitutes a material change, except for "Street Address", "City", "State/Province" (first occurrence), "Postal Code", "Country", "Years in Business", and "URL for Applicant's Web Site".

[Authorized Auction Representatives](#): Only a change to the Authorized Auction Representative(s) "First Name" and/or "Last Name" constitutes a material change.

[COATS Account Validation](#): Any change constitutes a material change.

[Corporate Associations](#): Any change constitutes a material change if a previously qualified applicant intends to participate in RGGI Auction 47-Current Control Period.

[Bidding Associations](#): Any change constitutes a material change if a previously qualified applicant intends to participate in RGGI Auction 47-Current Control Period.

[Attestations](#): Any change constitutes a material change.

For any non-material change(s), provide it in writing to the Auction Manager via email at [auctionmanager.enelnorthamerica@enel.com](mailto:auctionmanager.enelnorthamerica@enel.com)

Does the Applicant have a material change as defined above and will be submitting the Qualification Application? \*

Yes     No

Definitions of what constitutes a material change are provided on this page

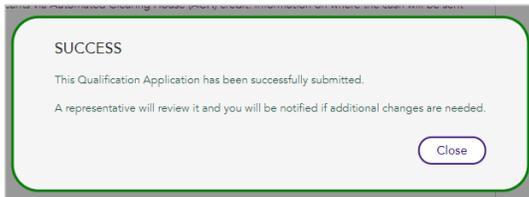
Hyperlinks provide quick access to each Qualification Application section

Applicant must first indicate whether or not they have a material change

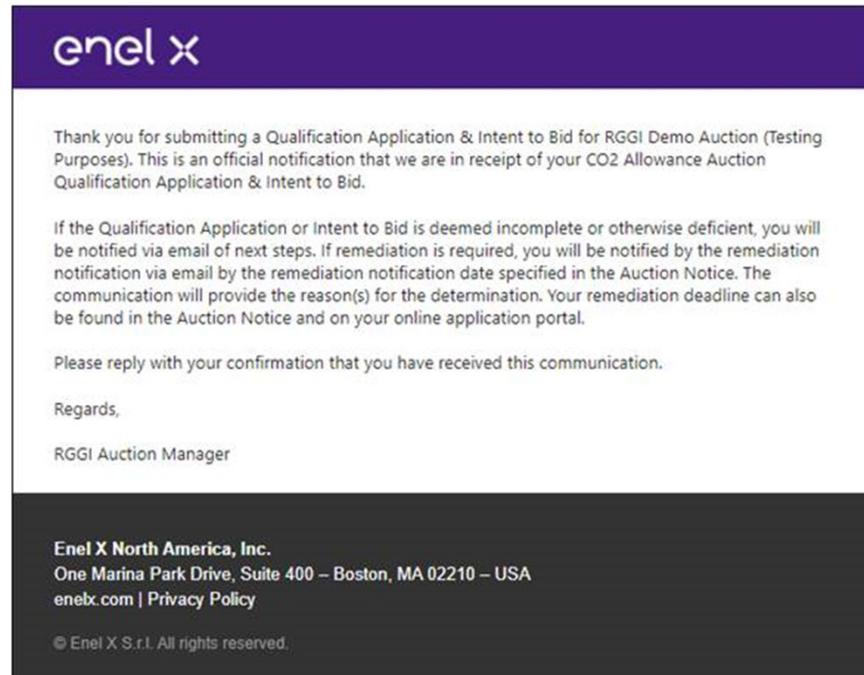


# Submission Confirmation & Automated Email

Applicants are Notified of a Successful Submission



Applicant receives an automatic confirmation message upon submission. Indicates a successful submission.



The RGGI Portal automatically generates and sends an email to the primary and secondary representatives confirming a successful submission of the Qualification Application and/or Intent to Bid.

enel x

# Section 4 – New Applicants



# New Applicants

## Overview of Changes to the Old Paper-based Process



Under the old paper-based process, usernames and passwords were issued at the end of the approval process

Going forward, new applicants must submit a registration form containing general applicant information and information on the authorized auction representative(s) at the start of the process

After the RGGI Auction Manager's review, Auction Platform accounts are created for the primary authorized auction representative (PAAR) and if named, the secondary authorized auction representative (SAAR)

The applicant will utilize their Auction Platform account to submit the *Qualification Application and Intent to Bid* and Financial Security Information

Please note that granting an Auction Platform account does not automatically allow the applicant to participate in a RGGI Auction, an applicant must still meet all the participation requirements

## New Applicants

### Participation Requirements



Open general account or retrieve compliance account number (if created) in the RGGI CO<sub>2</sub> Allowance Tracking System (RGGI COATS)

Submit the *Qualification Application* via the RGGI Portal

Submit the *Intent to Bid* via the RGGI Portal

Meet the financial security requirements



# New Applicant Registration

Landing Page for New Applicants to Register for Auction Platform Access



Auction Platform is located at:  
[rggi.exchange.apps.enelx.com](http://rggi.exchange.apps.enelx.com)

Username

Password

[Forgot your password?](#)  
[New Bidder? \(Register here\)](#)  
[Learn more about Enel X](#)  
[Privacy Policy](#)

**LOG IN**

enel x

**BIDDER REGISTRATION**

If you would like the opportunity to participate in future Enel X Energy Exchange procurement events please complete the form below. Upon submission your information will be reviewed and a member of our Operations team will contact you. If you have previously registered and forgot your password, please click [here](#) to retrieve your password.

Are you registering to participate in a Regional Greenhouse Gas Initiative (RGGI) CO<sub>2</sub> Allowance Auction?  
 Yes  No

**General Information**

Applicant Name

Street Address  City

Country / Region  State / Province  Postal Code

Applicant Category  
 Individual  
 Other Corporate Entity

Describe the Nature of the Applicant's Core Business or Organization

Place of Incorporation  Federal Tax ID \*  DUNS # \*

New Applicants must indicate whether they are registering to participate in a Regional Greenhouse Gas Initiative CO<sub>2</sub> Allowance auction

# New Applicant Registration [1]

## Registration Form Submission to Access RGGI Portal



The new applicant registration form captures general information about the applicant and information on the primary and secondary authorized auction representatives.

