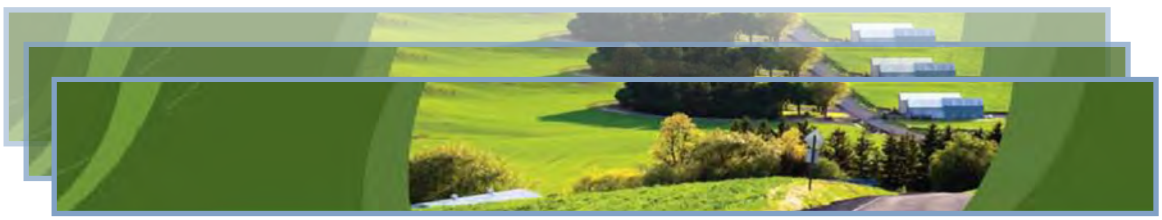
EMTS User's Guide

Version 3.2



United States
Environmental Protection
Agency

EMTS User's Guide

Version 3.2

Compliance Division
Office of Transportation and Air Quality
U.S. Environmental Protection Agency

IMPORTANT REMINDER:

Regulated parties are urged to conduct due diligence investigations and exercise caution when conducting Renewable Identification Number (RIN) transactions. Neither EPA nor its systems, including the EPA Moderated Transaction System (EMTS), certify or validate RINs or make any provision for parties who, despite good faith, transfer or receive invalid RINs. As specified in the regulations at 40 CFR 80.1431(b)(2), invalid RINs cannot be used to achieve compliance with the Renewable Volume Obligations of an obligated party or exporter, regardless of the party's good faith belief that the RINs were valid at the time they were acquired. Additionally, the regulations at 40 CFR 80.1460(b)(2) prohibit the creation or transfer to any person of a RIN that is invalid.

United States Environmental Protection Agency

EPA-420-B-14-079
September 2014

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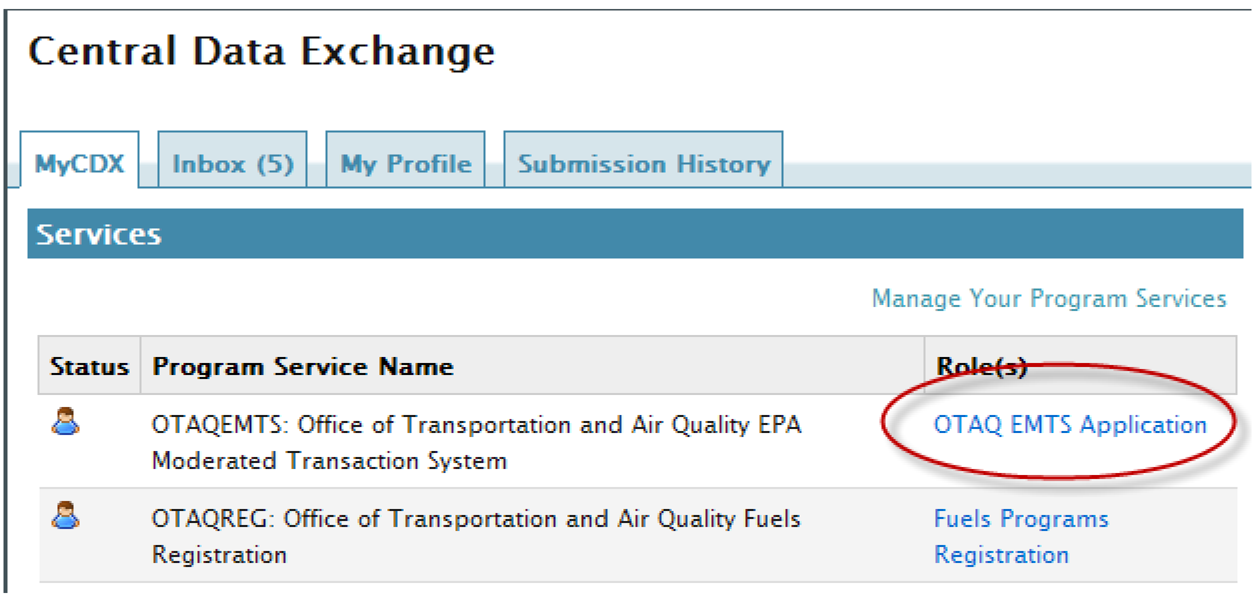
Accessing EMTS

To support the Renewable Fuel Standard (RFS2) program, the EPA Moderated Transaction System (EMTS) has been developed to screen the generation and transfer of RINs between renewable fuel producers, importers, exporters, obligated parties, and non-obligated RIN owners.

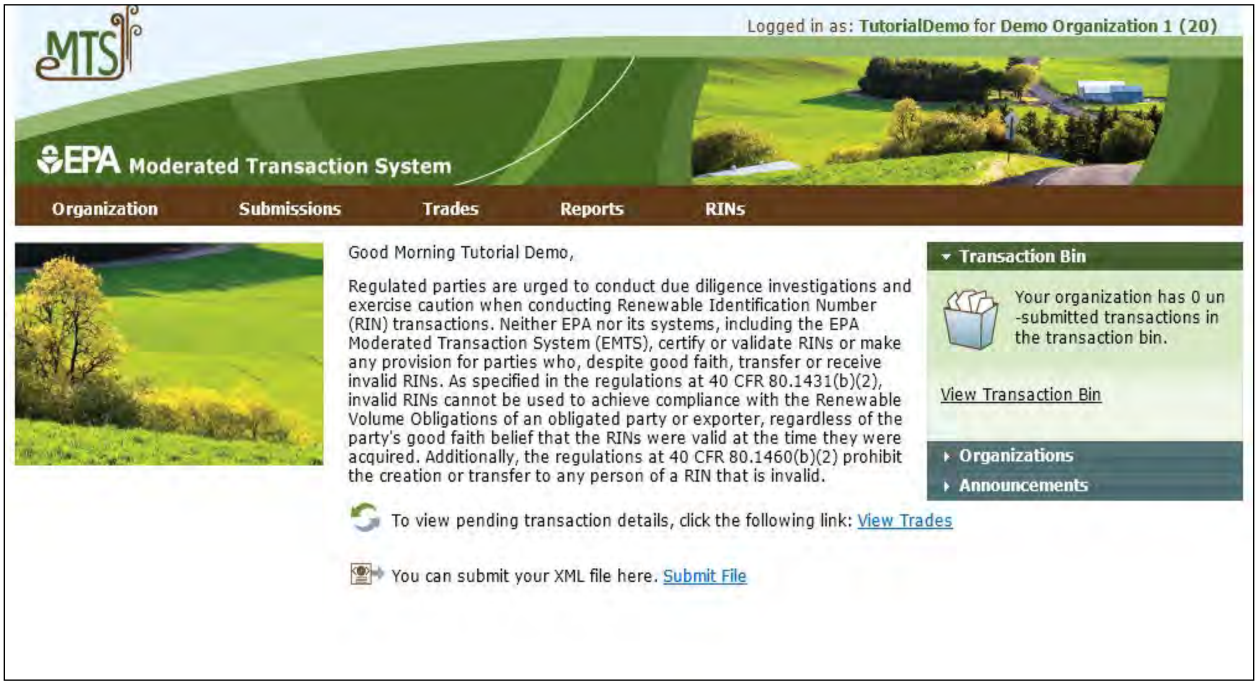
Access to EMTS requires registration with both the Central Data Exchange (CDX) and OTAQ Fuels. For instructions on setting up these accounts, see the "Getting Started – MyCDX" and "To Add DC FUELS Program" documents under Registration on the EMTS Documents page. You can access the EMTS website only through the CDX. To do so, open your Internet browser, either Internet Explorer 7.0 and higher or Firefox 2.0 and higher (no other browsers are currently supported), and enter the following URL: *https://cdx.epa.gov/SSL/CDX/login.asp*. Log in using your MyCDX user name and password. From your account profile, click the "OTAQ EMTS Application" link under Available Account Profiles (see Figure 1). If you do not see the "OTAQ EMTS Application" link, refer to "Getting Started - MyCDX" on the EMTS Documents page for further instructions.

Figure 1: OTAQ EMTS Application Link



Clicking the link will take you to the EMTS Home page (see Figure 2).

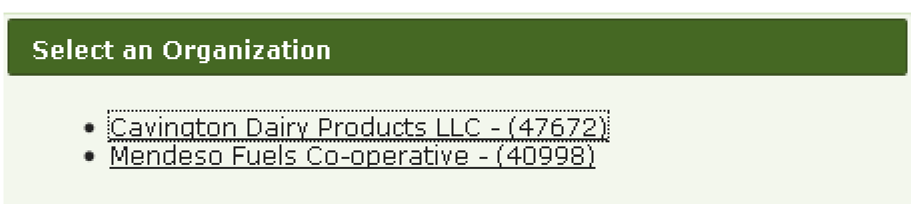
Figure 2: EMTS Home Page



Selecting an Organization

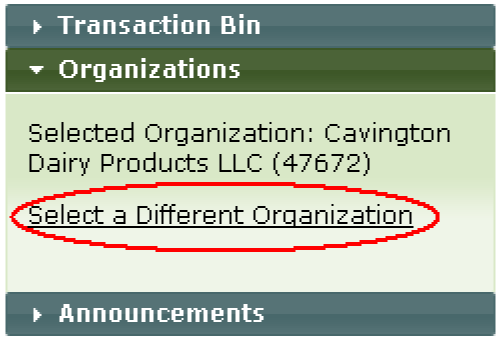
Upon accessing the EMTS Home page, you will need to select an organization to represent if you are affiliated with two or more organizations. To do so, click one of the organizations in the Select an Organization popup (see Figure 3). You must select an organization to represent before you can perform any actions on the EMTS website.

Figure 3: Select an Organization Popup



To confirm that you are now representing the selected organization, verify that the statement in the upper right corner of the page -- "Logged in as:" -- contains your CDX user ID followed by the name of the appropriate organization. Note that you may change the organization you are representing by clicking on the Organizations tab of the accordion on the right side of select pages (see Figure 4).

Figure 4: Organizations Accordion Tab



The Organizations tab will appear in this accordion on the following pages:

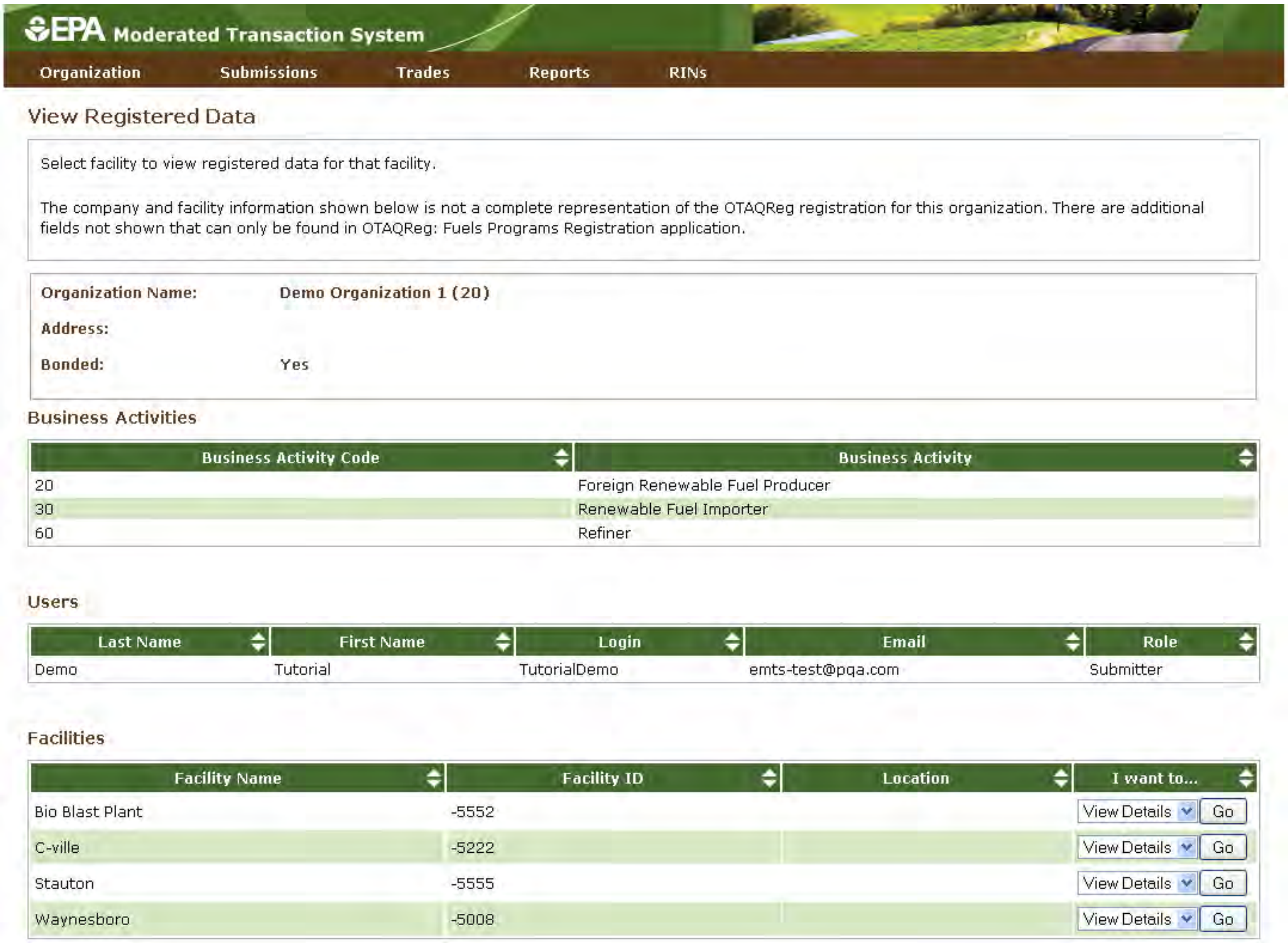
- Home page;
- View Blocked List;
- View Node Submissions;
- View Web Submissions;
- Review Trades;
- Manage Subscriptions;
- View Reports;
- Compliance Data;
- Manage RIN Holdings; and
- Transaction Bin.

After you open the Organizations tab of the accordion, click "Select a Different Organization." In the Select an Organization popup, click the name of the organization you wish to represent. Upon doing so, the organization name in the upper right corner of the page should reflect the new organization you selected. Once you have selected an organization, you are ready to begin using the EMTS website functionality.

Viewing Registered Data

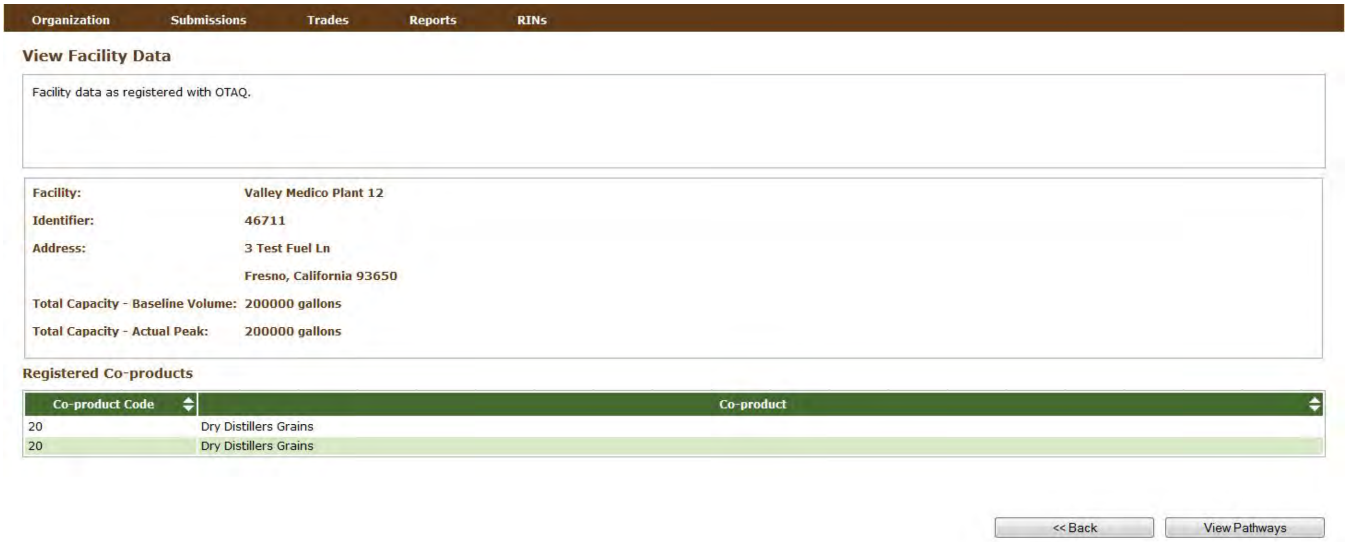
To view the data for which your organization is registered in the OTAQ Registration system, hover over the Organizations menu options, and select View Organizations. On the View Organizations page, a grid displays a list of the organizations you have been associated with in OTAQReg: Fuels Programs Registration application. For each organization, you may use the "I want to..." drop-down menu to select an organization or to view the registered data for that organization. If you choose the Select Organization option, the organization name in the upper right corner of the page should change to reflect the organization that you identified, and the activities and reports on the EMTS website will be limited to that organization. The View Registered Data page displays your organization's registered business activities, users and their roles, and facilities. From this page, you can view the details for the organization's registered facilities. Choosing the View Registered Data option will take you to the View Registered Data page for the selected organization (see Figure 5).

