



## NEPOOL GIS Certificate Transfers to Another Account Holder User Guide

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 User Guide 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 |

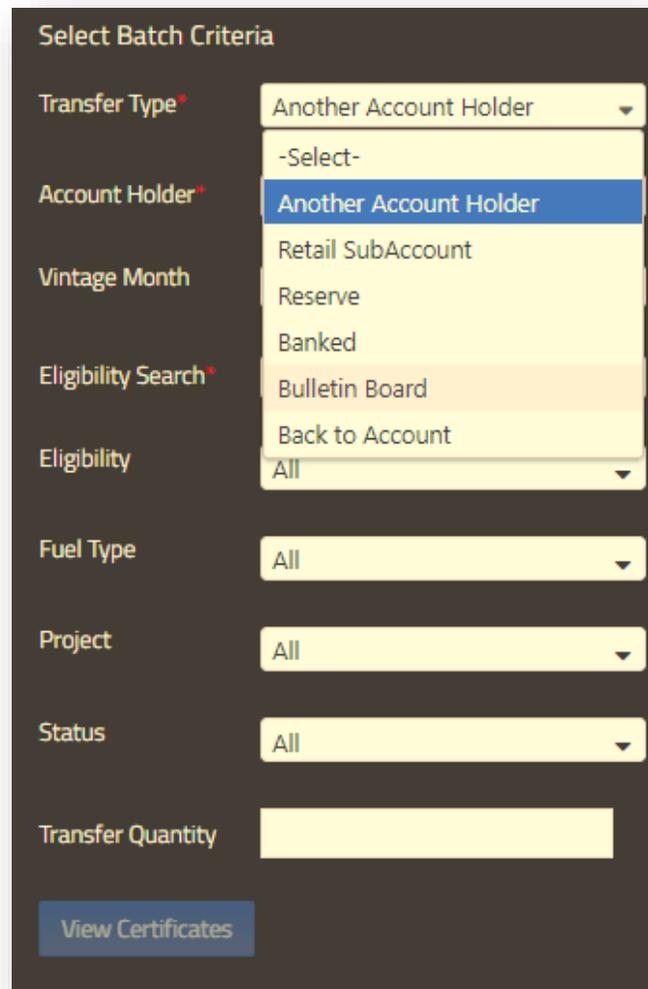
## B. Transfer Certificates to Another Account Holder

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.

The image shows a 'Select Batch Criteria' form with several dropdown menus and a text input field. The 'Transfer Type' dropdown is set to 'Another Account Holder'. The 'Account Holder' dropdown is also set to 'Another Account Holder'. Other dropdowns include 'Vintage Month', 'Eligibility Search', 'Eligibility', 'Fuel Type', 'Project', and 'Status', all set to 'All'. There is a text input field for 'Transfer Quantity'. A 'View Certificates' button is at the bottom.

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

The screenshot shows a 'Select Batch Criteria' form with the following fields and values:

- Transfer Type\***: Another Account Holder
- Account Holder\***: Account1
- Vintage Month**: Search box with a magnifying glass icon.
- Eligibility Search\***: Dropdown menu with 'Account1' selected. Other options include Account2, Account3, Account4, Account5, and Account6.
- Eligibility**: (Empty)
- Fuel Type**: (Empty)
- Project**: All
- Status**: All
- Transfer Quantity**: (Empty)

A blue button labeled 'View Certificates' is located at the bottom of the form.

**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

Select Batch Criteria

Transfer Type\*

Account Holder\*

Vintage Month

Eligibility Search\*

Eligibility

Fuel Type

Project

Status

Transfer Quantity

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

Select Batch Criteria

Transfer Type\*

Account Holder\*

Vintage Month

Eligibility Search\*

Eligibility

Fuel Type

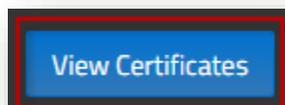
Project

Status

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.