**enel x**

**BIDDER REGISTRATION**

If you would like the opportunity to participate in future Enel X Energy Exchange procurement events please complete the form below. Upon submission your information will be reviewed and a member of our Operations team will contact you. If you have previously registered and forgot your password, please click [here](#) to retrieve your password.

Are you registering to participate in a Regional Greenhouse Gas Initiative (RGGI) CO<sub>2</sub> Allowance Auction?  
 Yes  No

**General Information**

Applicant Name  
Haffner Manufacturing

Street Address  
1 Marina Park Drive

City  
Boston

Country / Region  
United States

State / Province  
Massachusetts

Postal Code  
02210

Applicant Category  
 Individual  
 Other Corporate Entity

Describe the Nature of the Applicant's Core Business or Organization  
Electrical Manufacturing

Place of Incorporation  
Delaware

Federal Tax ID \*  
1234567

DUNS # \* [?](#)  
1234567

Years in Business  
3-5 years

Web Site  
www.google.com

\* = U.S. only

See the most recent auction notice's section titled 'Authorized Auction Representative' for more information.

- Dynamic functionality on the registration form include:
- DUNS Lookup
  - Required field validation
  - Ability to copy company address for contacts
  - Ability to add a Secondary Authorized Auction Representative (SAAR)

# New Applicant Registration [2]

All Auction Representatives Receive Auction Platform Accounts



To display the fields associated with the secondary representative, the applicant must indicate “Yes” to the question of whether there is a secondary representative. We strongly recommend that the Applicant name a secondary representative.

**Primary Authorized Auction Representative**

First Name Joshua	Last Name Haffner	Title President
Office Phone (Primary) 6175357436	Mobile Phone (Secondary)	Fax
Company Haffner Manufacturing	Email Address joshua.haffner@enel.com	<a href="#">copy company address</a>
Street Address 1 Marina Park Drive	City Boston	Country / Region United States
State / Province Massachusetts	Postal Code 02210	

Is there a Secondary Authorized Auction Representative?  
 Yes  No

Cancel Submit

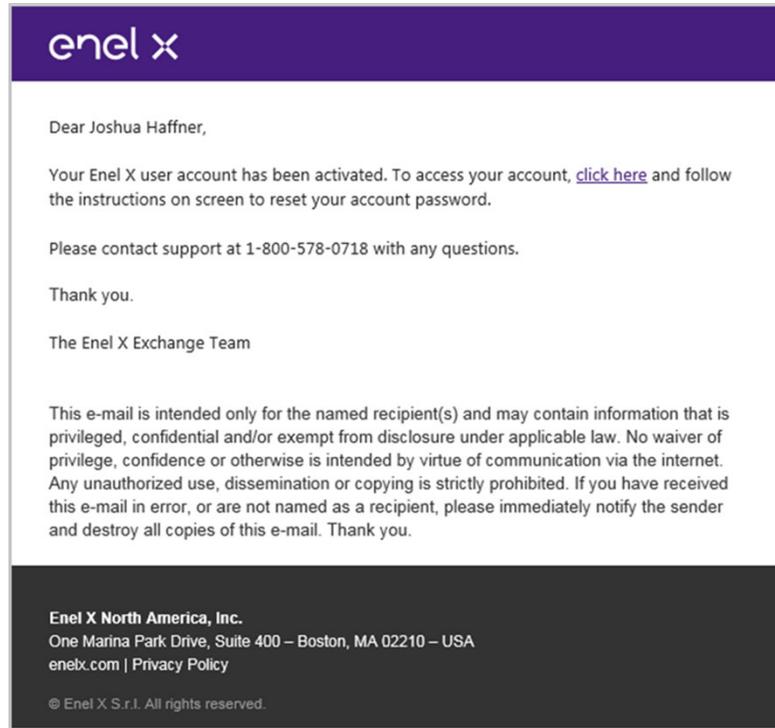
- All auction representatives receive Auction Platform accounts and access
- Ideally the primary representative is the same person as the RGGI COATS Authorized Account Rep
- Applicant may designate a secondary representative
- Auction representative(s) receive all communications related to auction

# Automated Email – Account Creation

New Applicants are Notified of Auction Platform Access and Next Steps



When the RGGI Auction Manager approves a new registration, the primary and secondary representatives are notified that their accounts have been activated and prompted to create their passwords.



The RGGI Auction Manager will strive to review and approve new registrations on the day they are received.

# Configure Auction Platform Account Password

## Follow On-Screen Instructions



**1** EXCHANGE PASSWORD RECOVERY - STEP 1 OF 3

To reset the password for your account, provide your email address and enter the letters for the image below.



(Click here to try another image)  
Please enter the text displayed in the image.

Tue 10/1/2019 10:51 AM  
no\_reply@exchange.dev-apps.enelx.net  
Enel X Exchange Password Recovery

To Haffner, Joshua (Enel X)

You are receiving this e-mail because a new password was requested for your Enel X Exchange account.

Your security code is **9784**.

Please return to the web page and enter your security code. If you believe you have received this e-mail in error, please contact support at 1-800-578-0718.

The Enel X Exchange Team



**2** EXCHANGE PASSWORD RECOVERY - STEP 2 OF 3

We just sent a security code to joshua.haffner@enel.com. If you did not receive the code, check your email address. If the problem persists, please contact support at 1-800-578-0718 for assistance.



**3** EXCHANGE PASSWORD RECOVERY - STEP 3 OF 3

Follow the instructions below to reset your password. Your new password must include at least one upper case letter, one lower case letter, and either one number or special character. The special characters do not include < or >.