Figure 5: View Registered Data



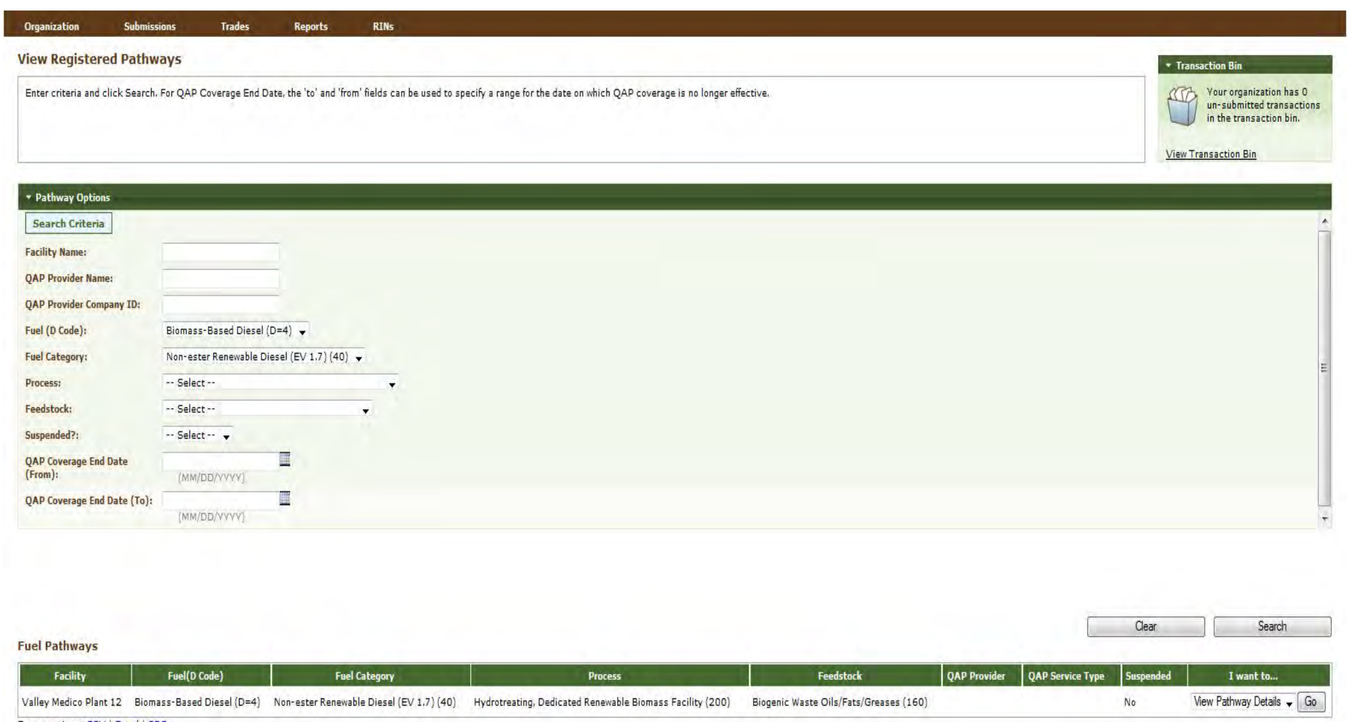
The View Facility Data page displays the Facility, Identifier, Address, Total Capacity – Baseline Volumem Total Capacity – Actual Peak, and Registered Co-products (see Figure 6).

Figure 6: View Facility Data



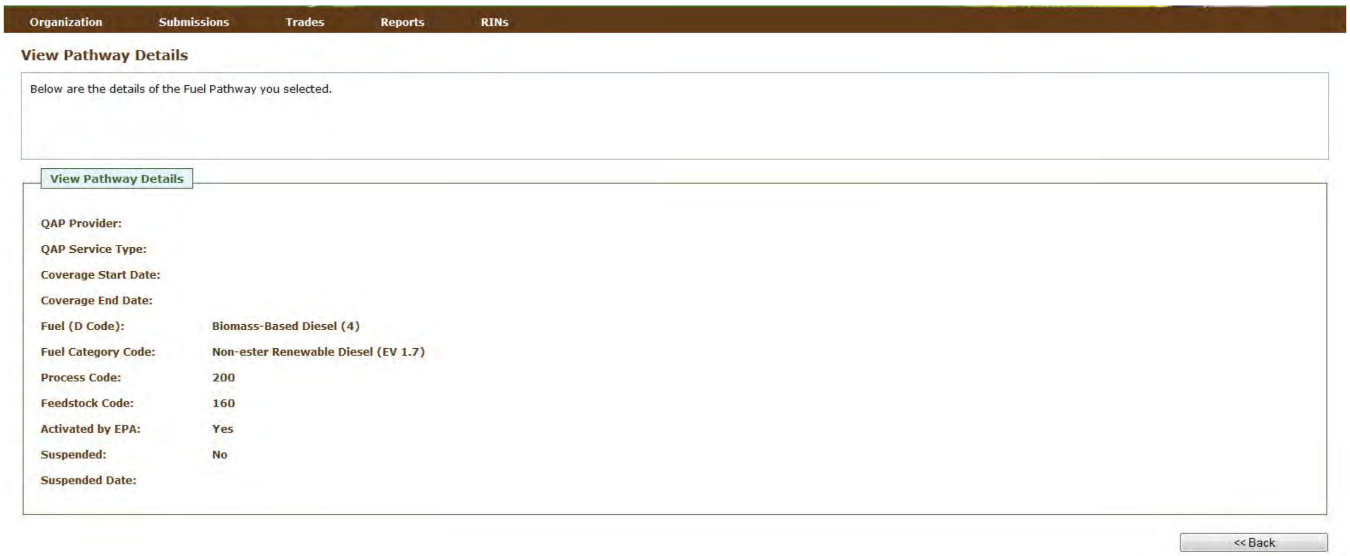
To view the pathways associated with your facility click "View Pathways". Users can search for a specific pathway The View Registered Pathways page displays the Facility, Fuel(D Code), Fuel Category, Process, Feedstock, QAP Provider, QAP Service Type, and if the Pathway is suspended (see Figure 7).

Figure 7: View Facility Data



To view the Pathway Details select the View Pathway Details from the drop down and click “Go”. Users can view the QAP Provider, QAP Service Type, Coverage Start Date, Coverage End Date, Fuel (D Code), Fuel Category Code, Process Code, Feedstock Code, Activated by EPA, If the Pathway is Suspended and if it was suspended the Suspend Date (see Figure 8).

Figure 8: View Facility Data

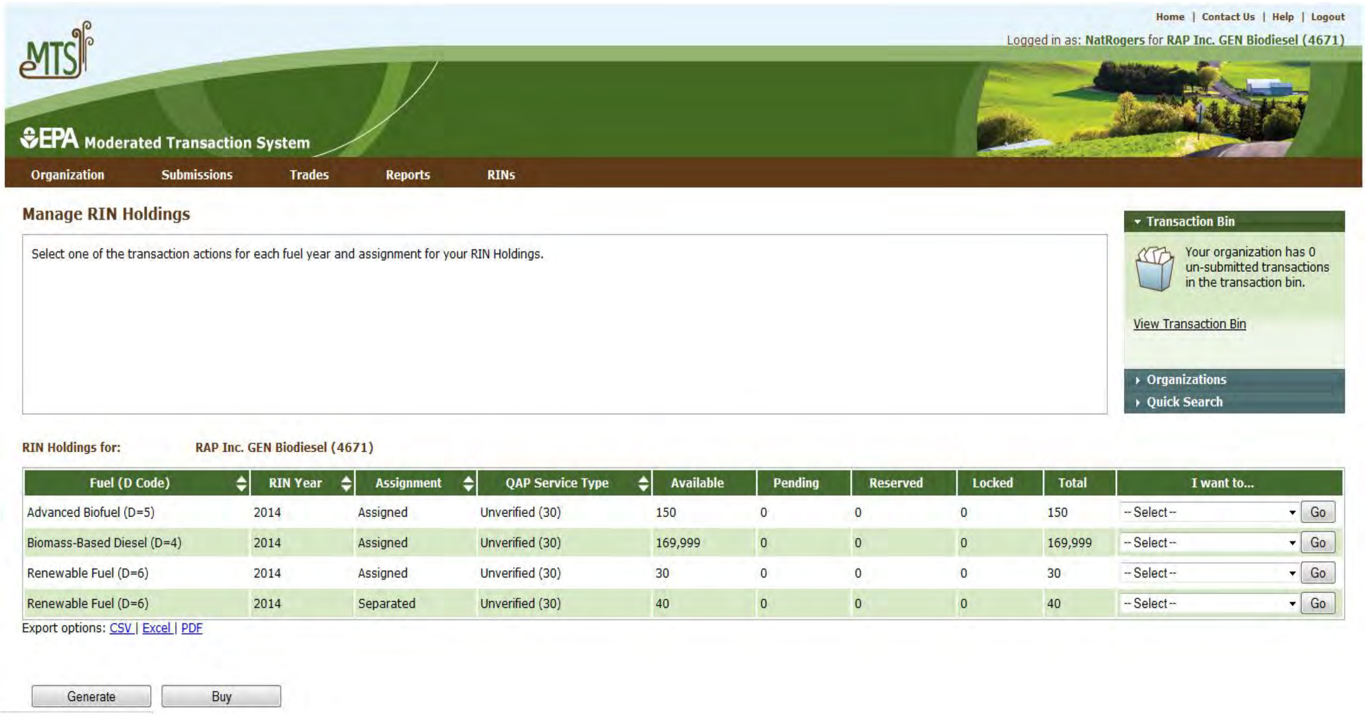


You can only view your facility and pathway data in EMTS; you cannot make edits to the data in EMTS. You may only edit your registered data through OTAQReg: Fuels Programs Registration. The registered data in EMTS is updated nightly from OTAQReg: Fuels Programs Registration. If you make changes to your registration in OTAQReg, the changes will be reflected in EMTS the morning after they have been activated by EPA.

Viewing RIN Holdings

To view your RIN holdings, hover over RINs on the main menu of the EMTS website and select View RIN Holdings (Current). The Manage RIN Holdings page is organization-specific (indicated by the organization name above the RIN Holdings grid, circled in Figure 9 below). To switch the organization for which you are viewing RIN holdings, open the Organizations tab of the accordion, and click "Select a Different Organization."

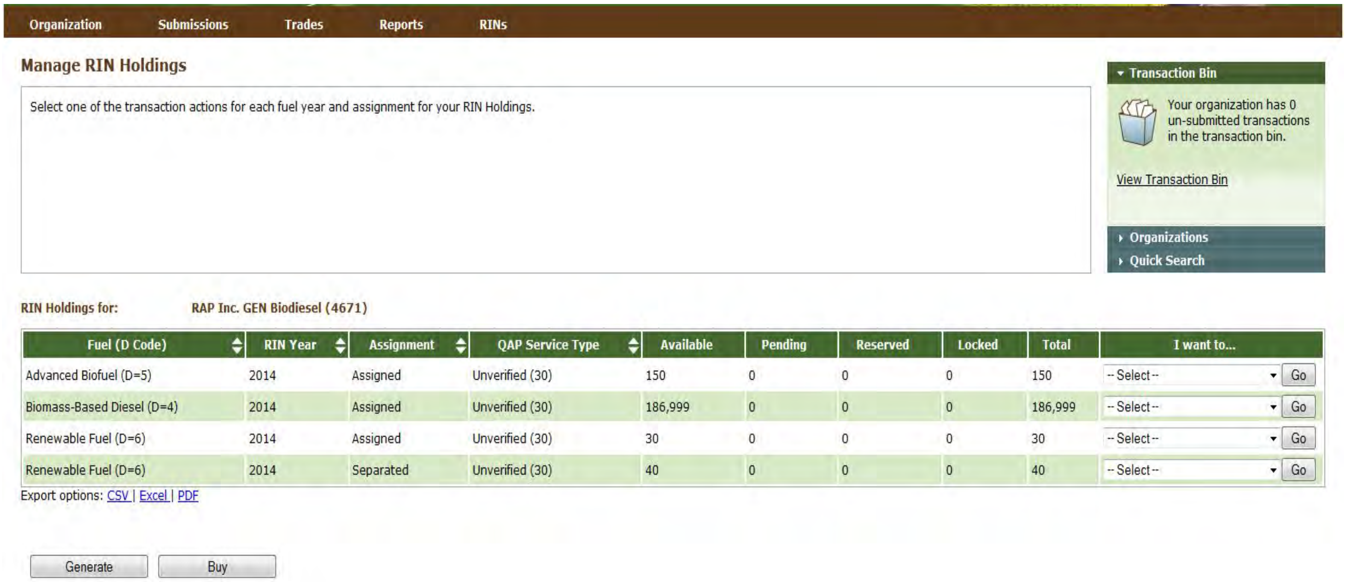
Figure 9: Manage RIN Holdings Page



If you view the Manage RIN Holdings page before your organization has completed any generate or buy transactions, the RIN Holdings grid will be empty (see Figure 9). At this point, you can generate or buy RINs (the only valid transaction types when there are no RIN Holdings) either by clicking the Generate or Buy button or by selecting Generate or Buy in the "I want to..." drop-down and clicking Go.

Once you have completed a generate transaction or successfully purchased RINs from a trading partner, the RIN Holdings grid will now display your RINs (see Figure 10 for an example). Each row in the RIN Holdings grid represents a unique combination of Fuel (D Code), RIN Year, Assignment, and QAP Service Type. For each row, the sum of RINs in the Available, Pending, Reserved, and Locked columns should equal the number of RINs in the Total column. The RINs in the Available column are RINs that are available for you to use in transactions. The RINs in the Pending column are RINs that are involved in a pending sell transaction that you have initiated (see the Trading RINs section). The RINs in the Reserved column are RINs that are associated with transactions in the Transaction Bin (see the Managing the Transaction Bin section). Finally, the RINs in the Locked column are RINs that have been locked either by your organization or by the EPA. Various sorting and filtering capabilities allow you work with this RIN data. For example, you can arrange data in order to compare the total number of RINs EMTS has processed in your account to your own off-line transaction records. These data are also available for download in a variety of formats.

Figure 10: Populated RIN Holdings Grid Example

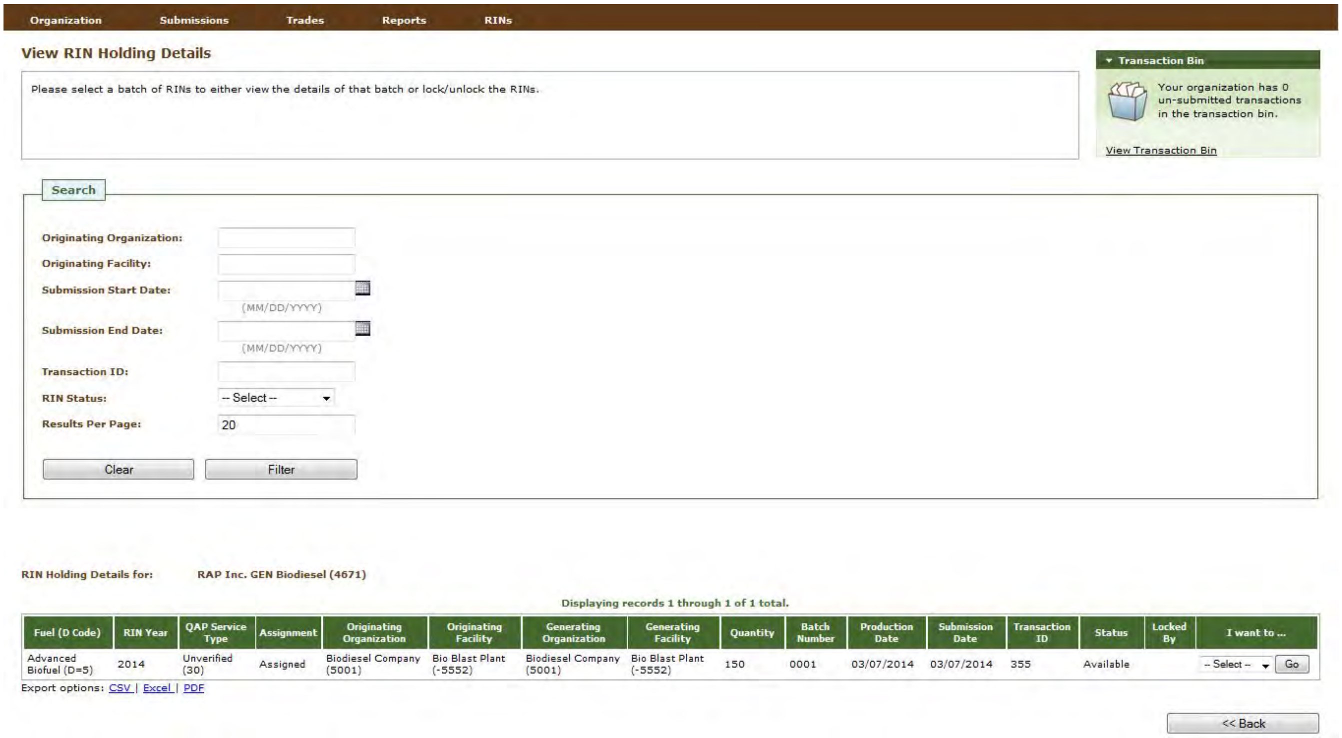


The final column in the RIN Holdings grid is the "I want to..." column. The drop-down for each row contains the options View Details, Generate, Buy, Separate, Separate (Upward delegation), Sell, Retire (Obligation), and Retire (Other). The options that are not applicable to the corresponding row of RINs will be grayed out. For example, Retire (Obligation) is only applicable for separated RINs being retired by Non-renewable Fuel Importers, Renewable Fuel Exporters, and Refiners, so in all other instances, the option will be grayed out. If you select a transaction in the "I want to..." column for a row of RINs, the Fuel (D Code), RIN Year, Assignment, and QAP Service Type fields in the resulting transaction wizard will be pre-populated with the data from that row.

