RGGI Portal – Training and Support Tutorial

Regional Greenhouse Gas Initiative
Previously Qualified Applicants Submitting Through the RGGI Portal the First Time

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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 must be entered and verified

Information on the applicant’s corporate and bidding associations and positive attestations 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 added

- Applicants can now upload a document explaining a positive attestation as well as supporting documents

Applicants must complete the signature process
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 from 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 message the RGGI Auction Manager

The *Qualification Application* must be submitted no later than 5:00 PM ET on Wednesday, January 29, 2020

- The submission window **automatically** closes at the deadline
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 5:00 PM ET on Wednesday, January 29, 2020
- The submission window automatically closes at the deadline
New Applicants
Participation Requirements

Open general account or retrieve compliance account number (if created) in the RGGI CO₂ 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 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.

Please note that granting an Auction Platform account does not automatically allow the applicant to participate in a RGGI Auction, an applicant still must meet all the participation requirements.
New Applicant Registration
Landing Page for New Applicants to Register for Auction Platform Access

Auction Platform is located at: rggie.exchange.apps.enelx.com

New Applicants must indicate whether they are registering to participate in a Regional Greenhouse Gas Initiative CO2 Allowance auction.
The new applicant registration form captures general information about the applicant and information on the primary and secondary authorized auction representatives.

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)
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.

- All Auction Representatives receive Auction Platform access
- Ideally the PAAR is the same person as the RGGI COATS Authorized Account Rep
- Applicant may designate a Secondary Authorized Auction Representative (SAAR)
- Authorized Auction Representative(s) receive all communications related to auction
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. 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 1-800-578-0738.

   The Enel X Exchange Team

2. 

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 .

   New Password

   Repeat Password

   Next
Section 3 – Previously Qualified Applicants
Previously Qualified Applicants

Participation Requirements

Submit an *Intent to Bid* via the RGGI Portal

Meet the financial security requirements
Previously Qualified Applicants

Overview of Changes to the Old Paper-based Process

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

First Time Submitting Through the RGGI Online Application Portal

Starting with Auction 47, all previously qualified applicants utilizing the RGGI Portal for the first time must review all the information that has been preloaded including:

- General Information
- Authorized Auction Representative(s)

The applicant’s COATS account number must be entered and verified.

Information on the applicant’s corporate and bidding associations and positive attestations has not been preloaded and must be entered.

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

Information on positive attestations must be entered.

- Applicants can now upload a document explaining a positive attestation as well as supporting documents.

Applicants must complete the signature process.
Section 4 – 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 have an active Auction Platform account?
   - If Yes, the new representative must email the RGGI Auction Manager at 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: rggie.exchange.apps.enelx.com

Applicant must indicate whether they are registering to participate in a Regional Greenhouse Gas Initiative CO₂ Allowance auction.
Section 5 – Qualification Application, Intent to Bid, and Financial Security Information Submission
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

To participate in the upcoming Regional Greenhouse Gas Initiative Carbon auction, RGGI Demo Auction (Testing Purposes), please electronically submit your Qualification Application, Intent to Bid, and Financial Security forms by the deadlines listed below.

**DEADLINES & DATES**

- **Qualification & Intent to Bid**
  - 18
  - Deadline to submit QA and Intent to Bid

- **Remediation Deadline**
  - 23
  - To resubmit application documents if flagged

- **Financial Security Due**
  - 25
  - Deadline for submitting financial information

- **Auction Event**
  - 16
  - Starting at 10:00 AM EST for approved bidders

**APPLICATION STATUS**

- Please click the Enter Application button on the right and follow the instructions on-screen to submit your Qualification Application, Intent to Bid, and Financial Security forms.
- Once submitted, you can view your application status and next steps here.

**ACTIONS**

- **Enter Application**
- **View RGGI Documentation**
- **View RGGI F.A.Q.**
- **Email Representative**

**Select to access RGGI Qualification Application, Intent to Bid, and Financial Security forms**

**Select to navigate to RGCI auction materials and FAQs located on the RGGI website**

**Select to open blank mail to the RGGI Auction Manager**

Deadlines are turn red when within 7 days

Application status will populate with next steps once submitted
General Info & Authorized Auction Rep(s)
Applicant Company and Contact Details

- Ideally the PAAR is the same person as the RGGI COATS Authorized Account Rep
- Applicant may designate a Secondary Authorized Auction Representative
- Authorized Auction Representative(s) receive all communications related to auction

Tabs provide navigation to the different sections

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
COATS Account Validation

Account Validated via On-Demand API Connection

- Account into which CO₂ 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.
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

Applicant must first indicate whether or not a corporate association exists
Applicant can enter one or many corporate associations if applicable
Information that must be disclosed includes:

- Name of applicant and bid limitation
- Name of associated applicant
- 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

Corporate Associations are automatically summed based on applicant inputs and cannot exceed 25%
Corporate Associations [3]
Effect of a Corporate Association

Bid Limitation (%)

- Bid limitations are enforced in a static manner
- The sum of apportioned bid limitations must not exceed a total bid limit of 25%, or less than 25% if the applicant has reported bidding associations that would cause their bid limitation to be reduced
- Bid limitations reported by associated applicants must be identical
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

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 CO₂ 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

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

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 [3]

Effect of a Bidding Association

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

• 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
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

Applicants must acknowledge attestations without conditions

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
Registering Intent to Participate in the Upcoming RGGI Auction

**Intent to Bid**

- 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 CO₂ Allowance Auction Procedures

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 asset 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 Intent to Bid.
Once submitted for review, the PAAR and SAAR can view the fields but cannot make changes unless flagged for remediation.

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 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

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

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