# Section 5 – Previously Qualified Applicant with a Change to an Authorized Auction Representative



## Previously Qualified Applicant with a Change to an Authorized Auction Representative [1]



In order for the new authorized auction representative to gain access to the RGGI Portal they must follow these steps

1. Does the new authorized auction representative already have an active Auction Platform account?
  - If Yes, the new representative must email the RGGI Auction Manager at [auctionmanager.enelxnorthamerica@enel.com](mailto:auctionmanager.enelxnorthamerica@enel.com) and request that the Auction Manager designate their active Auction Platform account with the primary authorized auction representative (PAAR) or secondary authorized auction representative (SAAR) user attribute
    - Once the attribute has been added to the appropriate Auction Platform account, the applicant can access the RGGI Portal
  - If No, the new representative must navigate to the Auction Platform login screen at <https://rggi.exchange.apps.enelx.com> and select the “New Bidder” link to open the registration form as shown on the next slide

# Previously Qualified Applicant with a Change to an Authorized Auction Representative [2]



Auction Platform is located at:  
[rggi.exchange.apps.enelx.com](http://rggi.exchange.apps.enelx.com)

Username

Password

[Forgot your password?](#)  
[New Bidder? \(Register here\)](#)  
[Learn more about Enel X](#)  
[Privacy Policy](#)

**LOG IN**

**enel x**

**BIDDER REGISTRATION**

If you would like the opportunity to participate in future Enel X Energy Exchange procurement events please complete the form below. Upon submission your information will be reviewed and a member of our Operations team will contact you. If you have previously registered and forgot your password, please click [here](#) to retrieve your password.

Are you registering to participate in a Regional Greenhouse Gas Initiative (RGGI) CO<sub>2</sub> Allowance Auction?  
 Yes  No

**General Information**

Applicant Name  
[Text Field]

Street Address [Text Field] City [Text Field]

Country / Region [Dropdown: United States] State / Province [Dropdown: -- Select One --] Postal Code [Text Field]

Applicant Category  
 Individual  
 Other Corporate Entity

Describe the Nature of the Applicant's Core Business or Organization  
[Text Field]

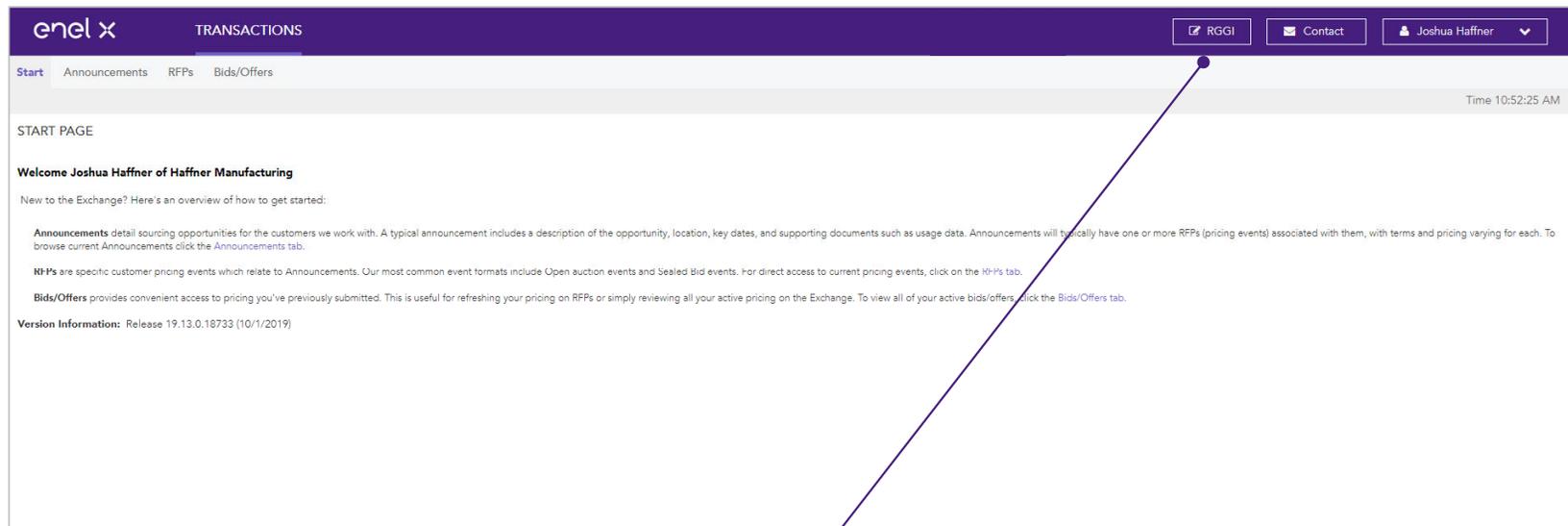
Place of Incorporation [Text Field] Federal Tax ID \* [Text Field] DUNS # \* [🔗](#) [Text Field]

Applicant must indicate whether they are registering to participate in a Regional Greenhouse Gas Initiative CO<sub>2</sub> Allowance auction

Section 6 – *Qualification  
Application, Intent to Bid,*  
and Financial Security  
Information Submission