Viewing RIN Batch Details and Locking RINs

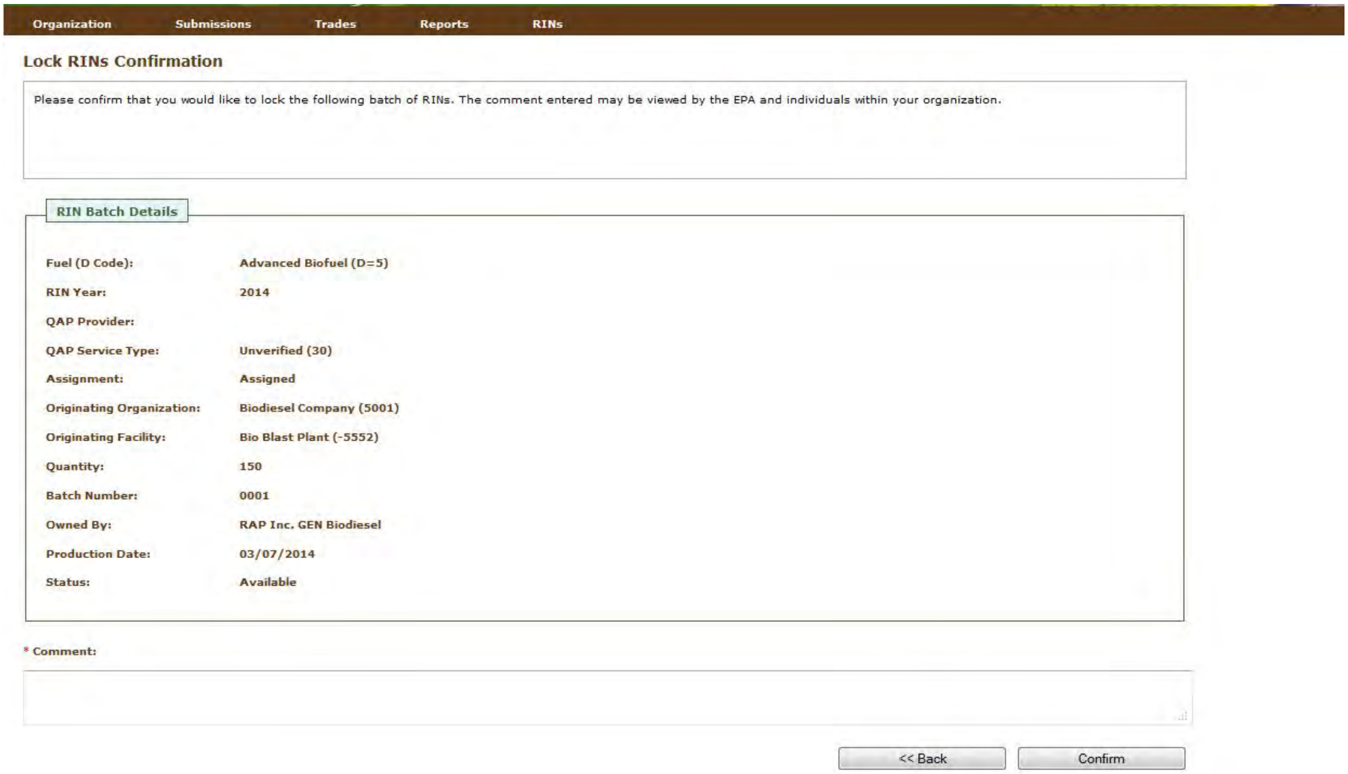
To view all of the RIN batches that make up a row in the RIN Holdings grid, select View Details in the "I want to..." column and click Go. Doing so takes you to the View RIN Holding Details page (see Figure 11).

Figure 11: View RIN Holding Details Page



The View RIN Holding Details page includes a Search box that allows you to search for RIN batches that satisfy a specific set of criteria. The RIN Holding Details grid displays the originating source information (originating organization, facility, and batch number) for each batch of RINs with the Fuel (D Code), RIN Year, QAP Service Type and Assignment that you selected on the RIN Holdings page. It also includes the status of each RIN batch. For pending and reserved RINs, the options in the "I want to..." drop-down are View Details and Transaction. Selecting Transaction takes you to a page with the details of the last transaction that acted on that RIN batch. Selecting View Details takes you to a RIN Batch Details page, where you will have access to information such as fuel category code, equivalence value, originating organization, and facility. From the Batch Details page, you may also select "Transaction" next to any batch of RINs to access the same aforementioned page. For available RINs, the "I want to..." drop-down options are View Details, Transaction, and Lock RINs. Selecting Lock RINs takes you to the Lock RINs Confirmation page (see Figure 12).

Figure 12: Lock RINs Confirmation Page



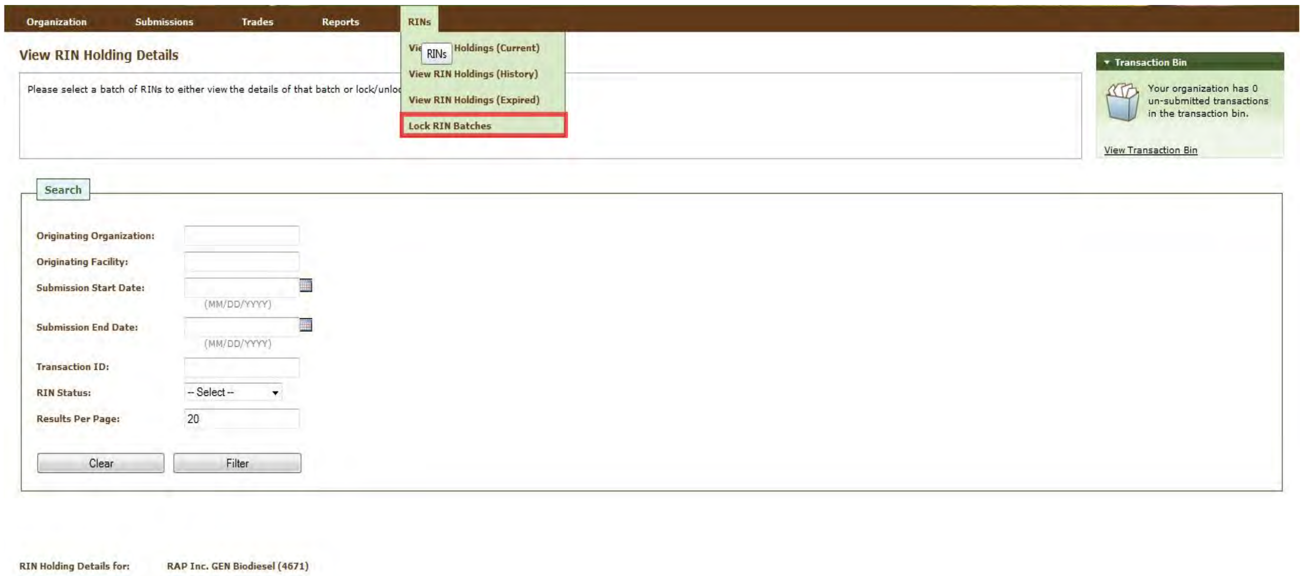
The page contains the details of the RINs that you are about to lock along with a required Comment field. After you enter a comment and press Confirm, you will return to the View RIN Holding Details page. For the RIN batch that you locked, the Status field will display Locked, and the Locked By field will include the name and organization of the individual that locked the RIN batch. Locked RINs will not be available for any transactions.

The EPA has the capability to lock any organization's available or locked RIN batches. If the EPA locks one of your organization's RIN batches, the Status field for that row will display Locked, and the Locked By field will display EPA. RINs locked by the EPA cannot be used in transactions and cannot be unlocked by your organization.

If you wish to unlock a batch of RINs locked by your organization and not locked by the EPA, select Unlock RINs in the "I want to..." drop-down. Like the Lock RINs Confirmation page, the Unlock RINs Confirmation page requires a comment. Once you confirm the unlock action, the RINs will have a status of Available, and you will be able to use them to complete transactions. Note that if the EPA locks a batch of RINs that your organization had already locked, the EPA will need to unlock the RINs before you will have the ability to unlock the RIN batch.

To lock or unlock multiple batches of RINS, hover over RINs on the main menu and click Lock RIN Batches (see Figure 13).

Figure 13: Select Lock RIN Batches



The Lock RIN Batches page allows you to lock batches of RINs by organization, facility, RIN batch or QAP Provider. RIN Year, under Basic Filter Options is a required search field. In the example below, the organization was selected (RAP Inc. Gen Biodiesel) as well as the facility (Valley Medico Plant 12) (see Figure 14). By clicking the search button, all batches that originated at the Waynesboro facility will appear in the grid at the bottom of the screen (see Figure 15).

Figure 14: Lock RIN Batches

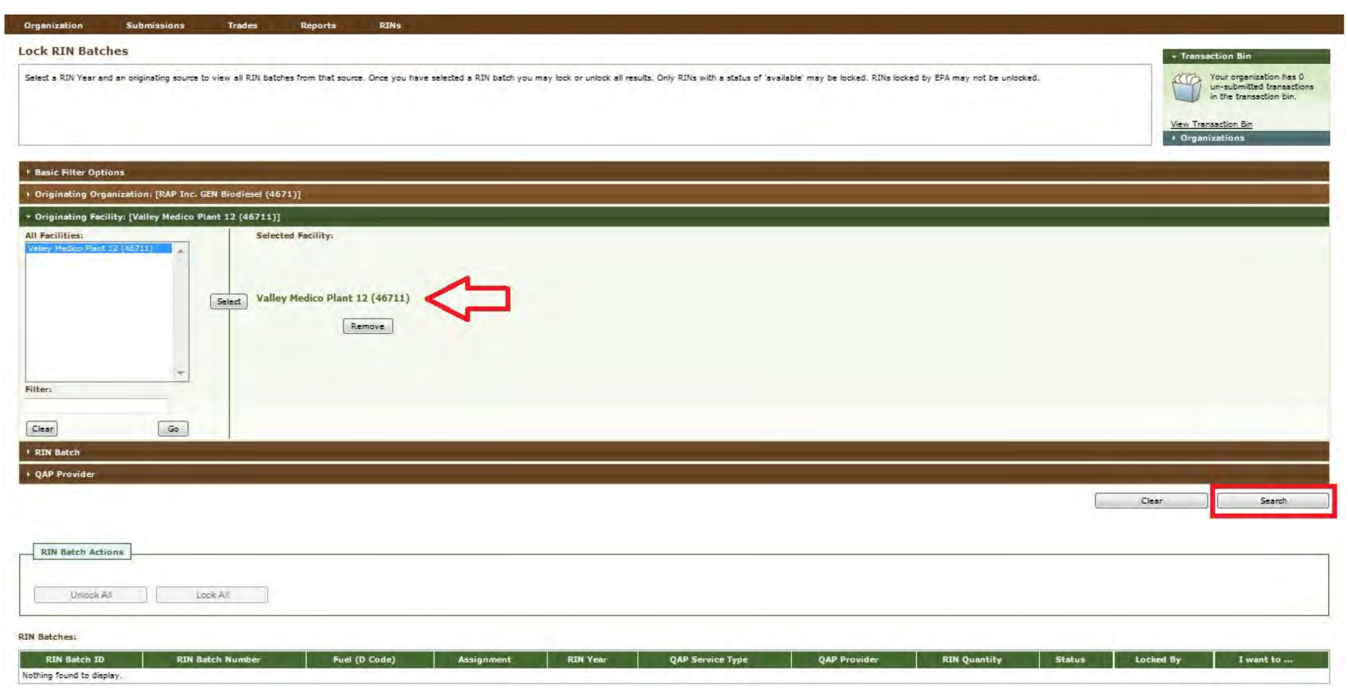
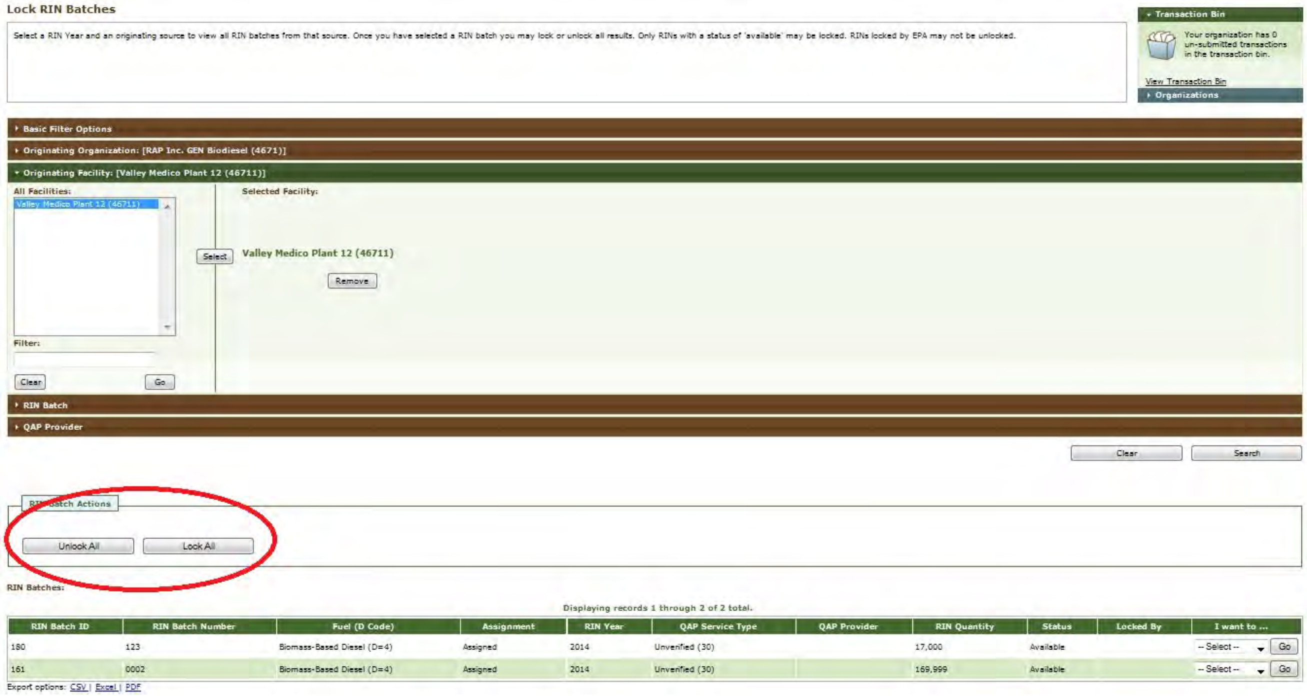


Figure 15: Lock RIN Batches



In the status column, you can see that the RINs in the grid are "Available." To lock all of these RIN batches at one time, click the Lock All button (see Figure 15).

Viewing Expired RIN Holdings

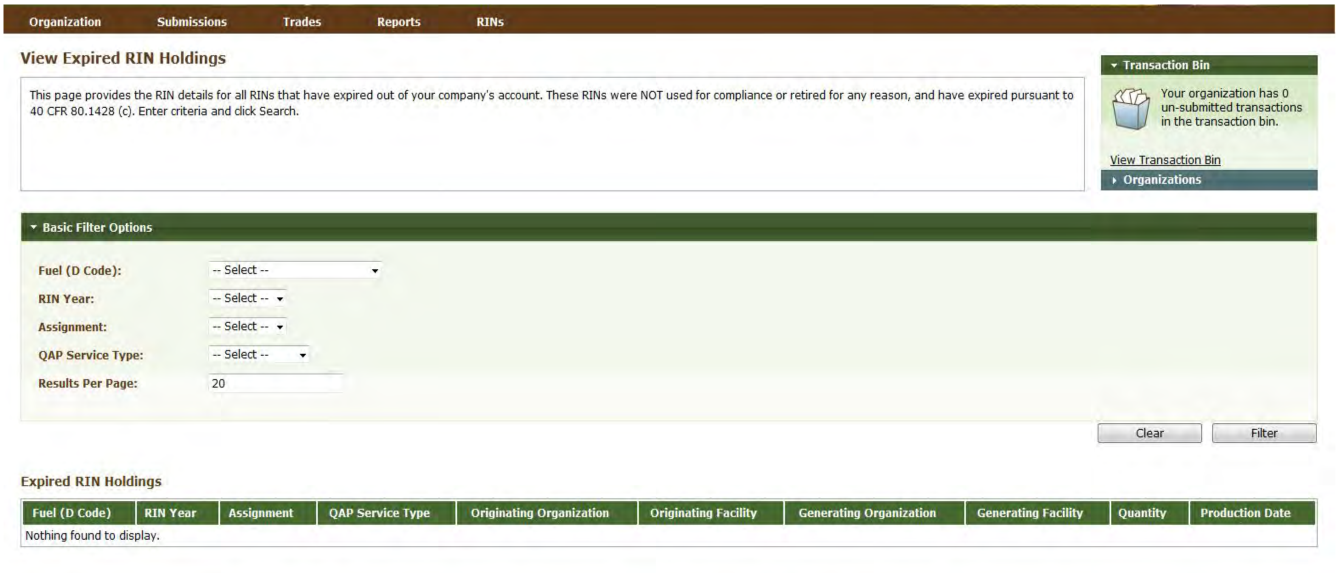
To view your Expired RIN Holdings, hover over RINs on the main menu of the EMTS and click View Expired RIN Holdings (see Figure 16):

Figure 16: Select View Expired RIN Holdings

The Expired RIN Holdings page is organization-specific (indicated by the organization name at the top of the page). To switch the organization for which you are viewing expired RIN holdings, open the Organizations tab of the accordion on the right side of the page, and click "Select a Different Organization."

If you view the RIN Holdings page before your organization has retired any RINs, the RIN Holdings grid will contain the message "Nothing found to display." To filter on Fuel, RIN Year, Assignment Code, and/or QAP Service Type select the filter options and click Filter (see Figure 17).

Figure 17: View Expired RIN Holdings

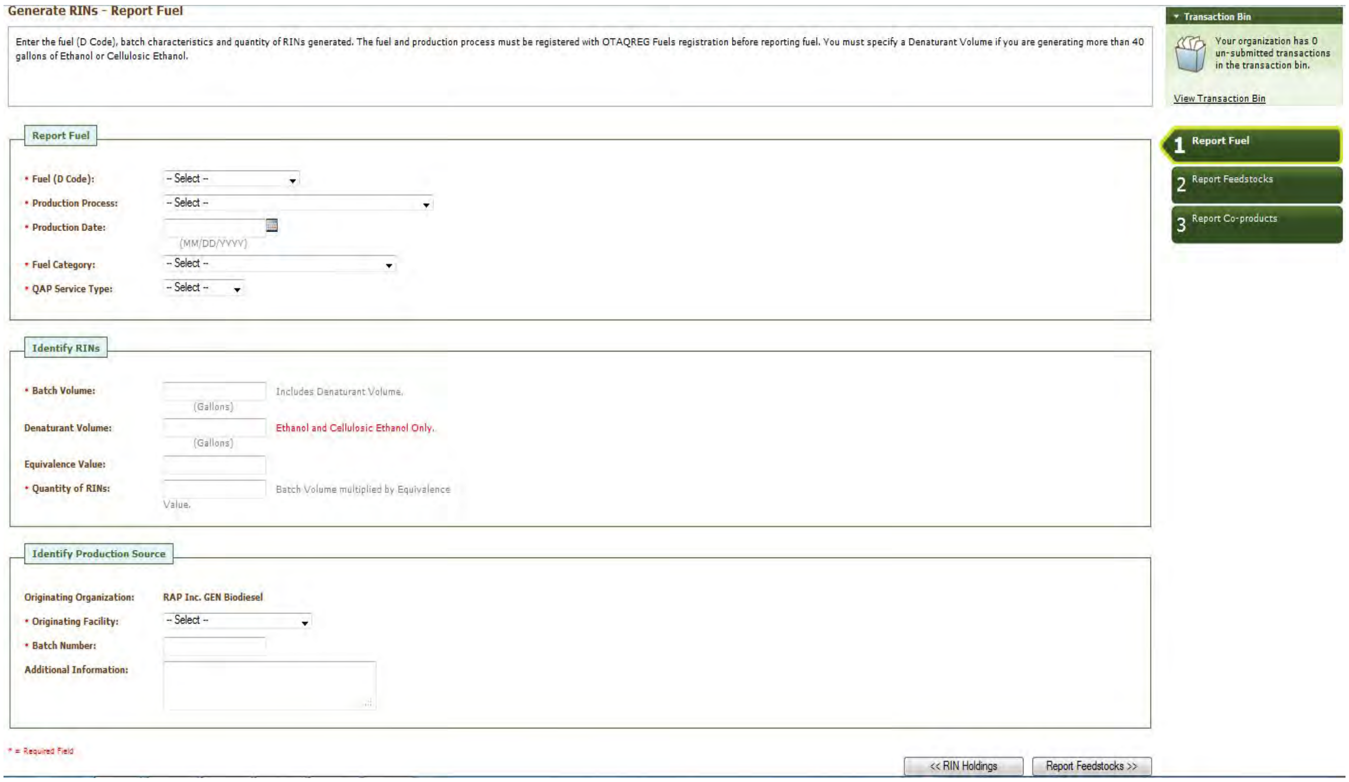


Note: A RIN is valid for compliance during the year that it was generated and the following calendar year. The time period for retiring a RIN for a particular year extends two months into the following year. The maximum amount of time a RIN can be valid in EMTS is two years and two months.

