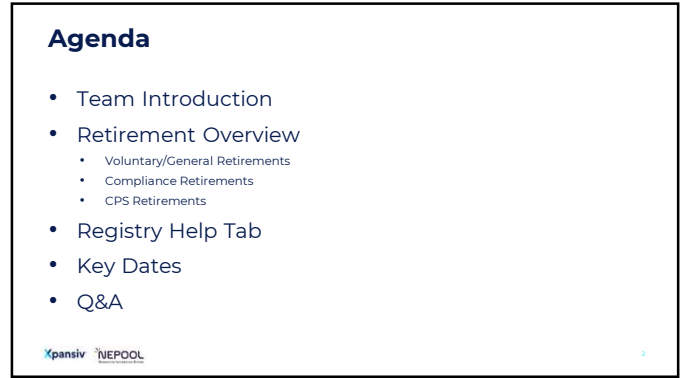




1



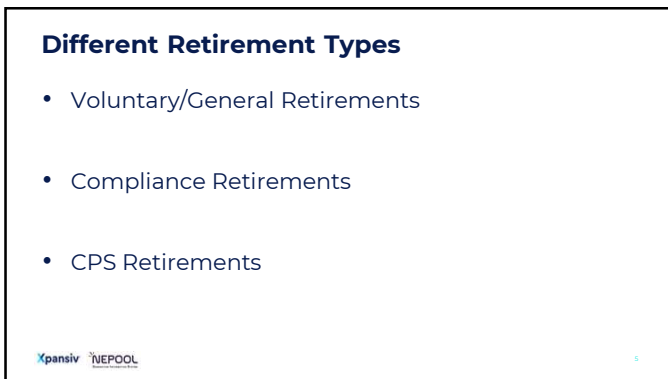
2



3



4



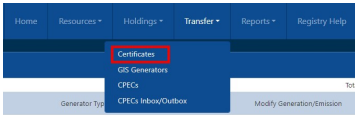
5



6

Voluntary Retirements - Process

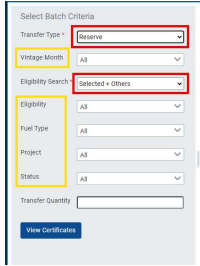
- To initiate transfer of GIS Certificates to a Reserve Sub-Account, the User takes the following steps:
 - Log into NEPOOL GIS.
 - In the Account Dashboard, User clicks on the Transfer option from the menu bar as shown below:



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Voluntary Retirements - Process

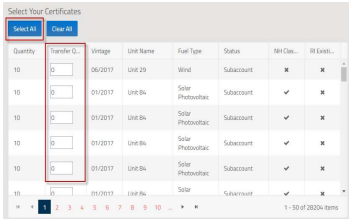
- In the Select Batch Criteria section on the left pane, User selects Reserve Sub-Account under the Transfer Type drop-down.
- Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.



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Voluntary Retirements Process

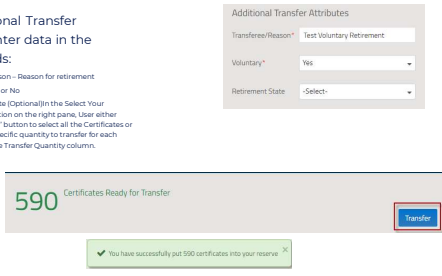
- After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.
- In the Select Your Certificates section on the right pane, User either clicks 'Select All' button to select all the Certificates or enters in the specific quantity to transfer for each batch under the Transfer Quantity column.



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Voluntary Retirements Process

- In the Additional Transfer Attributes, enter data in the available fields:
 - Transfer Reason - Reason for retirement
 - Voluntary - Yes or No
 - Retirement State (Optional) 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.



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Compliance Retirements

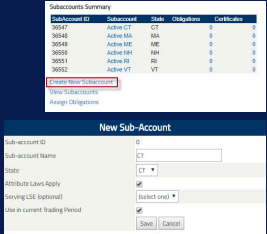
- In GIS, the Retail Sub-Account is used to retire Certificates for Compliance purposes. Certificates can be "Retired" to meet LSE compliance requirements with NEPOOL state regulators (CT, MA, ME, RI, NH, VT).
- Users may transfer Certificates in and out of a Retail Sub-Account at any time during an active trading period. Certificates will permanently retire in the Retail Sub-Account at the end of an active trading period.
- There are 3 steps to completing compliance retirements. Creating a compliance sub-account, assigning load obligation and transferring certificates to a subaccount

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Compliance Retirements Process

Creating a Retail Sub-account

- In the Account Dashboard, locate the Account Status module.
- Under the Account Status module, click on the 'Create New Subaccount' hyperlink.
- In the New Sub-Account page, enter data into the new Sub-Account fields.
- Click on the 'Save' button to create new Sub-Account.



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Compliance Retirements Process

Assigning Load Obligation

- In the Account Dashboard, locate the Account Status module.
- Under the Account Status module, click on the 'Assign Obligations' hyperlink.
- In the Assign Obligations to Subaccounts page, enter the Obligation amount for each Subaccount that you're expecting to transfer certificates into.
- Click the 'Save' button to complete Load Obligation assignments.

| Subaccount ID | Subaccount | State | Obligation | Certificates |
|---------------|------------|-------|------------|--------------|
| 30001 | Active CT | CT | 0 | 0 |
| 30048 | Active MA | MA | 0 | 0 |
| 30049 | Active ME | ME | 0 | 0 |
| 30050 | Active NH | NH | 0 | 0 |
| 30051 | Active RI | RI | 0 | 0 |
| 30052 | Active VT | VT | 0 | 0 |

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Compliance Retirements Process

Transferring to a Retail to Sub-Account

- To initiate transfer of GIS Certificates to a Retail Sub-Account, take the following steps:
 - Log into NEPOOL GIS.
 - In the Account Dashboard, User clicks on the Transfer option from the menu bar as shown below.