# RGGI Application Portal Accessibility

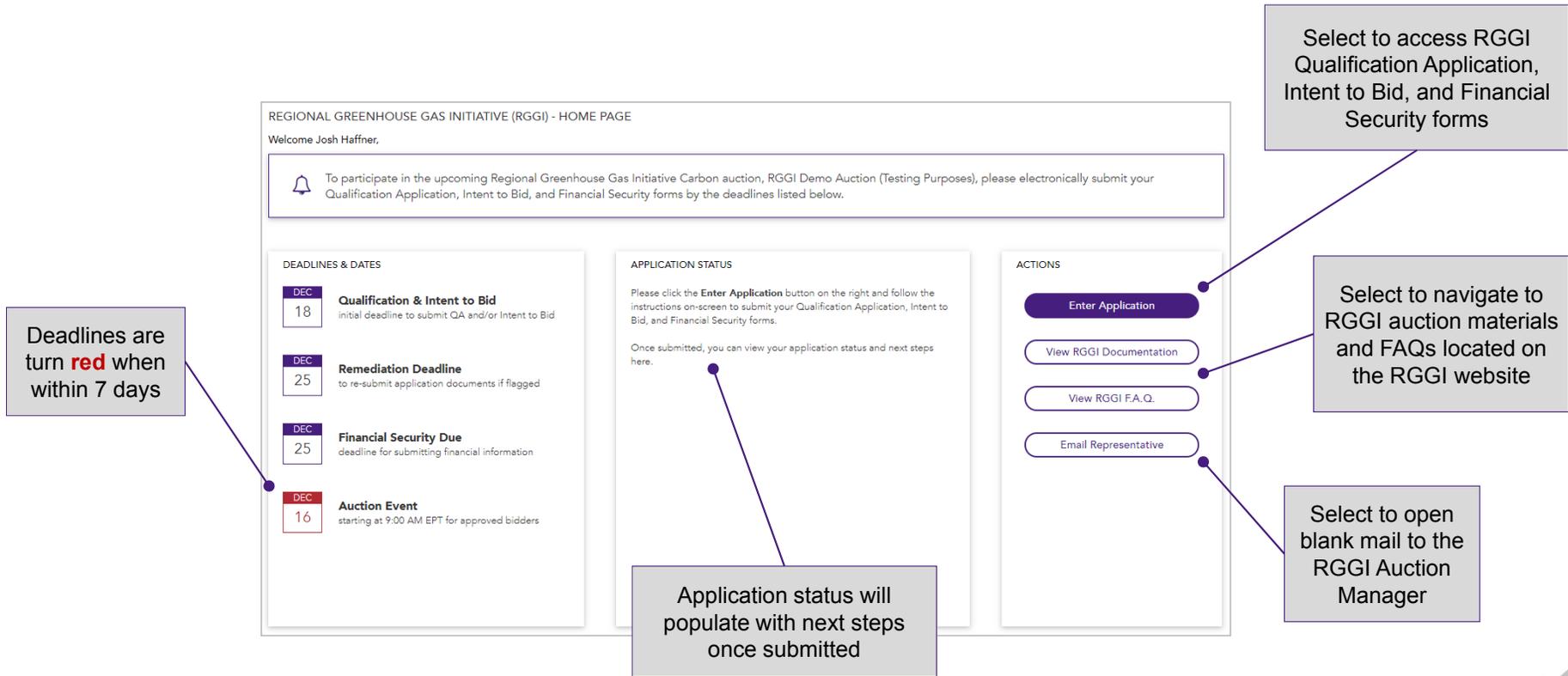
## Primary Navigation Bar in Auction Platform



Only Auction Platform accounts with the primary authorized auction representative (PAAR) or secondary authorized auction representative (SAAR) user attribute can access the RGGI Portal

# RGGI Portal Overview

Portal Home Page Provides Access to RGGI Forms and Documentation



# General Info & Authorized Auction Rep(s)

Applicant Company and Contact Details



- Ideally the primary representative is the same person as the RGGI COATS Authorized Account Rep
- Applicant may designate a secondary representative
- Authorized auction representative(s) receive all communications related to auction

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

**General Info & Authorized Auction Rep(s)**

COATS Account Validation

Corporate Associations

Bidding Associations

Attestations & Signature

Intent to Bid & Signature

Financial Security

Applicant Name \*  
Haffner Manufacturing

Street Address \*   City \*  
1 Marina Park Drive   Boston

Country / Region \*   State / Province \*   Postal Code \*  
United States   Massachusetts   02210

Applicant Category \*  
 Individual  
 Other Corporate Entity

Describe the Nature of the Applicant's Core Business or Organization \*  
Electrical Manufacturing

Place of Incorporation \*   Federal Tax ID \*   DUNS # \*  
Delaware   1234567   1234567

Years In Business \*   Web Site  
3-5 years   www.google.com

See the [most recent auction notice](#) section titled 'Authorized Auction Representative' for more information.

General Information and Primary and Secondary Authorized Auction Representative fields are preloaded.

Select applicant category:

- If Other Market Participant selected, provide a brief description
- Describe core business or organization
- Additional information is required for business entities

Tabs provide navigation to the different sections

# COATS Account Validation

Account Validated via On-Demand API Connection



- Account into which CO<sub>2</sub> allowances are transferred
- Account number format is GNXXXXX for general accounts
- Account number format is the two letter state abbreviation followed by a numeric string (e.g.; MAXXXXX) for compliance accounts

When the applicant selects the “Validate” button, the RGGI Portal system hits a COATS API to determine if the account exists and is active

If the applicant does not yet have a COATS account, type “TBD” or “In Progress” into the field and select the “Next” button to proceed

# Corporate Associations [1]

Applicant Must Indicate Whether or Not a Corporate Association Exists



- Auction Notice contains complete definitions
- The FAQs include an example of how corporate associations are used
- Applicants with a corporate association will be treated as a single entity

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation  
**Corporate Associations**  
Bidding Associations  
Attestations & Signature  
Intent to Bid & Signature  
Financial Security

See the [most recent auction notice](#) sections titled Identifying Direct and Indirect Corporate Associations and Use of Direct and Indirect Corporate Associations for more information.

Does the Applicant have a direct or indirect Corporate Association with another applicant? \*

Yes    No

An affirmative answer to this statement requires disclosure of the direct or indirect Corporate Association(s) below.

Name of Applicant *	Bid Limitation (%) *	
Haffner Manufacturing	10	(cannot exceed 25%)
Name of Associated Applicant *	Bid Limitation (%) *	The Type of Association (i.e. Direct or Indirect) and a Brief Description of the Association *
Green Gen Solutions	5	Customer
Solar City Projects	5	Corporate Partner

Total = 10%

Next

Applicant must first indicate whether or not a corporate association exists

Applicant can enter one or many corporate associations if applicable

# Corporate Associations [2]

Add Rows for Each Association



- Information that must be disclosed includes:
- Name of applicant and quantity bid limitation
  - Name of associated applicant
  - Quantity bid limitation (%)
  - The type of corporate association (i.e., direct or indirect) and a brief description of it
  - Corporate parent, subsidiary, sister company, partnership, other

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation  
**Corporate Associations**  
Bidding Associations  
Attestations & Signature  
Intent to Bid & Signature  
Financial Security

See the [most recent auction notice](#) sections titled Identifying Direct and Indirect Corporate Associations and Use of Direct and Indirect Corporate Associations for more information.