Generating RINs

From the Manage RIN Holdings page, you have the option to generate RINs if your organization is a Domestic Renewable Fuel Producer, a Renewable Fuel Importer, or a bonded Foreign Renewable Fuel Producer. There are two different kinds of RIN generation, generating as an importer and generating as a producer. To generate RINs as a producer, either click the Generate button or select Generate in the "I want to..." drop-down and click Go. Doing so takes you to the first page (Report Fuel) of the three-step Generate Wizard (see Figure 18).

Figure 18: Generate Wizard, Report Fuel Page (Step 1)



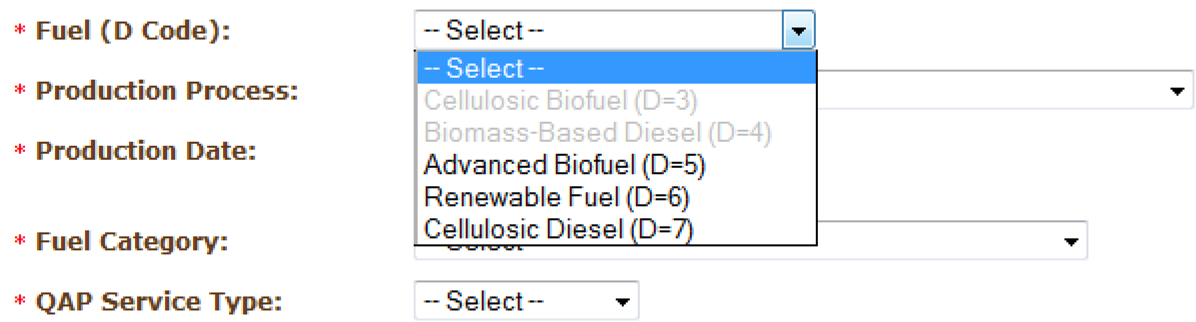
The green boxes on the right side of the page indicate which of the three generate steps you are completing. The following information is required to generate RINs:

- The type of fuel produced;
- The code that specifies the process used to create the renewable fuel;
- The date the renewable fuel was produced;
- The renewable fuel type as defined in Part M Section 80.1426.
- The QAP Service Type for the RINs;
- The volume of renewable fuel produced;
- The volume of denaturant added to the renewable fuel (ethanol only);
- The number of RINs associated with the renewable fuel;
- The facility ID;
- The batch number;
- The codes for all feedstocks used to produce the renewable fuel;
- The quantity of all feedstocks used to produce the renewable fuel;
- The units of measure for all feedstock quantities;
- Affirmation that each feedstock meets the definition of renewable biomass; and
- The codes for all co-products produced along with the renewable fuel, if there are any.

All required fields are marked with a red asterisk. In the drop-down fields, the invalid options are grayed out. For example, in Figure 19, the organization can produce only Advanced Biofuel, Renewable Fuel, and Cellulosic Diesel, so the remaining Fuel (D Code) options are grayed out.

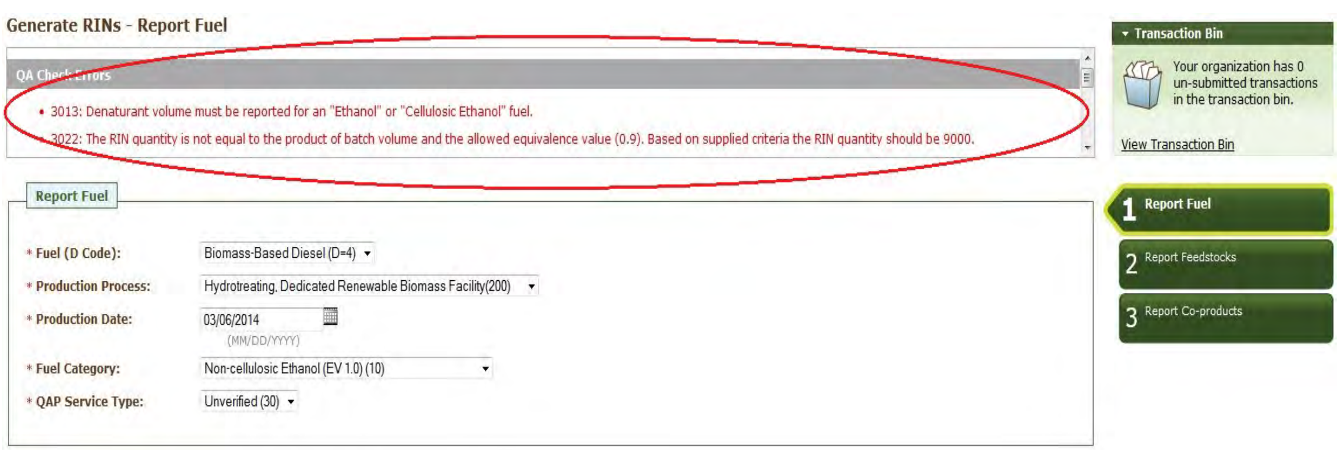
You are not required to report an equivalence value. EMTS will automatically calculate the equivalence value based on the type of fuel for which you are generating RINs. The number of RINs you are allowed to generate for a specific fuel type will be determined by the volume of the batch of fuel multiplied by the equivalence value. EMTS checks that the RINs you generate do not exceed your fuel volume by the equivalence value multiplier. If you report an equivalence value, EMTS will re-calculate and check this value.

Figure 19: Drop-down Example for Generate Wizard



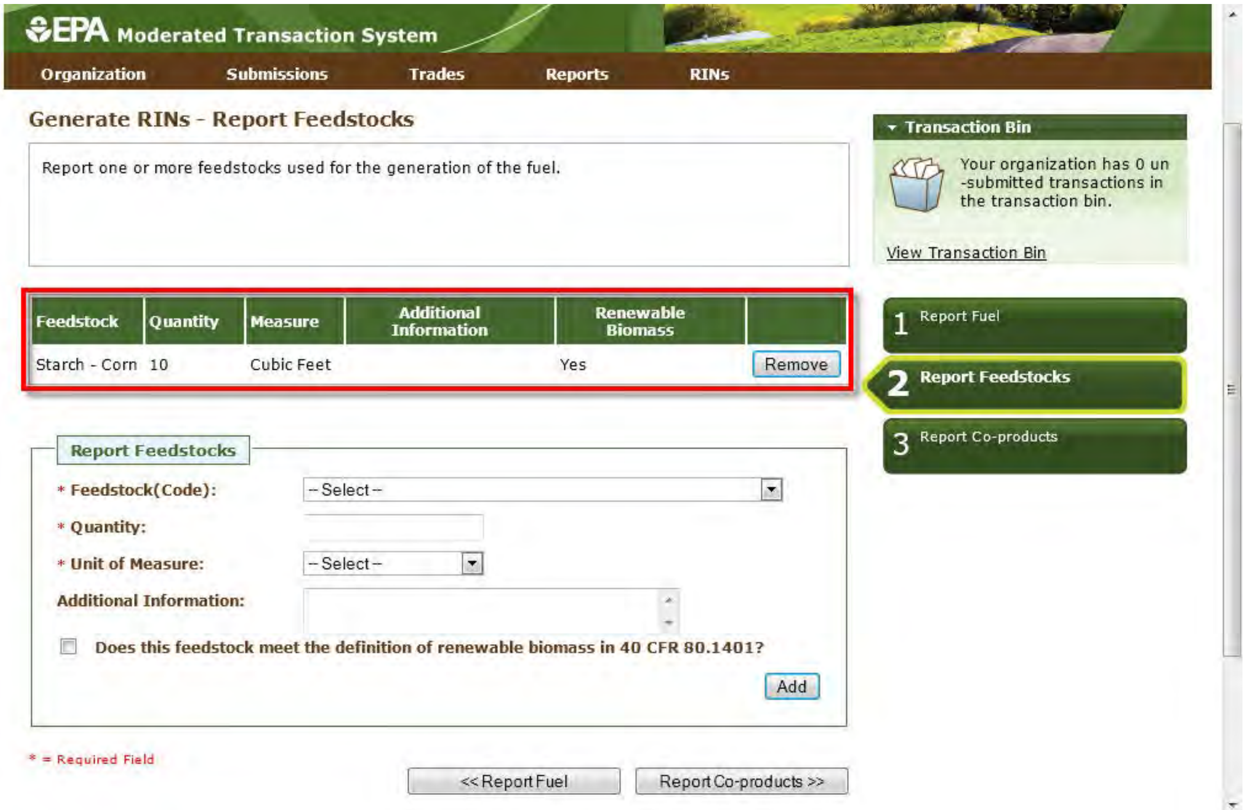
Once you have completed all of the required fields, click Report Feedstocks at the bottom of the page to move to the second page of the Generate Wizard. If all of the information on the Report Fuel page is valid, you will be redirected to the Report Feedstocks page. Otherwise, you will remain on the Report Fuel page, and you will see a list of QA Check Errors at the top of the page (see Figure 20). Once you correct the errors, you will be able to move to the Report Feedstocks page.

Figure 20: QA Check Errors



On the Report Feedstocks page, you must enter all of the feedstocks used to generate the fuel specified on the Report Fuel page. To add a feedstock, you must populate the three required fields, check the checkbox for renewable biomass (when generating RINs, all feedstock(s) must meet the definition of 'renewable biomass'), and then click the Add button. In the Feedstock drop-down, the feedstocks that your organization is not registered for are grayed out. After you have clicked the Add button, the feedstock information will be displayed in the grid (see Figure 21).

Figure 21: Generate Wizard – Report Feedstocks Page (Step 2)

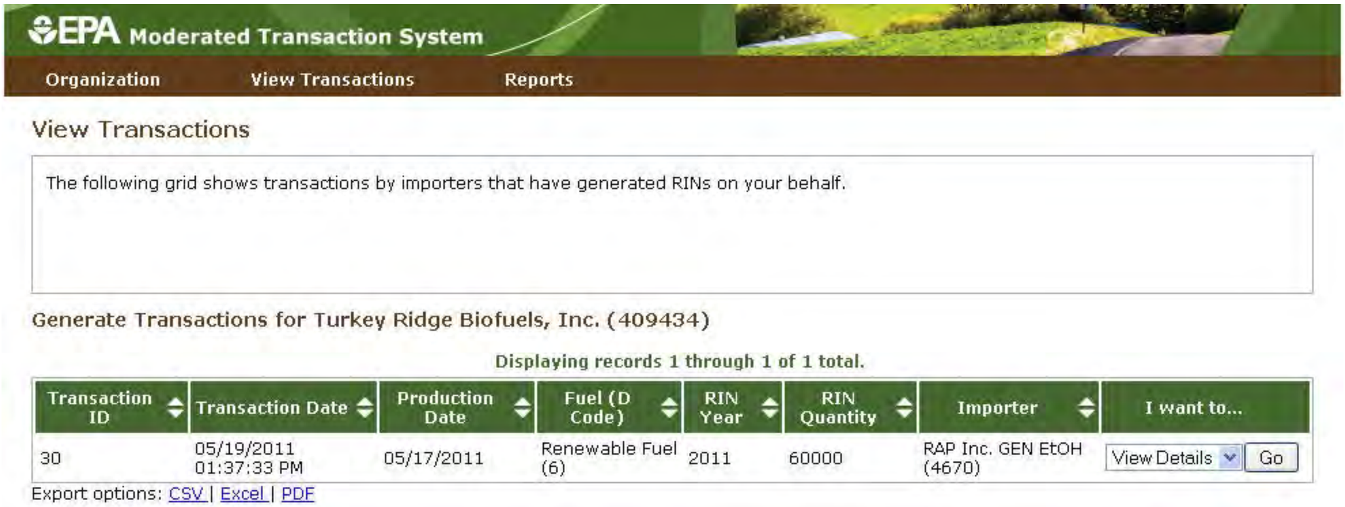


Once you have added all of the feedstocks used to generate the RINs specified on the Report Fuel page, click the Report Co-products button at the bottom of the page. The Report Co-products page, which is Step 3 of the Generate Wizard, behaves similarly to the Report Feedstocks page. You must add any co-products produced by your organization's fuel generation process. If there are no co-products to report, leave all fields blank. To complete the Generate Wizard, click the Add to Transaction Bin button. Note: In addition, parties must complete the RFS0701: RFS2 Renewable Fuel Producer Co-products Report and submit it quarterly.

If your organization is a Renewable Fuel Importer, you have the option to generate RINs as an importer. The Generate Wizard for Importers is similar to the Generate Wizard for Renewable Fuel Producers, except when you identify the production source on the Report Fuel page, you must provide the originating organization and facility (the Importer's organization and facility) and the generating organization and facility (the Foreign Producer's organization and facility). The Foreign Fuel Producer Facility ID that you enter must be registered for the Process, Fuel (D Code), Fuel Category, Feedstock, and QAP Service Type that you enter, otherwise QA checks will prohibit RIN generation.

Foreign Fuel Producers that are identified by importers as the generating organization in a generate transaction can view the details of the transaction by selecting View Importer Transactions under the View Transactions menu option. The View Transactions page (see Figure 22) includes an overview of all of the generate transactions in which an importer has identified that organization as the generating organization. Selecting "View Details" for a transaction displays the details of the transaction.

Figure 22: View Importer Transactions

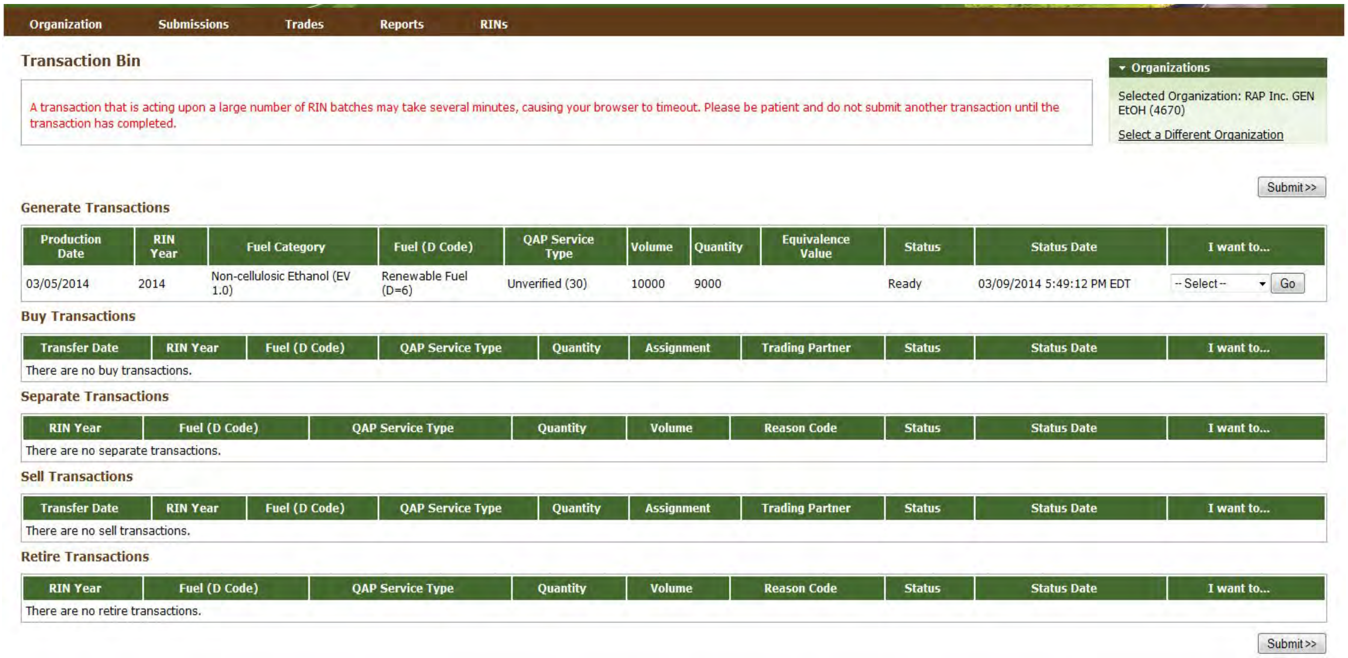


Foreign Fuel Producers can also subscribe to the Foreign Producer RIN Generation notification. This notification is sent to the Foreign Fuel Producer every time an importer identifies their organization in a generate transaction. For information on how to subscribe to notifications, see the Receiving Notifications section of this document.

Managing the Transaction Bin

After you click Add to Transaction Bin, you are taken to the Transaction Bin, where transactions will be stored temporarily until you are ready for EMTS to process them (see Figure 23).

Figure 23: Transaction Bin



The Transaction Bin is organization-specific, so transactions added to the Transaction Bin by any of your organization's submitters will be displayed on the page. To switch the organization for which the Transaction Bin is displayed, click Select a Different Organization. There is no restriction on the number of transactions that you can add to the Transaction Bin, provided they are originated on behalf of a single organization and that organization has sufficient RINs in its RIN Holding Account.