Select Your Certificates

Select All Clear All

| Quantity | Transfer Quant...              | Vintage | Unit Name                      | Fuel Type | Status       |
|----------|--------------------------------|---------|--------------------------------|-----------|--------------|
| 12       | <input type="text" value="0"/> | 01/2017 | 146 CAMPANELLI-02072PV332NM    | Coal      | Transferable |
| 3        | <input type="text" value="0"/> | 01/2017 | 146 SUPPLY CTR-01527PV98QF     | Coal      | Transferable |
| 7        | <input type="text" value="0"/> | 01/2017 | 15 UNION SOLAR LLC-LAWRENCE-PV | Coal      | Transferable |
| 1        | <input type="text" value="0"/> | 01/2017 | 18 PHOENIX PARK BLDG DEAST & F | Coal      | Transferable |
| 1        | <input type="text" value="0"/> | 01/2017 | 18 PHOENIX PARK BLDG DWEST     | Coal      | Transferable |
| 4        | <input type="text" value="0"/> | 01/2017 | 19 POND RD LLC-01930PV200QF    | Coal      | Transferable |
| 1        | <input type="text" value="0"/> | 01/2017 | 1ST CONGREGATION-02176PV90NM   | Coal      | Transferable |
| 109      | <input type="text" value="0"/> | 01/2017 | 205 STURBRIDGE-01010PV3000NM   | Coal      | Transferable |
| 3        | <input type="text" value="0"/> | 01/2017 | 210 UPHAM (PV)                 | Coal      | Transferable |

1 - 50 of 3582 items

0 Certificates Ready for Transfer

Up to 20,000 certificates should to be selected to execute a transfer

Transfer

**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.

- 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.

Select Your Certificates

| Quantity | Transfer Quant...               | Vintage | Unit Name                      | Fuel Type | Status       |
|----------|---------------------------------|---------|--------------------------------|-----------|--------------|
| 12       | <input type="text" value="12"/> | 01/2017 | 146 CAMPANELLI-02072PV332NM    | Coal      | Transferable |
| 3        | <input type="text" value="3"/>  | 01/2017 | 146 SUPPLY CTR-01527PV98QF     | Coal      | Transferable |
| 7        | <input type="text" value="7"/>  | 01/2017 | 15 UNION SOLAR LLC-LAWRENCE-PV | Coal      | Transferable |
| 1        | <input type="text" value="1"/>  | 01/2017 | 18 PHOENIX PARK BLDG DEAST & F | Coal      | Transferable |
| 1        | <input type="text" value="1"/>  | 01/2017 | 18 PHOENIX PARK BLDG DWEST     | Coal      | Transferable |
| 4        | <input type="text" value="4"/>  | 01/2017 | 19 POND RD LLC-01930PV200QF    | Coal      | Transferable |
| 1        | <input type="text" value="1"/>  | 01/2017 | 1ST CONGREGATION-02176PV90NM   | Coal      | Transferable |
| 109      | <input type="text" value="0"/>  | 01/2017 | 205 STURBRIDGE-01010PV3000NM   | Coal      | Transferable |
| 3        | <input type="text" value="3"/>  | 01/2017 | 210 UPHAM (PV)                 | Coal      | Transferable |

1 - 50 of 3582 items

1069 Certificates Ready for Transfer

**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 designated Account Holder selected from the selection criteria.

1069 Certificates Ready for Transfer

**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.



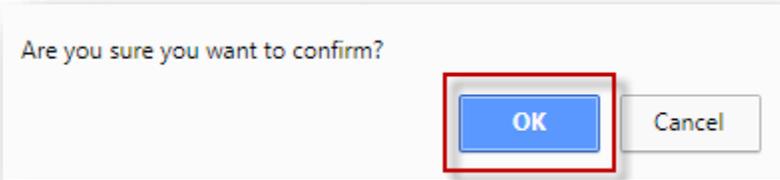
3. Select the checkbox(es) under the Select All column and click the ‘Confirm’ button to accept the selected REC transfer(s) or click on the Confirm All button to accept all REC Transfers in the Inbox.