Does the Applicant have a direct or indirect Corporate Association with another applicant? \*

Yes    No

An affirmative answer to this statement requires disclosure of the direct or indirect Corporate Association(s) below.

Name of Applicant *	Bid Limitation (%) *	
Haffner Manufacturing	10	(cannot exceed 25%)
Name of Associated Applicant *		
Green Gen Solutions	5	The Type of Association (i.e. Direct or Indirect) and a Brief Description of the Association *
Solar City Projects	5	Customer
		Corporate Partner

Total = 10%

Next

Corporate Associations are automatically summed based on applicant inputs and cannot exceed 25%

# Corporate Associations [3]

## Effect of a Corporate Association



- Quantity bid limitation (%)
- The sum of apportioned bid limitations must not exceed 25%
  - Quantity bid limitations reported by associated applicants must be identical
  - A bidding association can further reduce an Applicant's quantity bid limitation
  - This quantity bid limitation is automatically enforced by the Auction Platform

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation ⚠  
**Corporate Associations**  
Bidding Associations  
Attestations & Signature  
Intent to Bid & Signature  
Financial Security

See the [most recent auction notice](#) sections titled Identifying Direct and Indirect Corporate Associations and Use of Direct and Indirect Corporate Associations for more information.

Does the Applicant have a direct or indirect Corporate Association with another applicant? \*

Yes    No

An affirmative answer to this statement requires disclosure of the direct or indirect Corporate Association(s) below.

Name of Applicant *	Bid Limitation (%) *	(cannot exceed 25%)
Haffner Manufacturing	10	
Name of Associated Applicant *	Bid Limitation (%) *	The Type of Association (i.e. Direct or Indirect) and a Brief Description of the Association *
Green Gen Solutions	5	Customer
Solar City Projects	5	Corporate Partner

Total = 10%

Next

# Bidding Associations [1]

Applicant Must First Indicate Whether or Not a Bidding Association Exists



- Auction Notice contains complete definitions
- The FAQs include an example of how bidding associations are used
- Applicants with a bidding association will be treated as a single entity

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation ⚠  
Corporate Associations  
**Bidding Associations**  
Attestations & Signature  
Intent to Bid & Signature  
Financial Security

The information in each Applicant's Qualification Application will be used to limit the quantity of CO<sub>2</sub> allowances bid by each party in the Bidding Association. See the [most recent auction notice](#) sections titled "Identifying Bidding Associations" and "Use of Bidding Associations" for more information and examples.

Does the Applicant have or expect to have a Bidding Association with another party? \*

Yes    No

An affirmative answer to this statement requires disclosure of the bidding association(s) below.

Does the Bidding Association involve bidding on a specific quantity of CO<sub>2</sub> allowances? \*

Yes    No

**Bidding Associations Involving a Specific Quantity of CO<sub>2</sub> Allowances**

Name of Other Party *	Is the Other Party an Applicant? *	Position of Other Party *	Description of the Type of Bidding Association (Reference <a href="#">Notice</a> Section 7.2.3.3 a-d) *	% of CO <sub>2</sub> Allowance *
Soler City Projects	No	Purchaser	Customer	5

Next

Applicant must first indicate whether or not a bidding association exists

Ability to specify whether the bidding association involves a specific quantity of allowances or a %

Applicant can enter **one** or **many** bidding associations if applicable

# Bidding Associations [2]

## Bidding Association not Involving a Specific Quantity of CO<sub>2</sub> Allowances



Provide the type of bidding association and a brief description (a-d) or other

- a) Has agreed to provide assistance with financing
- b) Is partnered with the other party for bidding purposes
- c) Has entered into any explicit or implicit agreements, etc.
- d) Expects to share Confidential Information

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI DEMO AUCTION (TESTING PURPOSES)

Qualification Deadline: Dec 18, 2019   Remediation Deadline: Dec 25, 2019   Financial Deadline: Dec 25, 2019   [Export As PDF](#)

The information in each Applicant's Qualification Application will be used to limit the quantity of CO<sub>2</sub> allowances bid by each party in the Bidding Association. See the [most recent auction notice](#) sections titled "Identifying Bidding Associations" and "Use of Bidding Associations" for more information and examples.

Does the Applicant have or expect to have a Bidding Association with another party?  Yes    No

An affirmative answer to this statement requires disclosure of the bidding association(s) below.

Does the Bidding Association involve bidding on a specific quantity of CO<sub>2</sub> allowances?  Yes    No

**Bidding Associations Not Involving a Specific Quantity of CO<sub>2</sub> Allowances**

Name of Applicant *	Bid Limitation (%) *	
Josh Utility Services	10	( cannot exceed 25% )

Name of Other Party *	Bid Limitation (%) *	The Type of Bidding Association and a brief Description of the association (Reference <a href="#">Notice</a> Section 7.2.3.3 a-d) *
Other Party 1	5.75	Description 1
Other Party 2	2.5	Description 2
Other Party 3	1.75	Description 3

Total = 10%

[Next](#)

Ability to specify whether the bidding association involves a specific quantity of allowances or a %

Applicant can enter one or many bidding associations if applicable

Bidding Associations are automatically summed based on applicant inputs, and cannot exceed 25%

# Bidding Associations [3]

## Effect of a Bidding Association



- For bidding associations involving a specific quantity of allowances:
  - The buyer's quantity bid limitation is not affected
  - The recipient's quantity bid limitation is reduced by an amount equal to the potential purchase

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation  
Corporate Associations  
**Bidding Associations**  
Attestations & Signature  
Intent to Bid & Signature  
Financial Security

The information in each Applicant's Qualification Application will be used to limit the quantity of CO<sub>2</sub> allowances bid by each party in the Bidding Association. See the [most recent auction notice](#) sections titled "Identifying Bidding Associations" and "Use of Bidding Associations" for more information and examples.

Does the Applicant have or expect to have a Bidding Association with another party?  Yes  No

An affirmative answer to this statement requires disclosure of the bidding association(s) below.