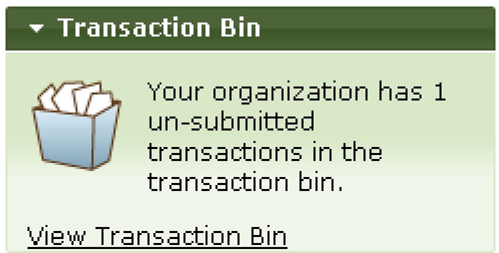
For each transaction in the Transaction Bin, you have the option to View Details, complete another transaction of that transaction type (i.e., Generate RINs), or Remove the transaction (see Figure 24).

Figure 24: Transaction Bin Options

If you select View Details, you will be taken to a page that displays all of the details of the transaction. This page can be used to verify the contents of the transaction before submitting it. If you select Generate RINs, you will be taken to the first page of the Generate Wizard so that you can complete an additional generate transaction before you submit the transactions from the Transaction Bin. You cannot edit a transaction in the Transaction Bin; you must remove it and then create a new transaction. If you select Remove, you will be taken to a page that contains the transaction details. At the bottom of the page, you will be able to click a Confirm Remove button. Doing so takes you back to the Transaction Bin, and the removed transaction is no longer available.

Along with accessing the Transaction Bin at the end of each wizard, you can navigate to the Transaction Bin from multiple pages of the EMTS website using the Transaction Bin accordion tab on the right side of the page (see Figure 25). The tab contains the number of un-submitted transactions and a link to the Transaction Bin.

Figure 25: Accessing the Transaction Bin

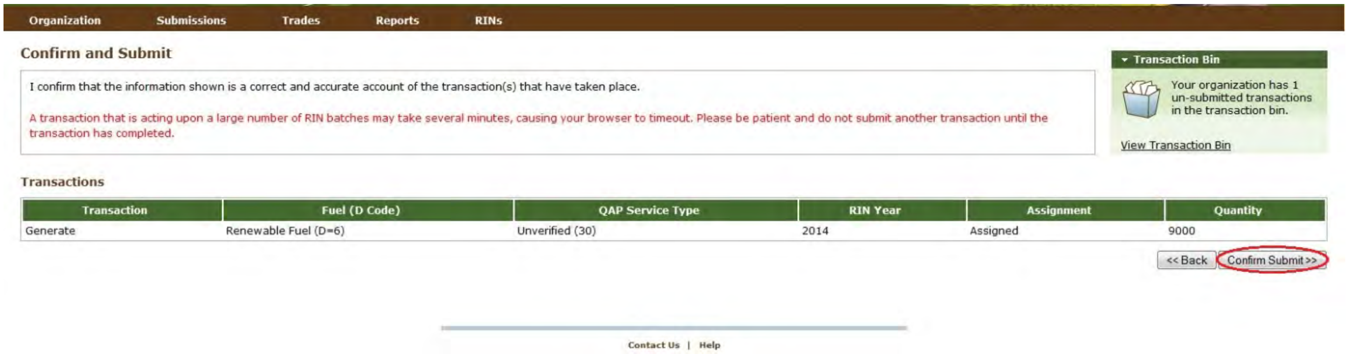


Clicking the View Transaction Bin link takes you to the Transaction Bin. Note that the RINs associated with each separate, sell, and retire transaction in the Transaction Bin are Reserved rather than Available (they show up in the Reserved column of the View RIN Holdings grid). As a result, these RINs may not be used for any other transactions. If a separate, sell, or retire transaction is removed from the Transaction Bin, the associated RINs return to an Available status. RINs associated with a generate transaction do not show up in the View RIN Holdings grid until the transaction is submitted from the Transaction Bin, and RINs associated with a buy transaction do not show up in the View RIN Holdings grid until the transaction is submitted from the Transaction Bin and accepted by the trading partner.

To complete a transaction, you must submit it from the Transaction Bin by clicking the Submit button at the bottom of the page. If you have multiple transactions in the Transaction Bin, you must submit all of the transactions at once. If you do not wish to submit one of the transactions in the bin, you can remove that transaction and submit the remaining transactions. In addition, if you have multiple transactions acting on different RIN years, you need to select a RIN year before submitting your transactions from your Transaction Bin. For example, if you have multiple sell transactions in your Transaction Bin that will act on RIN batches for years 2011 or 2012, you must submit each year-specific batch separately. You may not submit all transactions across multiple years as part of a single transaction bin submission.

Note: Submitting a transaction that is acting upon a large number of RIN batches may take several minutes, causing your browser to timeout. Please be patient and do not submit another transaction until the transaction has completed and your RIN Holdings and Transaction Bin reflect the results of that transaction. After you press Submit, you will be taken to a Confirm and Submit page, which displays an overview of the transactions you are about to submit. You must click the Confirm Submit button circled in Figure 26 to complete the submission.

Figure 26: Confirm and Submit Page



Once you confirm the submission, the View RIN Holdings (Current) page will reflect the results of the submitted transactions, and the Transaction Bin will be empty.

Note: Unconfirmed transactions in the Transaction Bin expire after five business days. At that point, the transactions will be removed from the Transaction Bin, and all reserved RINs associated with expired separate, sell, and retire transactions will return to the "Available" state. For this reason, it is important that you complete your transactions as soon as possible to avoid loss of any transaction data that you have been working on during multiple web sessions.

Separating RINs

Assigned RINs may be separated from the Manage RIN Holdings page (see Figure 27). To separate RINs in your RIN Holdings, select Separate in the "I want to..." drop-down, and click Go. Doing so will take you to the first page of the Separate Wizard (see Figure 28).

Figure 27: Separate Option for Available Assigned RINs

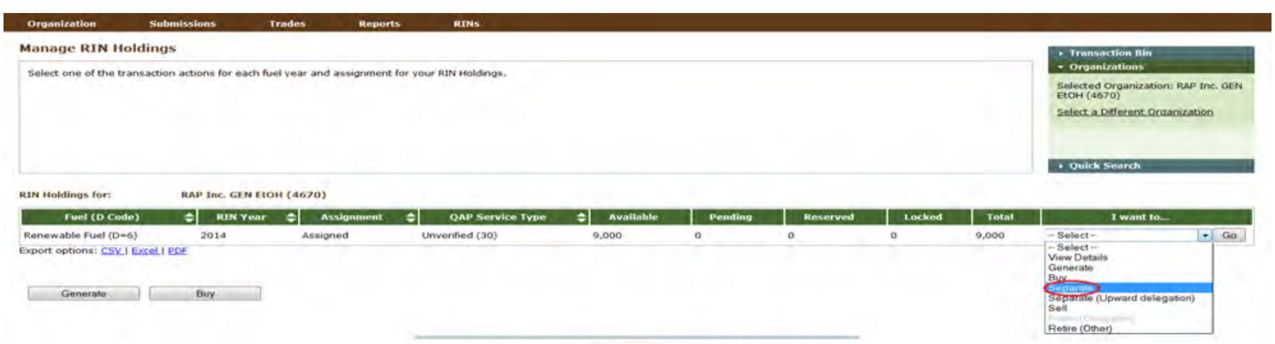
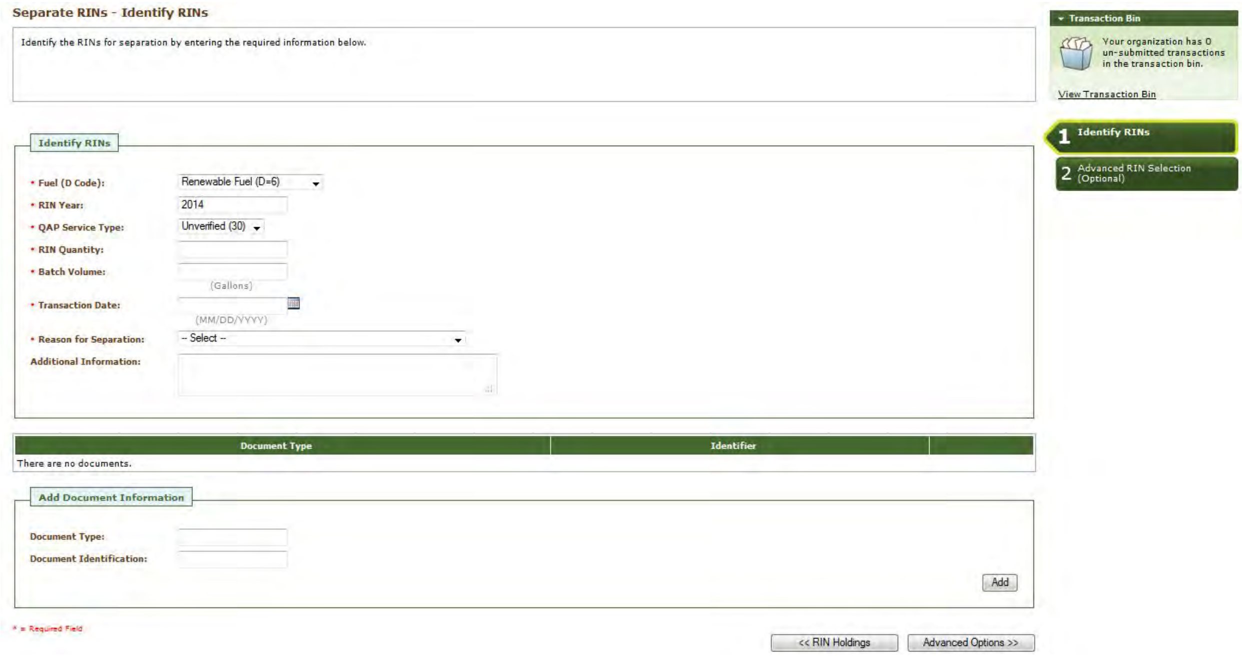


Figure 28: Separate Wizard – Identify RINs (Step 1)

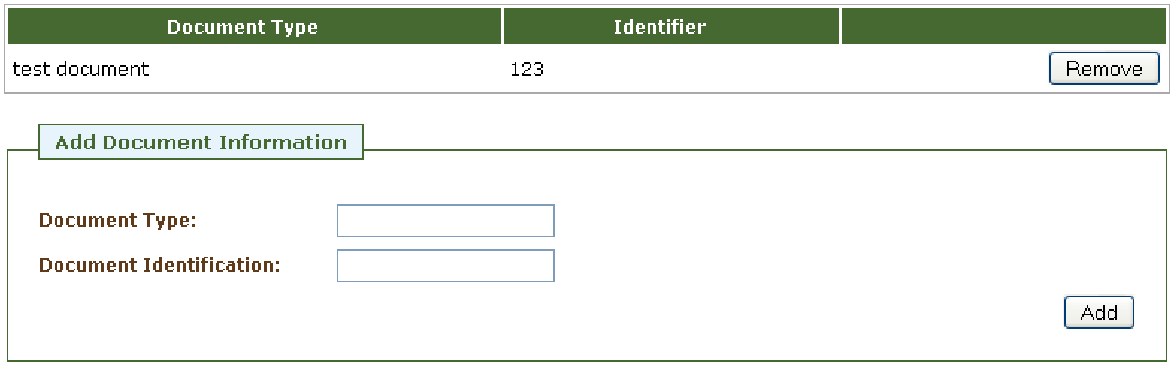


The green boxes on the right side of the page indicate which of the two steps of the Separate Wizard you are completing. The following information is required to separate RINs:

- The renewable fuel code (D code);
- The year the RINs being separated were generated.
- The QAP Service Type Code;
- The number of RINs being separated;
- The volume of fuel associated with the RINs being separated;
- The date the RINs were separated; and
- A code which specifies the reason for the separate transaction.

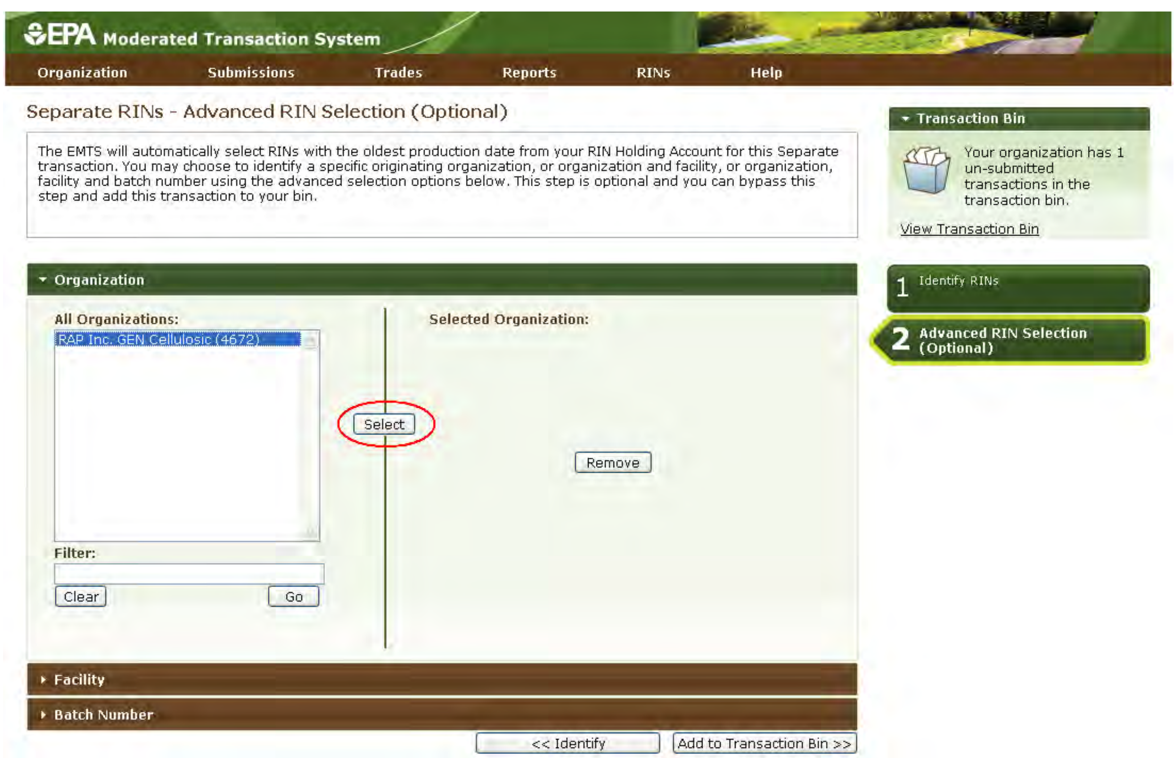
All required fields are marked with a red asterisk. The Fuel (D Code), RIN Year, and QAP Service Type fields are automatically populated with the information from the row of RINs in the RIN Holdings grid that you selected to separate. In the Reason for Separation drop-down, only the reasons that are applicable to your organization's registered business activities are available (the remaining options are grayed out). The Separate Wizard also contains a document grid; you can use this grid to specify the name and identifier of one or more documents that support the separate transaction. Note that the document itself cannot be uploaded. To add document information to the grid, fill in the Document Type and Document Identification fields, and click Add (see Figure 29).

Figure 29: Supporting Document Information



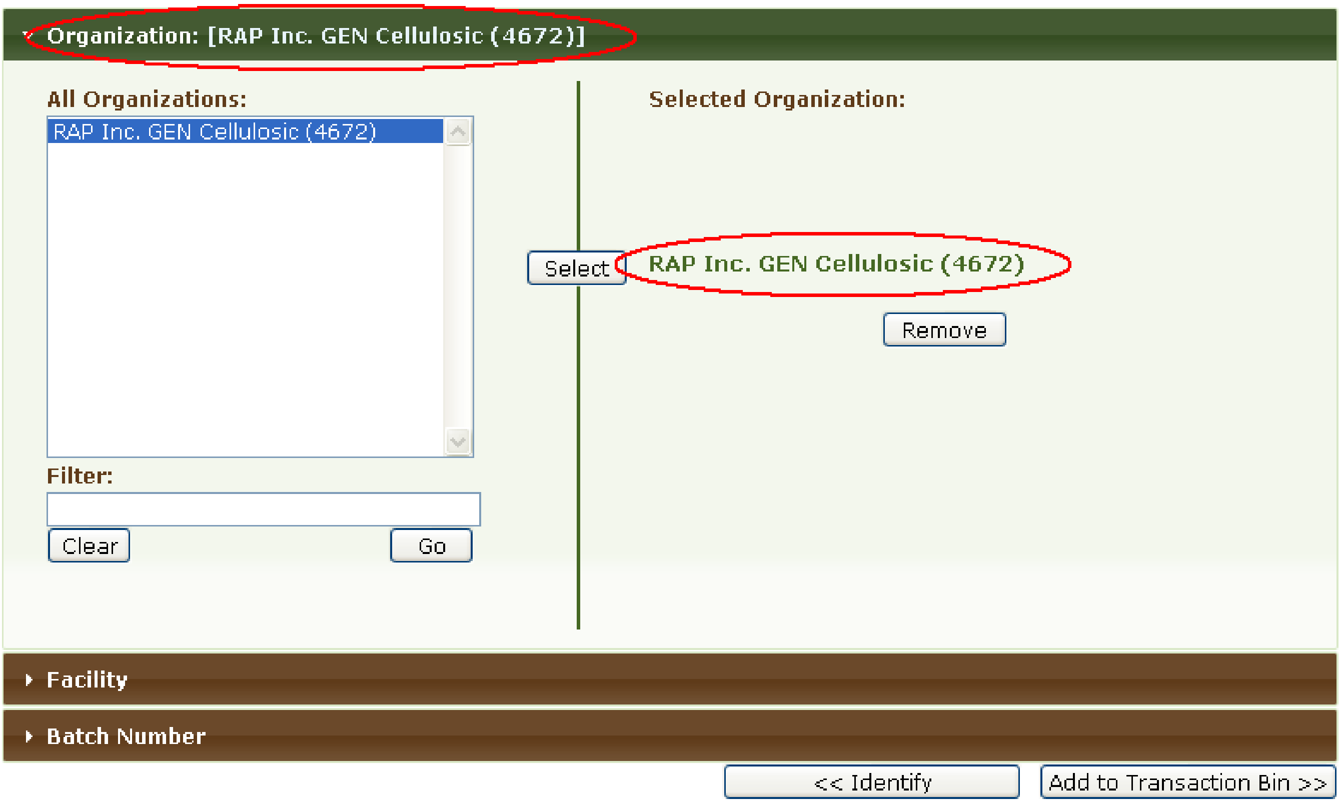
When you complete the Identify RINs page, click Advanced Options at the bottom of the page to navigate to the second step of the Separate Wizard (see Figure 27). On the Advanced RIN Selection page, you have the option to specify a batch of RINs to separate. If you do not wish to make any selections on this page (this step is optional), click Add to Transaction Bin at the bottom of the page to continue. In this situation, EMTS will automatically separate RINs using the First-in, First-out (FIFO) accounting method (i.e., the oldest RINs, based on production date, are used first, for the RIN Year, Fuel Code, Fuel Category and QAP Service Type chosen). Alternatively, you may use this page to identify a specific originating organization, or organization and facility, or organization, facility, and batch number. To specify an organization, click the originating organization's name, and press Select (see Figure 30).