Report

Total Selected Quantity: 10

| Select                              | Status  | Transferor | Quantity | Unit ID   | Generator Plant-Unit Name | Fuel Type | Vintage Year/Month | Certificate Serial Numbers | CT Class I | CT Class LREC | CT Class II | CT Class III | CT Class CEO | MA RPS Class I Renewable Generation Unit | MA Solar Carve-Out I | MA Auction Solar Carve-Out I | MA Solar Carve-Out II |
|-------------------------------------|---------|------------|----------|-----------|---------------------------|-----------|--------------------|----------------------------|------------|---------------|-------------|--------------|--------------|--|----------------------|------------------------------|-----------------------|
| <input checked="" type="checkbox"/> | Pending | Account1   | 10       | NON113303 | Plant 29 - Unit 29        | Wind      | 2017/6             | 1378709 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Plant 29 - Unit 29        | Wind      | 2017/5             | 1378708 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Plant 29 - Unit 29        | Wind      | 2017/4             | 1378707 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Plant 29 - Unit 29        | Wind      | 2017/3             | 1378706 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Plant 29 - Unit 29        | Wind      | 2017/2             | 1378705 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Plant 29 - Unit 29        | Wind      | 2017/1             | 1378704 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113302 | Plant 28 - Unit 28        | Wind      | 2017/1             | 1378695 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113301 | Plant 27 - Unit 27        | Wind      | 2017/9             | 1378694 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113301 | Plant 27 - Unit 27        | Wind      | 2017/8             | 1378693 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113301 | Plant 27 - Unit 27        | Wind      | 2017/7             | 1378692 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                   | No                           | No                    |

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



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

**Transfer Confirmation**

From: Account1

Quantity: 10

[Deposit Sub-Account - ID - Type]: \*

\* Required Field

Accept Cancel

Select Sub-Account ▼

Select Sub-Account

Transferrable Status

Active CT - 36577

Active MA - 36578

Active ME - 36579

Active NH - 36580

Active RI - 36581

Active VT - 36582

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6. Click the Accept button to confirm the location where the REC's will be deposited.

**Transfer Confirmation**

From: Account1

Quantity: 10

[Deposit Sub-Account - ID - Type]: \*

Transferrable Status ▼

\* Required Field

Accept Cancel

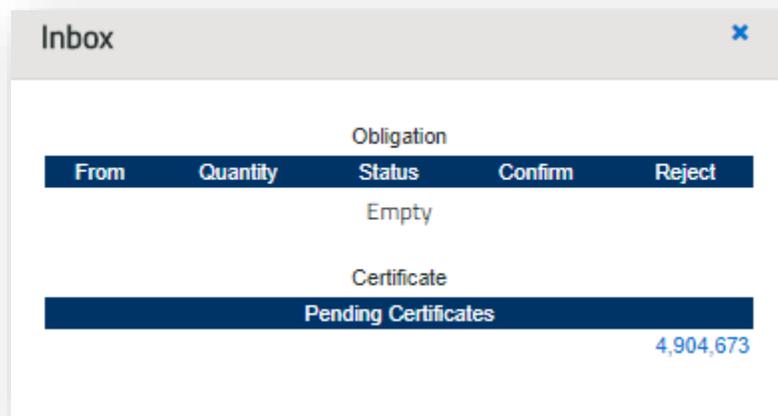
7. Transferor and Transferee will be notified via email of the confirmed REC Transfer.