Does the Bidding Association involve bidding on a specific quantity of CO<sub>2</sub> allowances?  Yes  No

**Bidding Associations Involving a Specific Quantity of CO<sub>2</sub> Allowances**

Name of Other Party *	Is the Other Party an Applicant? *	Position of Other Party *	Description of the Type of Bidding Association (Reference <a href="#">Notice</a> Section 7.2.3.3 a-d) *	% of CO <sub>2</sub> Allowance *
Solar City Projects	No	Purchaser	Customer	5

Next

- For bidding associations not involving a specific quantity of allowances:
  - The 25% bid quantity limitation is apportioned between the associated Applicants

# Attestations [1]

## Positive Attestations Require an Explanation



- Disclosure of:
  - Indictment for a felony in federal or state jurisdiction
  - Violations in connection with any commodity market, exchange, or by the SEC or CFTC
  - Revocation or suspension of a business permit
  - Finding of non-responsiveness
- Additional information can be uploaded

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)

COATS Account Validation ⚠

Corporate Associations

Bidding Associations

**Attestations & Signature**

Intent to Bid & Signature

Financial Security

The following attestations must be made.

The applicant must answer yes or no for attestations 1-5. If the Applicant answers affirmatively to any of attestations 1-5, an explanation must be provided. An affirmative answer to any of these attestations does not automatically disqualify the Applicant. The explanation provided will be used to inform the decision regarding the applicant's qualification status. Include additional pages if necessary.

Has the Applicant, or any of its corporate officers, directors, principals, members (if the applicant is a LLC or LLP), or partners been indicted for a felony, in any federal or state jurisdiction, within the five (5) years up to and including the date of this Qualification Application? \*

Yes    No

See attached documentation

Has the Applicant, or any of its corporate officers, directors, principals, members (if the applicant is a LLC or LLP), or partners of the applicant been convicted of a felony, within the five (5) years preceding the date of this Qualification Application? \*

Yes    No

Has the Applicant been subject to any civil penalties, judgements, sanctions, or consent decrees arising out of the violation of any law, rule, regulation, or ordinance in connection with any commodity market or exchange, or by the Securities and Exchange Commission or Commodity Futures Trading Commission? \*

Yes    No

Has the Applicant had any permit or authority to do business in any jurisdiction revoked or suspended? \*

Yes    No

Has the Applicant been found to be non-responsible with regard to any federal, state, or local procurement, barred from public bidding or sanctioned for unauthorized disclosure of confidential information? \*

Yes    No

Positive attestations require an explanation

# Attestations [2]

## Document Upload Functionality and Signature Validation



- Violations do not necessarily disqualify applicant, but must be explained
- Applicants that do not sign the Attestation Form will not be qualified
- Signature required by the primary or secondary auction representative

The screenshot shows a web form titled "Attestations & Signature". On the left is a navigation menu with items: "General Info & Authorized Auction Rep(s)", "COATS Account Validation", "Corporate Associations", "Bidding Associations", "Attestations & Signature" (highlighted), "Intent to Bid & Signature", and "Financial Security". The main content area contains several paragraphs of text, a checkbox for "I acknowledge and accept the above attestations.", a file upload section with a "Select Files..." button and a "Done" button, and a list of uploaded files including "Historical Forwards Trend(s)\_North...". Below the file upload is a signature section with fields for "Signature" (containing "Joshua Haffner"), "Title" (containing "President"), and "Date" (containing "10/1/2019"). There is also a "Next" button at the bottom right. Three callout boxes are connected to the form: one points to the acknowledgment checkbox, another points to the date field, and a third points to the "No" radio button in the confidentiality assertion.

Applicant can upload one or many documents to supplement attestation responses

Date filed auto-populates with current date to maintain appropriate submission logs

Applicants may assert that they consider information submitted in the Qualification Application to be confidential

Applicants must acknowledge attestations without conditions

# Intent to Bid

## Registering Intent to Participate in the Upcoming RGGI Auction



- PAAR or SAAR must attest that:
- All information provided is accurate
- Procedures have been read and understood
- Applicant will comply with and be bound by CO<sub>2</sub> Allowance Auction Procedures

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation ▲  
Corporate Associations  
Bidding Associations  
Attestations & Signature  
**Intent to Bid & Signature**  
Financial Security

The Applicant intends on participating in RGGI Test Auction 2.

Please indicate if the Applicant has a business relationship with the RGGI Auction Manager (Enel X) and/or the independent Market Monitor (Potomac Economics)

Enel X North America, Inc.    Potomac Economics

The following attestations must be made:

1. All the information provided herein is accurate, true, and not misleading.
2. The Applicant has read and understands the auction procedures and requirements as outlined in the [Auction Notice](#).
3. The Applicant will comply with and be bound by the auction procedures and requirements as outlined in the [Auction Notice](#).
4. The Applicant acknowledges that failure to comply with any of the auction procedures or requirements, as contained in the [Auction Notice](#), may result in a procedure violation and barring from RGGI Test Auction 2 and/or future CO<sub>2</sub> Allowance Auctions.
5. The Applicant acknowledges that any fraudulent, misleading, manipulative, collusive or noncompetitive behavior in a RGGI CO<sub>2</sub> Allowance Auction or in the CO<sub>2</sub> allowance market may be investigated and prosecuted in accordance with any and all applicable regulations and laws.
6. The undersigned is authorized to make these attestations on behalf of the Applicant.