Figure 30: Optional Advanced RIN Selection Page



After you press Select, the Selected Organization field and the Organization accordion tab will contain the name of the organization you selected (see Figure 31).

Figure 31: Selected Organization Example

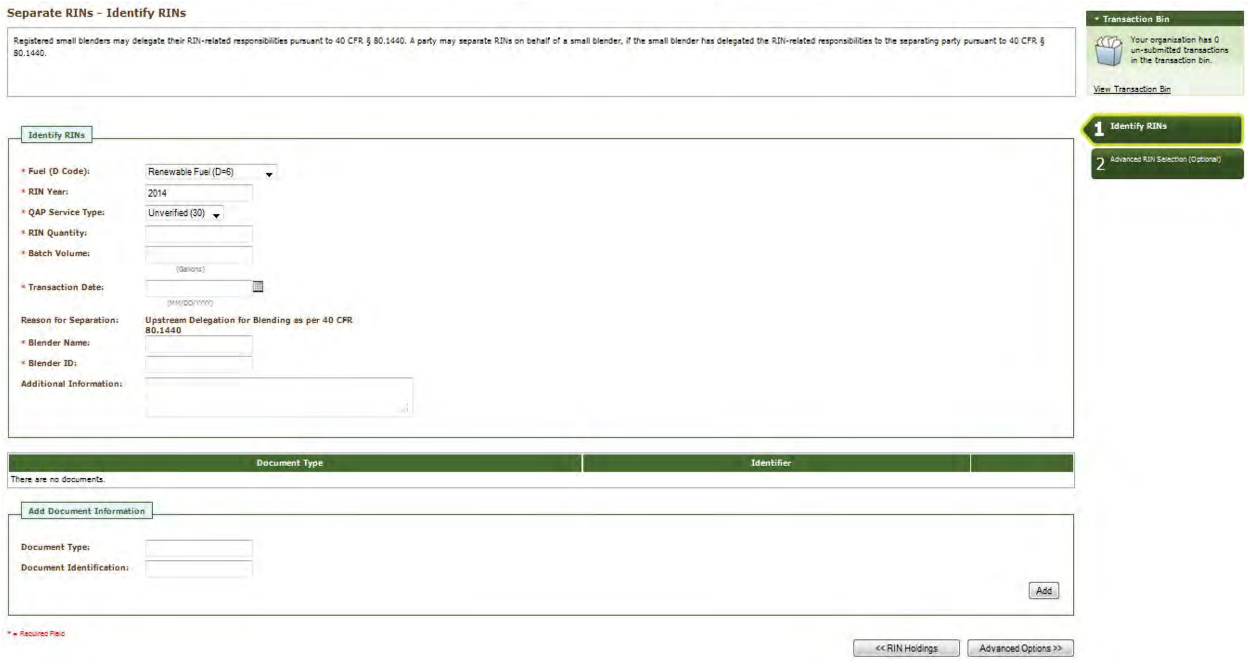


To select a Facility, click the Facility tab of the Advanced RIN Selection accordion, and follow the same steps. Repeat the steps to identify a particular batch from a specified organization and facility. Once you have specified the originating source information, click Add to Transaction Bin to continue. After you submit the separate transaction from the Transaction Bin, your RIN Holdings grid will reflect the results of the separation.

From your RIN Holding Account, you may also separate assigned RINs on behalf of a Small Blender by selecting the Separate (Upward delegation) option in the "I want to..." dropdown (see Figure 32). Doing so will take you to the first step of the Separate Wizard for upward delegation (see Figure 33).

Figure 32: Separate (Upward delegation) Option for Available Assigned RINs

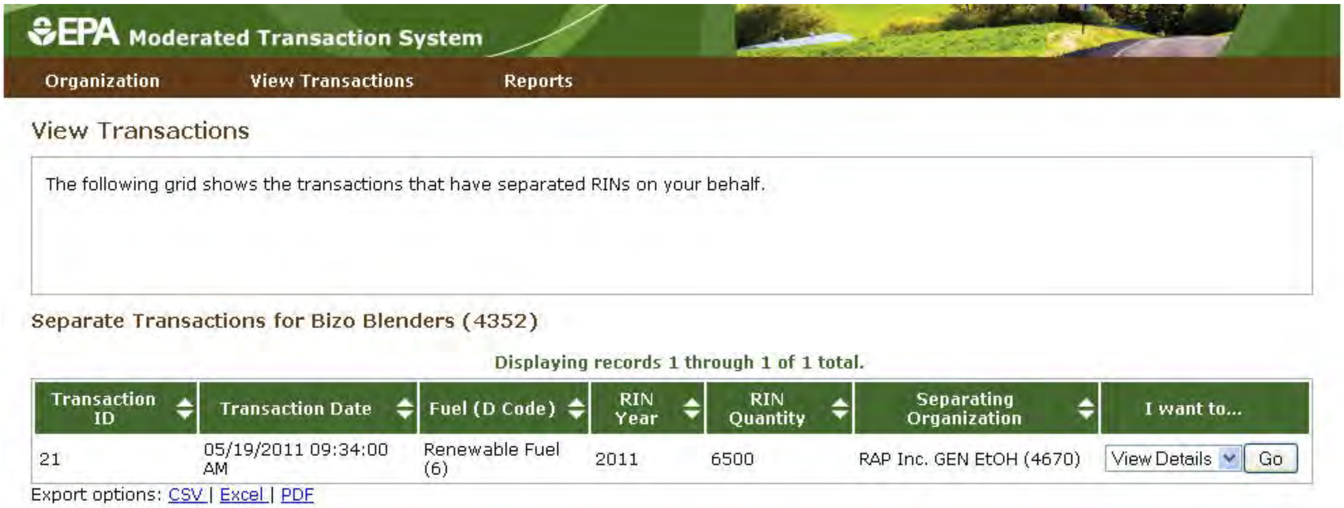
Figure 33: Separate Wizard – Identify RINs (Step 1)



In the first step of the Separate Wizard for upward delegation, the Reason for Separation is pre-populated with "Upstream Delegation for Blending," and the page includes fields for the blender name and identifier. You must provide this information in order to separate for upward delegation. Apart from the Identify RINs section of Step 1, the Separate Wizard for upward delegation is identical to the Separate Wizard used for all other reasons for separation.

Small Blenders that are identified in separate transactions for upward delegation can view the details of those transactions by selecting View Blender Transactions under the View Transactions menu option. The View Transactions page (see Figure 34) includes an overview of all of the separate transactions in which that organization has been identified as the blender. Selecting "View Details" for a transaction displays the details of the transaction.

Figure 34: View Blender Transactions



Small Blenders can also subscribe to the Small Blender RIN Separation notification. This notification is sent to the Small Blender every time their organization is identified in a separate transaction for upward delegation. For information on how to subscribe to notifications, see the Receiving Notifications section of this document.

Retiring RINs

Depending on your organization's business activities you may choose to retire RINs for compliance or for other reasons from your RIN Holding Account. If your organization is an obligated party (a Non-renewable Fuel Importer, a Refiner, or a Renewable Fuel Exporter) your organization may retire separated RINs for obligation (Retire (Obligation)) and assigned or separated RINs for other reasons (Retire (Other)). If your organization is registered as more than one type of obligated party, you must choose from the dropdown at which compliance level you would like to retire (see Figure 35). For organizations with any other business activities (i.e., non-obligated parties), the only enabled retire option in your RIN Holdings grid will be Retire (Other) (see Figure 36).

Figure 35: Retire Options for a Refiner (Obligated Party) with Separated RINs

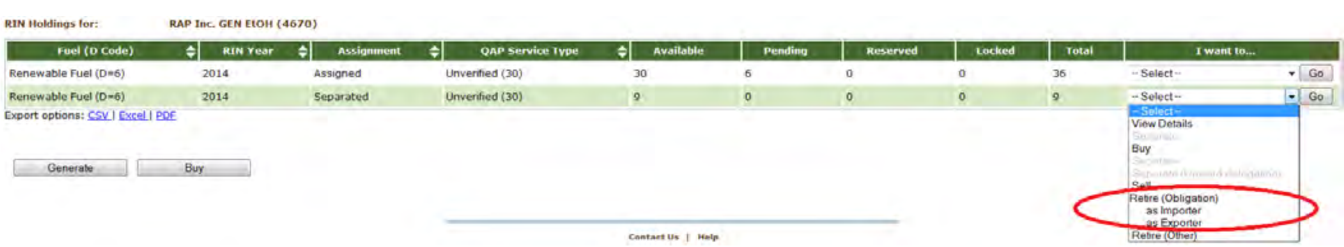
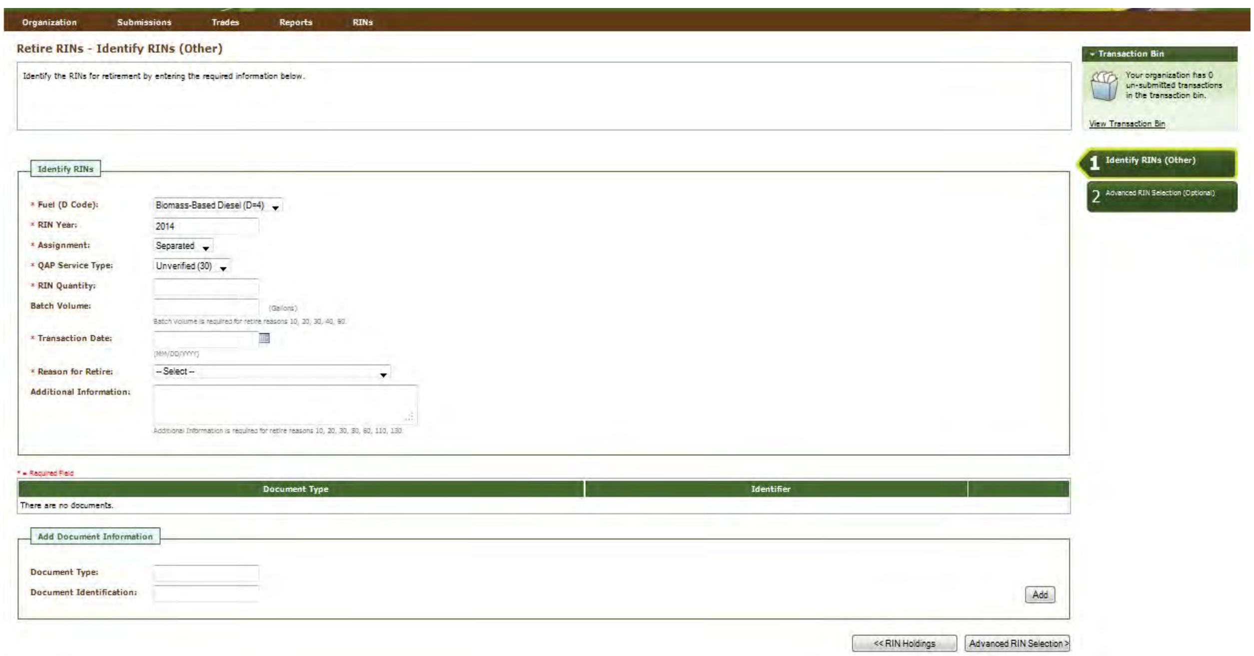


Figure 36: Retire Options for a Non-Obligated Party with Separated RINs

For a row of RINs in your RIN Holdings, select the Retire (Other) option in the "I want to..." drop-down, and click Go. Doing so will take you to the first step of the Retire Wizard (see Figure 37).

Figure 37: Retire (Other) Wizard – Identify RINs (Step 1)



The green boxes on the right side of the page indicate which of the two steps of the Retire Wizard you are completing. The following information is required to retire RINs for reasons other than compliance:

- The renewable fuel code (D code);
- The year the RINs being retired were generated;
- The assignment of the RINs;
- The QAP service type code;
- The number of RINs being retired;
- The date the RINs were retired; and
- The reason for the retire transaction.

All required fields are marked with a red asterisk. The Fuel (D Code), RIN Year, Assignment, and QAP Service Type fields are automatically populated with the information from the row of RINs in the RIN Holdings grid that you selected to retire. In the Reason for Retire field, only the reasons that are applicable to your organization's registered business activities are available (the remaining options are grayed out). The Retire Wizard also contains a document grid you can use to specify the name and identifier of one or more documents that support the retire transaction. Note that the document itself cannot be uploaded. To add document information to the grid, fill in the Document Type and Document Identification fields, and click Add. Doing so will add a row to the documents grid (see the Separating RINs section for more details).

When you complete the Identify RINs page, click Advanced RIN Selection at the bottom of the page to navigate to the second page of the Retire Wizard. On the Advanced RIN Selection page, you have the option of specifying the batch of RINs that you wish to retire. If you do not wish to make any selections on this page, click Add to Transaction Bin at the bottom of the page to continue. In this situation, EMTS will automatically retire the RINs in your RIN Holding Account using the FIFO accounting method. Alternatively, you may use this page to identify a specific originating organization, or organization and facility, or organization, facility, and batch number. See the Separating RINs section for details on how to use the Advanced RIN Selection page to specify originating source information. Once you have specified the originating source information, click Add to Transaction Bin to continue. After you submit the retire transaction from the Transaction Bin, the RINs will be removed from your RIN Holdings.

Obligated parties can retire separated RINs for obligation by selecting the Retire (Obligation) option in the "I want to..." drop-down on the Mange RIN Holdings page. The following information is required to retire RINS for compliance:

- The renewable fuel code (D code);
- The year the RINs being retired were generated;
- The QAP service type code;
- The number of RINs being retired; and
- The date the RINs were retired.

All required fields are marked with a red asterisk. The Fuel (D Code), RIN Year, and QAP Service Type fields are automatically populated with the information from the row of RINs in the RIN Holdings grid that you selected to retire. Additionally, the Assignment, Reason for Retire, Compliance Year, and Compliance Level are automatically hard-coded based on your selections from the RIN Holdings grid. To view the total number of RINs your organization has retired for obligation, select Compliance Data under the Reports main menu option. On the View Aggregate RINs Retired for Obligation page (see Figure 38), the retired RIN quantities are aggregated by Fuel Code, RIN Year, Compliance Year, and Compliance Level. For Refiners with a “Refinery by Refinery” compliance level, the RIN quantities are also aggregated by Facility. For organizations that have not retired any RINs for obligation, the grid on this page will be empty. You can also view your retired RINs on the RIN Holdings (History) page under the RINs menu.

Figure 38: View Aggregate RINs Retired for Obligation

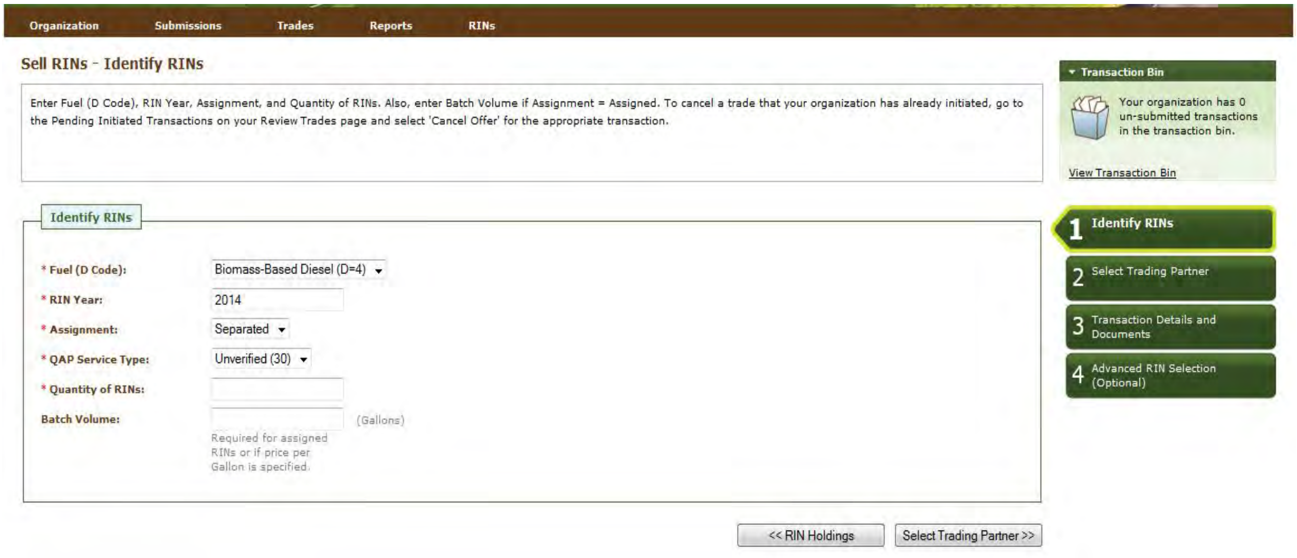
Trading RINs

You can initiate a trade from your RIN Holdings page. To initiate a sell transaction, you must have RINs in your RIN Holdings. The following information is required to initiate a trade through a sell transaction:

- The renewable fuel code;
- The year in which the RINs that were sold were generated;
- The assignment of the RINs;
- The QAP service type code;
- The number of RINs that were sold;
- The volume of renewable fuel sold with the RINs (for assigned RINs only);
- The identifier of the organization to which you are selling RINs;
- The name of the organization to which you are selling RINs;
- The date on which the trade occurred as recorded on the Product Transfer Document (PTD);
- Either the price per RIN or the price per gallon of renewable fuel that was agreed upon by both parties. Price must be rounded to two decimal places; and
- The reason the RINs have been sold.

For a row of RIN data in your RIN Holdings grid, select Sell in the "I want to..." drop-down, and click Go. Doing so will take you to the first page of the Sell Wizard (see Figure 39).