## 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.

Report

Total Selected Quantity: 10

Confirm

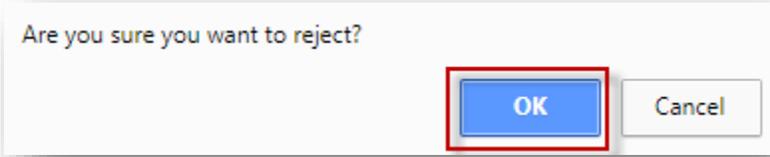
Reject

Confirm All

Reject All

| Select                              | Status  | Transferor | Quantity | Unit ID   | Generator Plant-Unit Name     | Fuel Type | Vintage Year/Month | Certificate Serial Numbers | CT Class I | CT Class LREC | CT Class II | CT Class III | CT Class 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 |
|-------------------------------------|---------|------------|----------|-----------|-------------------------------|-----------|--------------------|----------------------------|------------|---------------|-------------|--------------|--------------|--|---------------------------|-----------------------------------|----------------------------|
| <input checked="" type="checkbox"/> | Pending | Account1   | 10       | NON113303 | Account7 - Plant 29 - Unit 29 | Wind      | 2017/6             | 1378709 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Account7 - Plant 29 - Unit 29 | Wind      | 2017/5             | 1378708 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Account7 - Plant 29 - Unit 29 | Wind      | 2017/4             | 1378707 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Account7 - Plant 29 - Unit 29 | Wind      | 2017/3             | 1378706 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Account7 - Plant 29 - Unit 29 | Wind      | 2017/2             | 1378705 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113303 | Account7 - Plant 29 - Unit 29 | Wind      | 2017/1             | 1378704 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113302 | Account7 - Plant 28 - Unit 28 | Wind      | 2017/1             | 1378695 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113301 | Account7 - Plant 27 - Unit 27 | Wind      | 2017/9             | 1378694 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113301 | Account7 - Plant 27 - Unit 27 | Wind      | 2017/8             | 1378693 - 321 to 330       | No         | No            | No          | No           | No           | No                                       | No                        | No                                | No                         |

4. Click the 'OK' button to confirm 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.



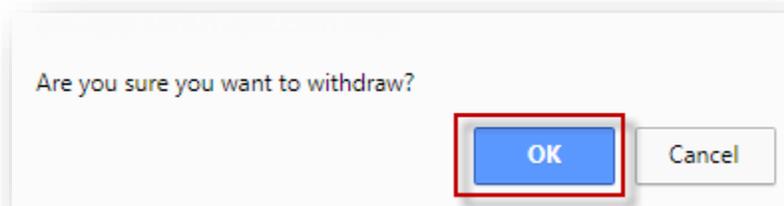
3. Select the checkbox(es) under the Select All column and click the 'Withdraw' button to withdraw the selected REC transfer(s) or click on the 'Withdraw All' button to withdraw all REC Transfers in the Outbox.

Report

Total Selected Quantity:

| Select                              | Status  | Transferee | Quantity | Unit ID   | Generator Plant-Unit Name       | Fuel Type | Vintage Year/Month | Certificate Serial Numbers | CT Class I | CT LREC | CT Class II | CT Class III | CT Class IV | CT Class V | MA RPS Class I Renewable Generation Unit | MA Solar Carve-Out Unit | MA Auction Solar Carve-Out Unit | MA Solar Carve-Out Unit | MA Auction Solar Carve-Out Unit |
|-------------------------------------|---------|------------|----------|-----------|---------------------------------|-----------|--------------------|----------------------------|------------|---------|-------------|--------------|-------------|------------|--|-------------------------|---------------------------------|-------------------------|---------------------------------|
| <input checked="" type="checkbox"/> | Pending | Account1   | 10       | NON113383 | Account7 - Plant 109 - Unit 109 | Wind      | 2017/1             | 1378347 - 1941 to 1950     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input checked="" type="checkbox"/> | Pending | Account1   | 10       | NON113381 | Account7 - Plant 107 - Unit 107 | Wind      | 2017/1             | 1378068 - 1931 to 1940     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113383 | Account7 - Plant 109 - Unit 109 | Wind      | 2017/1             | 1378347 - 1931 to 1940     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113383 | Account7 - Plant 109 - Unit 109 | Wind      | 2017/1             | 1378347 - 1921 to 1930     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113381 | Account7 - Plant 107 - Unit 107 | Wind      | 2017/1             | 1378068 - 1921 to 1930     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113381 | Account7 - Plant 107 - Unit 107 | Wind      | 2017/1             | 1378068 - 1911 to 1920     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113381 | Account7 - Plant 107 - Unit 107 | Wind      | 2017/1             | 1378068 - 1901 to 1910     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113381 | Account7 - Plant 107 - Unit 107 | Wind      | 2017/1             | 1378068 - 1891 to 1900     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |
| <input type="checkbox"/>            | Pending | Account1   | 10       | NON113381 | Account7 - Plant 107 - Unit 107 | Wind      | 2017/1             | 1378068 - 1881 to 1890     | No         | No      | No          | No           | No          | No         | No                                       | No                      | No                              | No                      | No                              |

4. Click the 'OK' button to confirm 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.