I agree to the above terms \*

Signature \*   Title \*   Date \*

Joshua Haffner   President   10/1/2019

Do you assert that the submitted information in this form is confidential? \*

Yes    No

Save & Continue

Applicant must indicate intent to bid and agree to the detailed terms in order to submit

Applicant to state if they have a relationship with the RGGI, Inc. contractors

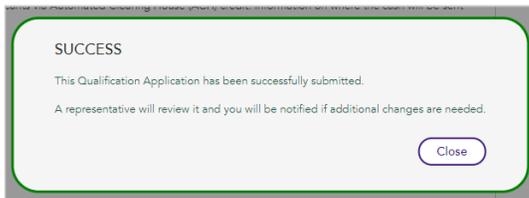
Date filed auto-populates with current date to maintain appropriate submission logs

Applicants must acknowledge attestations without conditions

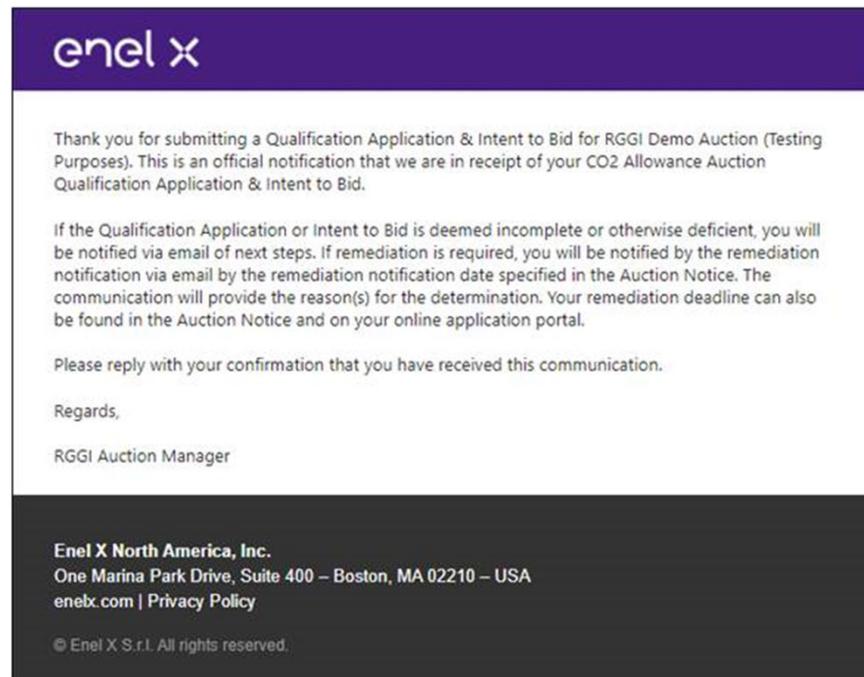
Applicant can assert confidentiality by selecting the appropriate response

# Submission Confirmation & Automated Email

Applicants are Notified of a Successful Submission



Applicant receives an automatic confirmation message upon submission. Indicates a successful submission.



The RGGI Portal automatically generates and sends an email to the primary and secondary representatives confirming a successful submission of the Qualification Application and/or Intent to Bid.

# Read-Only Fields After Submission

## Fields Transition to Read-Only Mode Post-Submission



Once submitted for review, the PAAR and SAAR can view the fields but cannot make changes unless flagged for remediation

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019   Remediation Deadline: Oct 15, 2019   Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  The Applicant intends on participating in RGGI Test Auction 2. \*

COATS Account Validation ▲ Please indicate if the Applicant has a business relationship with the RGGI Auction Manager (Enel X) and/or the independent Market Monitor (Potomac Economics)

Corporate Associations  Enel X North America, Inc.    Potomac Economics

Bidding Associations

Attestations & Signature

**Intent to Bid & Signature**

Financial Security

The following attestations must be made:

1. All the information provided herein is accurate, true, and not misleading.
2. The Applicant has read and understands the auction procedures and requirements as outlined in the [Auction Notice](#).
3. The Applicant will comply with and be bound by the auction procedures and requirements as outlined in the [Auction Notice](#).
4. The Applicant acknowledges that failure to comply with any of the auction procedures or requirements, as contained in the [Auction Notice](#), may result in a procedure violation and barring from RGGI Test Auction 2 and/or future CO<sub>2</sub> Allowance Auctions.
5. The Applicant acknowledges that any fraudulent, misleading, manipulative, collusive or noncompetitive behavior in a RGGI CO<sub>2</sub> Allowance Auction or in the CO<sub>2</sub> allowance market may be investigated and prosecuted in accordance with any and all applicable regulations and laws.
6. The undersigned is authorized to make these attestations on behalf of the Applicant.

I agree to the above terms. \*

Signature \*   Title \*   Date \*

Joshua Haffner   President   10/1/2019

Do you assert that the submitted information in this form is confidential? \*

Yes    No

[Save & Continue](#)

After submission and before the submission deadline, if the primary or secondary auction representative wants to make a change they must email the RGGI Auction Manager at [auctionmanager.enelxnorthamerica@enel.com](mailto:auctionmanager.enelxnorthamerica@enel.com) to reopen their submission

# Financial Security Form Submission

## Financial Fields and Validation



Applicant can enter up to 3 types of financial security for an auction

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI TEST AUCTION 2

Qualification Deadline: Oct 1, 2019    Remediation Deadline: Oct 15, 2019    Financial Deadline: Oct 23, 2019

General Info & Authorized Auction Rep(s)  
COATS Account Validation ▲  
Corporate Associations  
Bidding Associations  
Attestations & Signature  
Intent to Bid & Signature  
**Financial Security**

In the field below indicate the amount of financial security provided with certified funds.

Total Financial Security Amount (USD) \*  
1500000

All unused cash balances will be returned to applicants via Automated Clearing House (ACH) credit. Information on where the cash will be sent must be provided below.

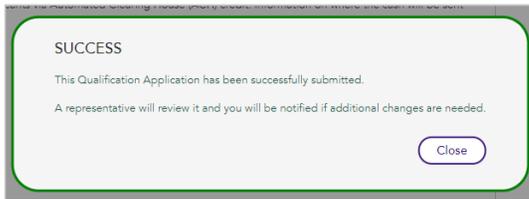
Security Type *	Account Name *	ABA Number *	Account Number *	Account Type *
Letter ▼				
Check ▼	Checking Account	1234567890	1234567890	Checking ▼
Bond ▼				