Figure 39: Sell RINs – Identify RINs Page (Step 1)



The green boxes on the right side of the page indicate which of the four steps of the Sell Wizard you are completing. All required fields are marked with a red asterisk. The Fuel (D Code), RIN Year, Assignment, and QAP Service Type fields are automatically populated with the information from the row of RINs in the RIN Holdings grid that you selected to sell. Once you complete the information on this page, click Select Trading Partner to move to the next page. On the Select Trading Partner page, you must identify a trading partner from a list of organizations that satisfy the search criteria. You can search for an organization by Organization Name or Organization ID. In Figure 40, the organization names were filtered on the word "Better," and Better Fuel Corporation was selected from the options. The trading partner organization must have an enabled business activity that allows it to buy RINs.

Figure 40: Sell RINs – Select Trading Partner

When you have selected your trading partner, click the Transaction Details button to move to the next page. On the Sell RINs – Transaction Details and Documents page, you must enter the Transfer Date, Price Paid (either price per RIN or price per gallon), and Sell Reason. The value entered for Price Paid must have exactly two digits after the decimal place. Note that you may not enter both price per RIN and price per gallon.

You may also enter a Matching Transaction Identifier. This element allows users to accept specific buy/sell transactions in the case of several similar transactions. It is the unique transaction identifier assigned by EMTS to an initiated trade. When accepting a trade, users can include this element in the trade matching criteria (along with the other trade matching criteria currently in effect). If this element is reported, EMTS will attempt to locate a matching transaction based on the MatchedTransactionIdentifier and the other matching criteria provided. If a match is not found, then the transaction will fail. If this element is not reported, then it will not be used in the trade matching (but all other required matching elements will still apply).

You can also provide a Product Transfer Document (PTD) number and other additional information. The Transaction Details and Documents page contains a document grid you can use to specify the name and identifier of one or more documents that support the sell transaction. Note that the document itself cannot be uploaded. To add document information to the grid, fill in the Document Type and Document

Identification fields, and click Add (see the Separating RINs section for more details). When you have completed this page, click Advanced RIN Selection to move to the final page of the Sell Wizard.

On the Advanced RIN Selection page, you have the option of specifying the batch of RINs that you wish to sell. If you do not wish to specify originating source information, click Add to Transaction Bin at the bottom of the page to continue. In this situation, EMTS will automatically sell the RINs in your RIN Holding Account using the FIFO accounting method. Alternatively, you may use this page to identify a specific originating organization, or organization and facility, or organization, facility, and batch number. See the Separating RINs section for details on how to use the Advanced RIN Selection page to specify originating source information. Once you have specified the originating source information, click Add to Transaction Bin to continue. After you submit the sell transaction from the Transaction Bin, the transaction will be in a pending state, and the RINs associated with the sale will be in the Pending column of the RIN Holdings grid (see Figure 41). The RINs will remain in the Pending column until the trading partner accepts the sell transaction.

Figure 41: Pending RINs in RIN Holdings Grid


RIN Holdings for: RAP Inc. Obligated Party (4675)

Fuel (D Code)	RIN Year	Assignment	QAP Service Type	Available	Pending	Reserved	Locked	Total	I want to...
Biomass-Based Diesel (D=4)	2014	Separated	Unverified (30)	15,000	2,000	0	0	17,000	-- Select -- Go

Export options: CSV | Excel | PDF

The following information is required to initiate a buy transaction:

- The renewable fuel code;
- The year in which the RINs that were bought were generated;
- The assignment of the RINs;
- The QAP service type code;
- The number of RINs that were bought;
- The volume of renewable fuel bought with the RINs (for assigned RINs only);
- The identifier of the organization that has sold the RINs;
- The name of the organization that has sold the RINs;
- The date on which the trade occurred as recorded on the PTD;
- Either the price per RIN or the price per gallon of renewable fuel that was agreed upon by both parties. Price must be recorded to two decimal places; and
- The reason the RINs have been bought.

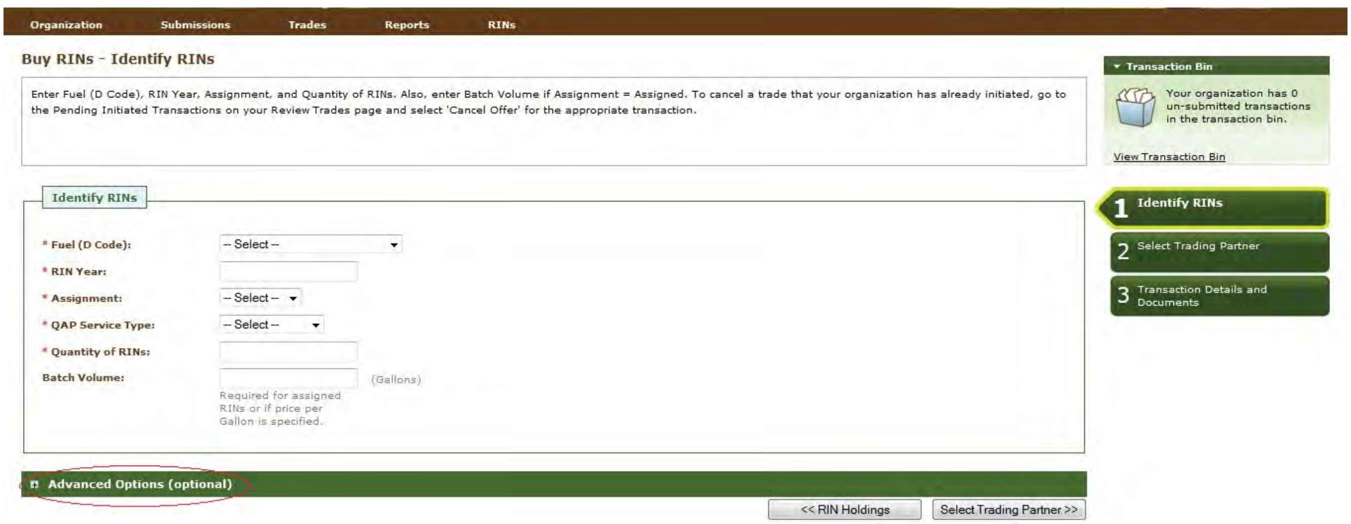
To initiate a buy transaction, go to the Manage RIN Holdings page, and either click the Buy button below the RIN Holdings grid or select Buy in the "I want to..." drop-down for a row in the RIN Holdings and click Go. If you select Buy for an existing row in the RIN Holdings grid, the Fuel (D Code), RIN Year, Assignment, and QAP Service Type in the Buy Wizard will be pre-populated with information from that row.

The green boxes on the right side of the page indicate which of the three steps you are completing. All fields marked with a red asterisk are required. On the Identify RINs page, you must provide the Fuel (D Code), RIN Year, Assignment, and Quantity of RINs.

You may also enter a Matching Transaction Identifier. This element allows users to accept specific buy/sell transactions in the case of several similar transactions. It is the unique transaction identifier assigned by EMTS to an initiated trade. When accepting a trade, users can include this element in the trade matching criteria (along with the other trade matching criteria currently in effect). If this element is reported, EMTS will attempt to locate a matching transaction based on the MatchedTransactionIdentifier and the other matching criteria provided. If a match is not found, then the transaction will fail. If this element is not reported, then it will not be used in the trade matching (but all other required matching elements will still apply).

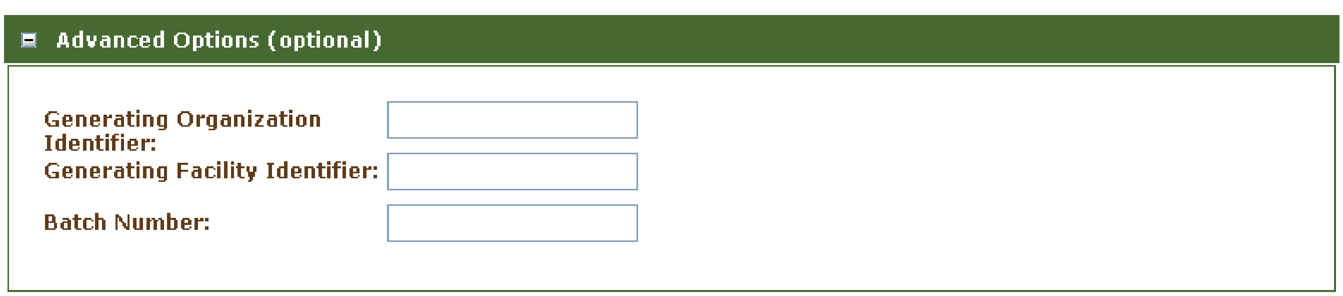
You also have the option of using the Advanced Options fields to specify originating source information for the RINs that you wish to buy. To access the Advanced Options fields, click the Advanced Options tab circled in Figure 42.

Figure 42: Buy RINs – Identify RINs Page (Step 1)



Once you click this tab, you will be able to access the Advanced Options fields (see Figure 43).

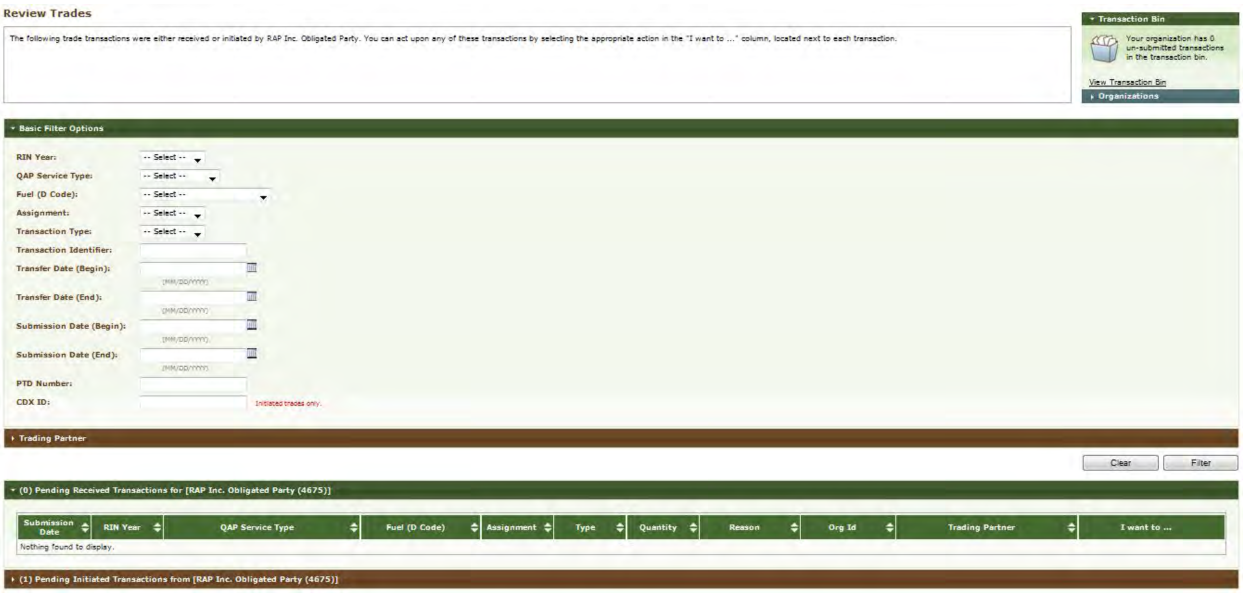
Figure 43: Buy RINs – Advanced Options



To specify the originating source for a buy transaction, you will need to know the Generating Organization Identifier, the Generating Facility Identifier, and the Batch Number (unlike the Sell Wizard where you have options available to you). Once you complete the Identify RINs page of the Buy Wizard, click Select Trading Partner. The Select Trading Partner and the Transaction Details and Documents pages of the Buy Wizard have the same behavior as the corresponding pages in the Sell Wizard. For buy transactions, the trading partner organization must have an enabled business activity that allows it to sell RINs. From the Transaction Details and Documents page, click Add to Transaction Bin. Submit the transaction from the Transaction Bin to complete the buy transaction. At this point, the transaction will be in a pending state, but the transfer of RINs will not be reflected in your RIN Holdings grid until the trading partner accepts the buy transaction.

To view the pending transaction(s) that your organization has initiated or received (as the result of another organization initiating a transaction with your organization as the trading partner), hover over Trades on the main menu and select Review Trades. The Review Trades page is organization-specific (see tabs in Figure 44), so to switch the organization for which the page is displayed, open the Organizations tab of the accordion on the right side of the page, and click Select a Different Organization.

Figure 44: Review Trades Page



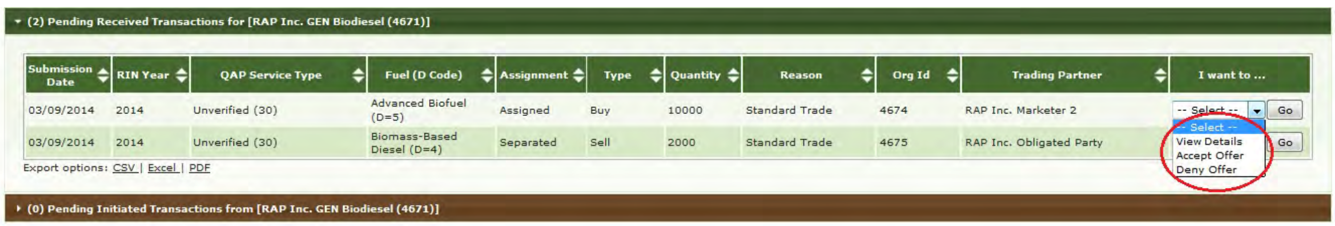
The Review Trades page includes a number of filter options that you can use to search for specific initiated or received buy or sell transactions. The labels on the Pending Transactions tabs include the number of transactions within each tab. In Figure 45, the organization has two Pending Initiated Transactions and zero Pending Received Transactions. In the Review Trades accordion, only one tab can be open at a time, so to open the Pending Received Transactions tab of the accordion, you would click Pending Received Transactions. As a result, the Pending Initiated Transactions tab would close.

For Pending Initiated Transactions, you can select View Details in the "I want to..." drop-down to view the details of the transaction, or you can select Cancel Offer to cancel the trade (see Figure 42). If you choose Cancel, you will be asked to confirm the cancellation, and the transaction will no longer appear in your Pending Initiated Transactions (or your trading partner's Pending Received Transactions).

Figure 45: Pending Initiated Transactions Options

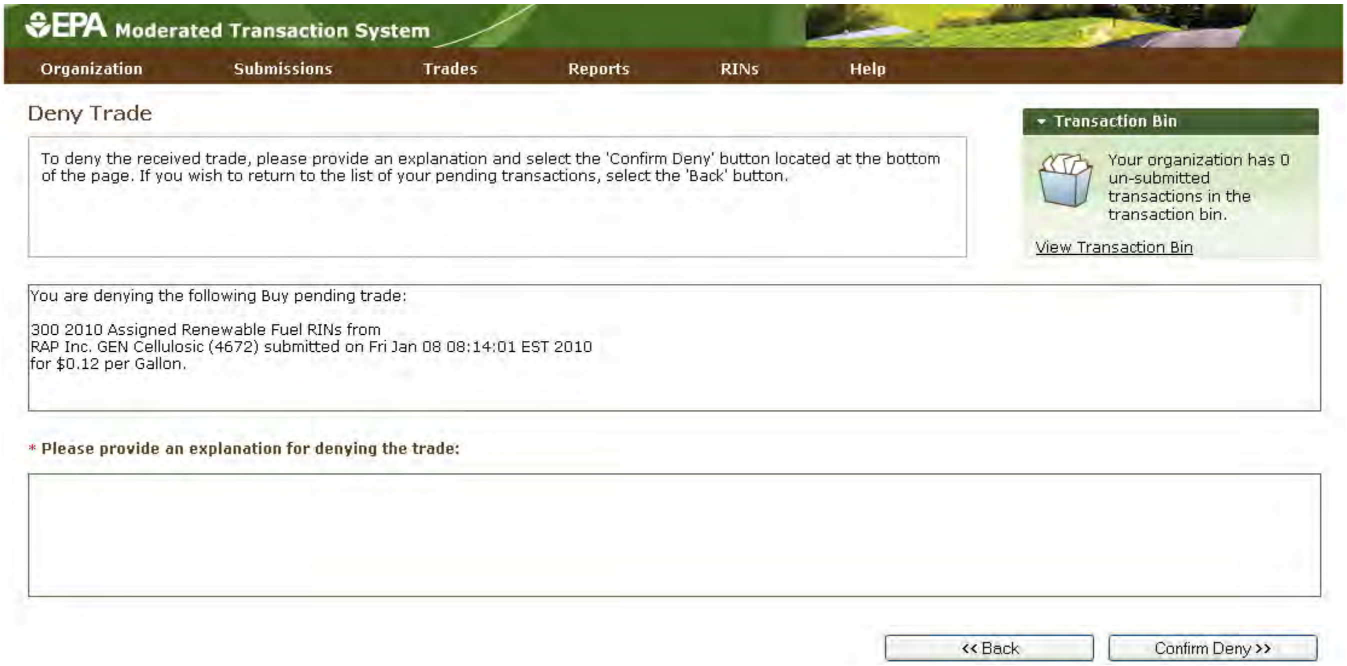
For Pending Received Transactions, you can select View Details, Accept Offer, or Deny Offer in the "I want to..." drop-down (see Figure 46).