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Compliance Retirements Process

Transferring to a Retail to Sub-Account

- In the Select Batch Criteria section on the left pane, User selects Retail SubAccount under the Transfer Type drop-down. Under the Account Status module, click on the 'Assign Obligations' hyperlink.
- Under the Retail SubAccount drop-down in the Select Batch Criteria section, User selects the Retail SubAccount where the RECs will be retired.
- Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Project, Status, and/or Add Transfer quantity.
- Once all the options are selected, User clicks on the 'View Certificates' button to populate the requested data on the right pane.

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Compliance Retirements Process

Transferring to a Retail to Sub-Account

- After clicking the 'View Certificates' button, the right pane populates the data result based on the options selected in the Select Batch Criteria.
- 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.
- User clicks the 'Transfer' button to execute Certificate transfer to the Retail SubAccount.
- A pop-up box will display to confirm that the RECs have been successfully transferred to the Retail SubAccount.

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CPS Retirement - Process

- CPEC Retirements are only available to Load Serving Entities (LSE). To retire CPECs, Take the following steps:
 - Log into NEPOOL GIS.
 - In the Account Dashboard, User clicks on the Transfer option from the menu bar as shown below:

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CPS Retirement - Process

- In the Select Batch Criteria section on the left pane, User selects Retirement under the Transfer Type drop-down.
- Under the Compliance Year drop down select the compliance year where CPECs will be retired.
- Under the Eligibility Search drop-down in the Select Batch Criteria section, User selects an eligibility search option.
 - Resource - CPECs - Resources for certificate holdings that have a retirement and are under all-eligibility.
 - Resource - CPECs - Resources for certificate holdings that are not under all-eligibility.
 - At Least One - Resources for certificate holdings that are at least one resource eligibility and under all-eligibility.
- Select additional batch criteria under the remaining optional fields Vintage Month, Eligibility, Fuel Type, Resource, and/or Add Transfer quantity.

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CPS Retirement Process

- After clicking the "View CPECs" button, the right pane populates the data result based on the options selected in the Select Batch Criteria.

The screenshot shows a table with the following data:

| Quantity | Transfer Quantity | Certificate Type | Certificate Status | Reserve Name | Reserve ID | Reserve Type | Fuel Type | Vintage |
|----------|-------------------|------------------|--------------------|--------------|------------|-------------------------------|----------------|---------|
| 10000 | 10000 | CRC | Active | No Load Shed | CR002 | CR Storage-United Sub-Reserve | Energy Storage | 2018-01 |
| 10000 | 10000 | CRC | Active | No Load Shed | CR002 | CR Storage-United Sub-Reserve | Energy Storage | 2018-02 |
| 10000 | 10000 | CRC | Active | No Load Shed | CR002 | CR Storage-United Sub-Reserve | Energy Storage | 2018-03 |

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Registry Help Tab

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Registry Help

Navigation: Home | Reports | **Registry Help** | Profile

REGISTRY HELP

GIS Program and System Questions Contact:
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 Tel: 408-999-3343
 Fax: 408-932-7113
 gis@apx.com, bngoc@apx.com

NEPOOL GIS How to Links
 Below are the links to the various NEPOOL GIS User Guides from the **GIS Help Center**.

Account Registration

- Account Registration Process Overview
- Register Non-NEPOOL Member Account
- Register NEPOOL Member Account
- Activate New Account Registration

GIS Generator Registration

- Select NEPOOL System Operator
- Register Non-NEPOOL Generator
- Register NEPOOL Generator (GIS Profile)

Compliance Retirement

- Transfer Certificates to a Retail Sub-Account
- Create a Compliance Sub-Account
- Assign Load Obligation

General/Voluntary Retirement

- Transfer Certificates to the Reserve Sub-Account

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Key Dates

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Important NEPOOL GIS Dates

| Generation Month | Last Day to Submit MWh, Import Claims, Emissions, RPS Eligibility | Issuance Date | First Day of Trading Period | Last Day of Trading Period | Quarter |
|------------------|---|---------------|-----------------------------|----------------------------|---------|
| January | July 10 | July 15 | July 15 | September 15 | 1 |
| February | July 10 | July 15 | July 15 | September 15 | 1 |
| March | July 10 | July 15 | July 15 | September 15 | 1 |
| April | October 10 | October 15 | October 15 | December 15 | 2 |
| May | October 10 | October 15 | October 15 | December 15 | 2 |
| June | October 10 | October 15 | October 15 | December 15 | 2 |
| July | January 10 | January 15 | January 15 | March 15 | 3 |
| August | January 10 | January 15 | January 15 | March 15 | 3 |
| September | January 10 | January 15 | January 15 | March 15 | 3 |
| October | April 10 | April 15 | April 15 | June 15 | 4 |
| November | April 10 | April 15 | April 15 | June 15 | 4 |
| December | April 10 | April 15 | April 15 | June 15 | 4 |

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Q&A

(gis@apx.com)

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