Save

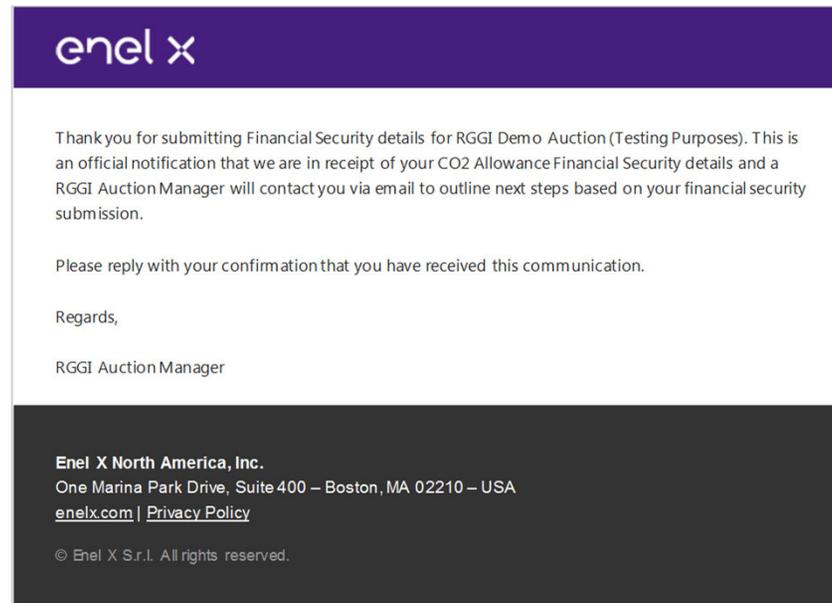
Check and Letter of Credit security types require additional data for validation

# Submission Confirmation & Automated Email

Applicants are Notified of a Successful Submission



Applicant receives an automatic confirmation message upon submission. Indicates a successful submission.



The RGGI Portal automatically generates and sends an email to the primary and secondary representatives confirming a successful submission of the Financial Security information.

# Export Functionality

Export a PDF File of the Submitted Information



REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI DEMO AUCTION (TESTING PURPOSES)

Qualification Deadline: Dec 18, 2019   Remediation Deadline: Dec 25, 2019   Financial Deadline: Dec 25, 2019

**Export As PDF**

**General Info & Authorized Auction Rep(s)**

COATS Account Validation ⚠

Corporate Associations

Bidding Associations

Attestations & Signature

Intent to Bid & Signature

Financial Security

Applicant Name \*  
Joshua's Green Gen Solutions

Street Address \*   City \*  
1 Marina Park Drive   Boston

Country / Region \*   State / Province \*  
United States   Massachusetts

Applicant Category \*  
 Individual  
 Other Corporate Entity

REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) ENROLLMENT - RGGI DEMO AUCTION (TESTING PURPOSES)

GENERAL INFO & AUTHORIZED AUCTION REPS

Applicant Name \*  
Joshua's Green Gen Solutions

Street Address \*   City \*  
1 Marina Park Drive   Boston

Country / Region \*   State / Province \*   Postal Code \*  
USA   MA   02210

Applicant Category \*  
 Individual  
 Other Corporate Entity

Describe the Nature of the Applicant's Core Business or Organization \*  
Green Energy Generation

Place of Incorporation \*   Federal Tax ID \*   DUNS # [GZ](#) \*  
Delaware   123456789   123456789

Years in Business \*   Web Site  
2   www.google.com

See the [most recent auction notice](#) section titled "Authorized Auction Representative" for more information.

**Primary Authorized Auction Representative**

First Name \*   Last Name \*   Title \*  
Joshua   Haffner   President

INTENT TO BID & SIGNATURE

The Applicant intends on participating in RGGI Demo Auction (Testing Purposes). \*

Please indicate if the Applicant has a business relationship with the RGGI Auction Manager (Enel X) and/or the independent Market Monitor (Potomac Economics).

Enel X North America, Inc.    Potomac Economics

The following attestations must be made:

- All the information provided herein is accurate, true, and not misleading.
- The Applicant has read and understands the auction procedures and requirements as outlined in the [Auction Notice](#).
- The Applicant will comply with and be bound by the auction procedures and requirements as outlined in the [Auction Notice](#).
- The Applicant acknowledges that failure to comply with any of the auction procedures or requirements, as contained in the [Auction Notice](#), may result in a procedure violation and barring from RGGI Demo Auction (Testing Purposes) and/or future COB Allowance Auctions.
- The Applicant acknowledges that any fraudulent, misleading, manipulative, collusive or noncompetitive behavior in a RGGI COB Allowance Auction or in the COB allowance market may be investigated and prosecuted in accordance with any and all applicable regulations and laws.
- The undersigned is authorized to make these attestations on behalf of the Applicant.

I agree to the above terms \*

Signature \*   Title \*   Date \*  
Joshua Haffner   President   11/14/2019

Do you assert that the submitted information in this form is confidential? \*  
 Yes    No

Export Qualification Application, Intent to Bid, and Financial Security sections to a PDF file, optimized for printing

# RGGI Applicant Landing Page

## View Form Submission Statuses and Next Steps



REGIONAL GREENHOUSE GAS INITIATIVE (RGGI) - HOME PAGE

Welcome Joshua Haffner,

Thank you for submitting your Qualification Application, Intent to Bid, and Financial Security for RGGI Demo Auction (Testing Purposes). Your application is under review and you will be notified of your next steps.

#### DEADLINES & DATES

- DEC 18** **Qualification & Intent to Bid**  
initial deadline to submit QA and/or Intent to Bid
- DEC 25** **Remediation Deadline**  
to re-submit application documents if flagged
- DEC 25** **Financial Security Due**  
deadline for submitting financial information
- DEC 16** **Auction Event**  
starting at 9:00 AM EPT for approved bidders

#### APPLICATION STATUS

- ▲ Qualification Application submitted
  - ✓ General Info
  - ▲ COATS Validation
  - ✓ Corporate Associations
  - ✓ Bidding Associations
  - ✓ Attestations
- ✓ Intent To Bid submitted
- ✓ Financial Security Info Submitted
- ➔ Under Review
- ✓ Remediation advised if necessary
- ✓ Remediation submitted if necessary

#### ACTIONS

- Enter Application
- View RGGI Documentation
- View RGGI FAQ
- Email Representative

Red font and exclamation point associated with the COATS Validation section which indicates that the validation failed and will need to be remediated by the applicant

Upon submission, the primary and secondary representatives can navigate back to the RGGI Portal to view a status update on each form section and understand next steps

Thank You!

enel x