Figure 46: Pending Received Transactions Options



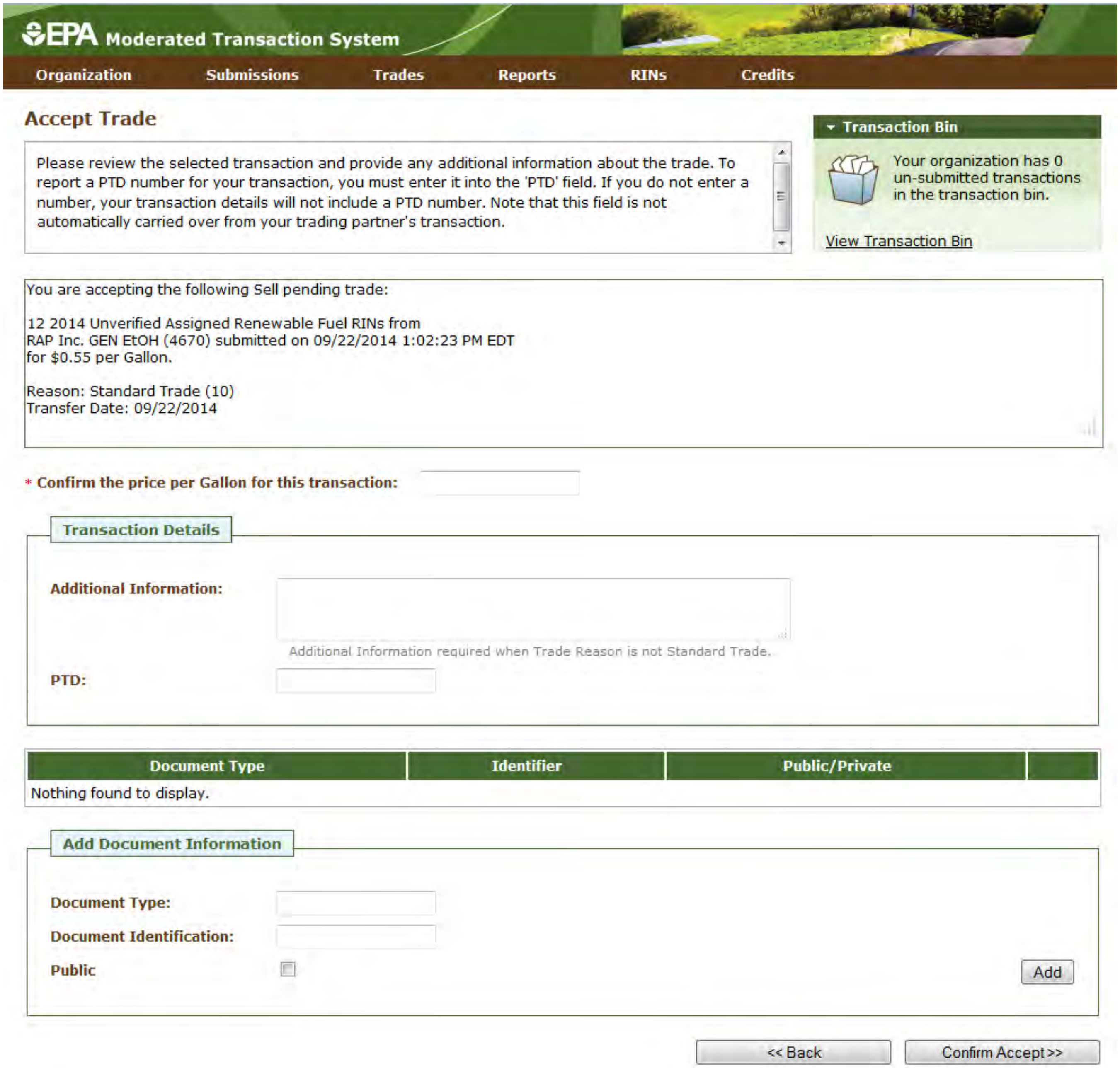
If you deny the offer, you will see the details of the transaction that you are denying, and you will need to provide an explanation for denying the trade (see Figure 47). Once you press Confirm Deny, the transaction will no longer appear in your Pending Received Transactions (or your trading partner's Pending Initiated Transactions).

Figure 47: Deny Trade Page



If you select Accept Offer, you will also see the details of the transaction, and you will be asked to provide the price of the transaction (see Figure 48). Additionally, you will have the option of adding transaction details and document information. Note that the document itself cannot be uploaded. To add document information to the grid, fill in the Document Type and Document Identification fields, and click Add (see the Separating RINs section for more details).

Figure 48: Accept Trade Page



To report a PTD number for your transaction, enter the number in the "PTD" field. If you do not enter a PTD number, your transaction details will not include a PTD number. Note that this field is not automatically carried over from your trading partner's transaction.

Once you click Confirm Accept, the transaction will no longer appear in your Pending Received Transactions (or your trading partner's Pending Initiated Transactions), and the results of the trade will be reflected in your RIN Holdings.

If you select View Details for a Pending Received transaction, you will see the details of the transaction along with the option to either accept the trade or deny the trade. Clicking Deny Trade will take you to the Deny Trade page (see Figure 47), and clicking Accept Trade will take you to the Accept Trade page (see Figure 48).

If a trade is not accepted, cancelled, or denied within ten business days of the submission date (the date that you or your trading partner initiated the trade), the trade will expire, and it will no longer appear on your Review Trades page.

As described earlier in this section, a trade can be completed if one trading partner initiates a trade through a Buy/Sell Wizard, and the other partner then accepts the initiated trade from the Review Trades page. Trades can also be completed in the following ways:

- Both trading partners submit XML files for a trade (one buy and one sell);
- One trading partner completes a buy/sell transaction on the web application, and the other trading partner submits a matching XML file for the corresponding transaction; or
- One trading partner completes a buy transaction on the web application, and the other trading partner completes a matching sell transaction on the web application.

In all of these instances, the following fields must match for the trades to match:

1. RIN Year;
2. Fuel Code;
3. RIN Quantity;
4. Reason Code;*
5. Assignment Code;
6. QAP Service Type; and
7. Transaction Date.

* If the buy or sell reason is Deny Trade or Cancel Trade, then the Reason Codes do not need to match.

In addition:

1) The Trading Partner Organization Identifiers must agree (e.g., the sell transaction should list the buying organization as the Trading Partner, and the buy transaction should list the selling organization as the Trading Partner); and

2) If one Trading Partner specifies Originating Source information, then the other Trading Partner must specify the same Originating Source information.

If these fields do not match, then the trades submitted by both trading partners via XML or web application will be considered pending initiated trades. For the Price Element matching criteria, both trading partners must provide either RIN price amount or gallon price amount (the same element), but the values reported do not need to match. For more information on using XML files to interact with EMTS, see the Submitting XML Files Section.

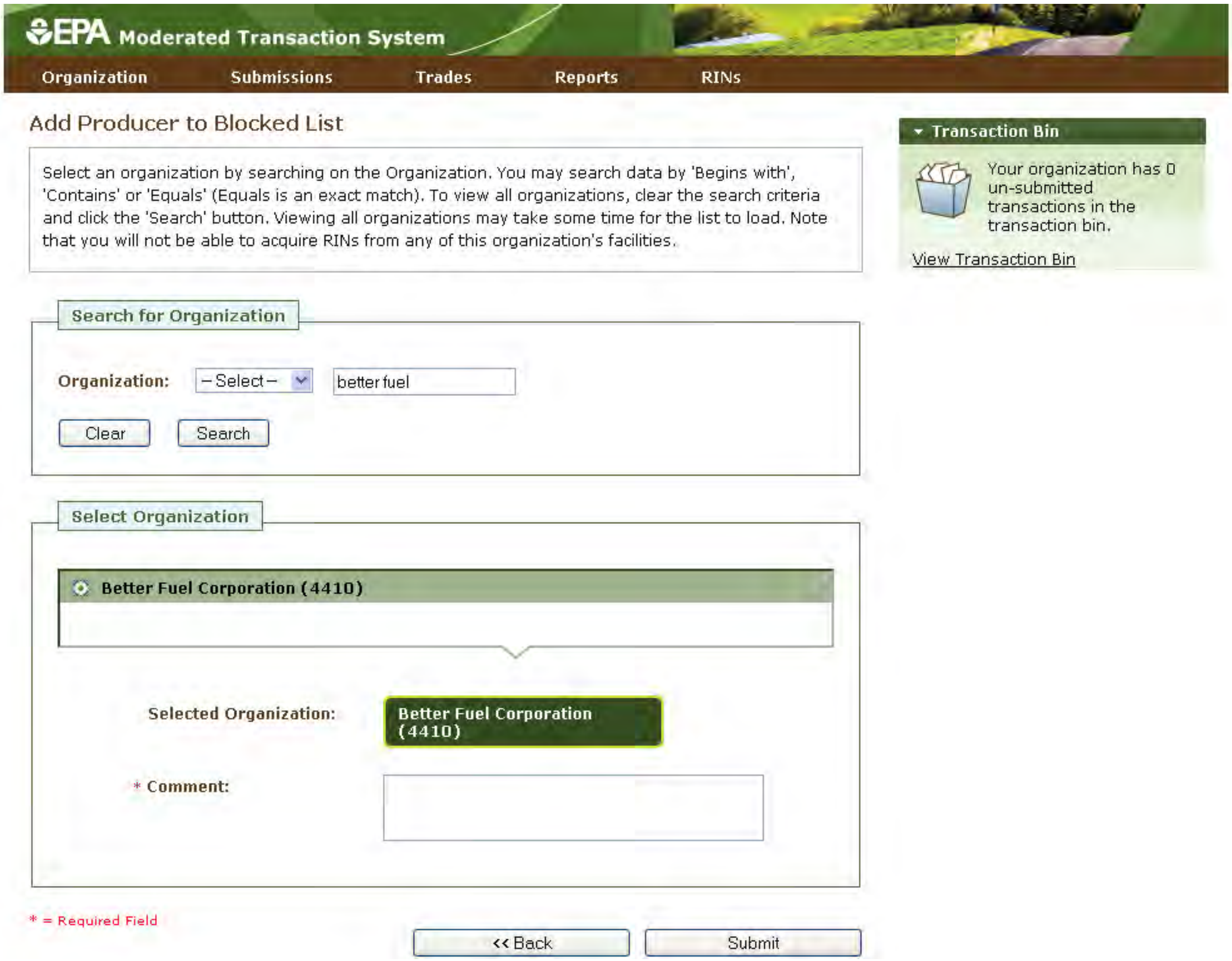
Managing the Blocked List

In some cases, you may wish to ensure that your organization does not buy or own RINs that were generated by a specific renewable fuel producer, importer, or facility. To do so, you can add a producer or facility to your organization's Blocked List. When a trade includes RINs that originated from a producer, importer, or facility on the buying organization's Blocked List, the transaction will automatically be denied by EMTS, and a notification will be sent to both parties indicating that the transaction was not processed. You can access your organization's Blocked List by selecting View Blocked List under Organization in the EMTS main menu.

Figure 49: View Blocked List Page

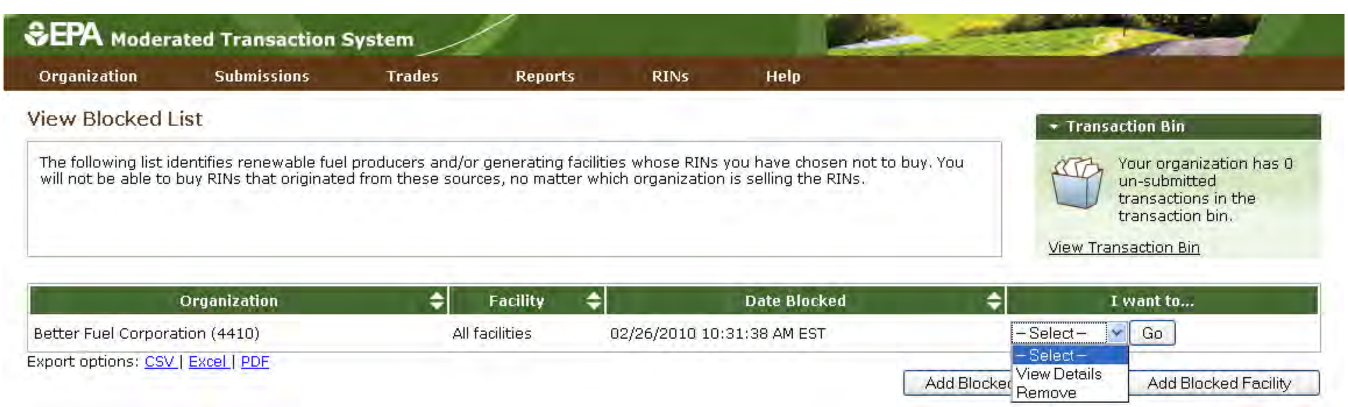
From the View Blocked List page (see Figure 49), click the Add Blocked Producer or Add Blocked Facility button to add a producer or facility to your organization's Blocked List. Clicking Add Blocked Producer takes you to the Add Producer to Blocked List page (see Figure 50). On the Add Producer to Blocked List page, you must identify a renewable fuel producer from a list of organizations (the list includes only renewable fuel producers). You can filter the list by Organization Name or Organization ID. To select a producer to add to your Blocked List, click the organization name in the list, and press Select. In Figure 48, the organization list was filtered with the word "Better," and Better Fuel Corporation was selected.

Figure 50: Add Producer to Blocked List Page



After you enter a comment in the Comment field and press Submit, you will return to the View Blocked List page, and the producer that you blocked will be added to the View Blocked List grid (see Figure 51).

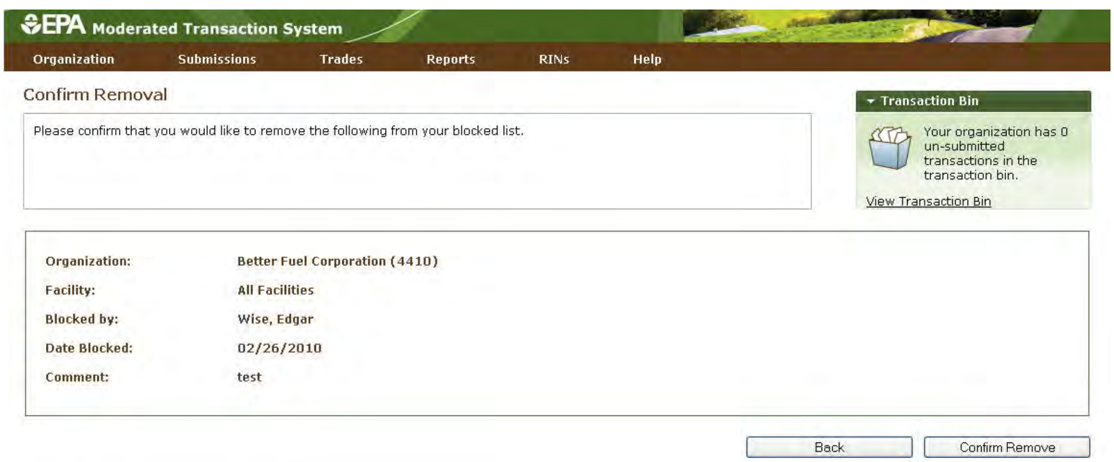
Figure 51: View Blocked List Grid



When you add a producer to your organization's Blocked List, the Facility column in the View Blocked List grid will contain the text "All facilities," indicating that your organization has chosen to block RINs that originate at all of the producer's facilities. If you add a facility to the Blocked List, the Facility column will display the name of the facility that you have blocked, and the Organization column will display the name of the organization associated with that facility. Note that you may select an organization on the View Blocked List page regardless of whether that organization has produced RINS or has been enabled as a current producer.

For each row in the View Blocked List grid, you have the option to either View Details or Remove. Selecting View Details takes you to a View Blocked List Details page that includes the Organization, Facility, and Date Blocked information displayed in the grid along with the name of the person that added the organization/facility to the Blocked List and the comment provided with the action. Selecting Remove takes you to a Confirm Removal page (see Figure 51). The page displays all of the information included on the View Details page. You must press Confirm Remove at the bottom of the page to remove the organization/facility from the Blocked List. Upon doing so, you will return to the View Blocked List grid, and the removed organization/facility will no longer be included in the grid.

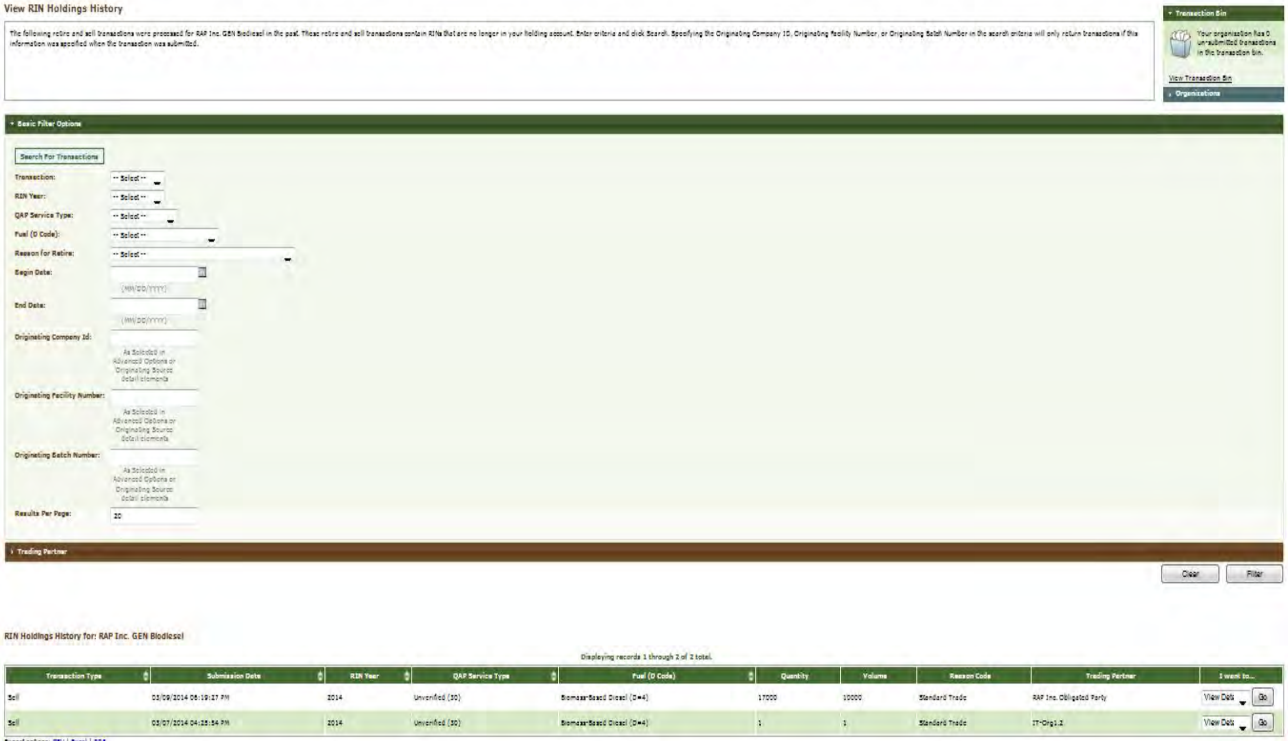
Figure 51: Confirm Removal Page



Viewing Historic RIN Holdings

To view information for RINs that your organization previously owned but has since removed from its RIN Holding Account, select View RIN Holdings (History) under RINs on the EMTS main menu. The View RIN Holding History page contains details of your organization's retire and sell transactions (i.e., transactions that remove RINs from your RIN holdings) (see Figure 52).

Figure 52: View RIN Holding History Page

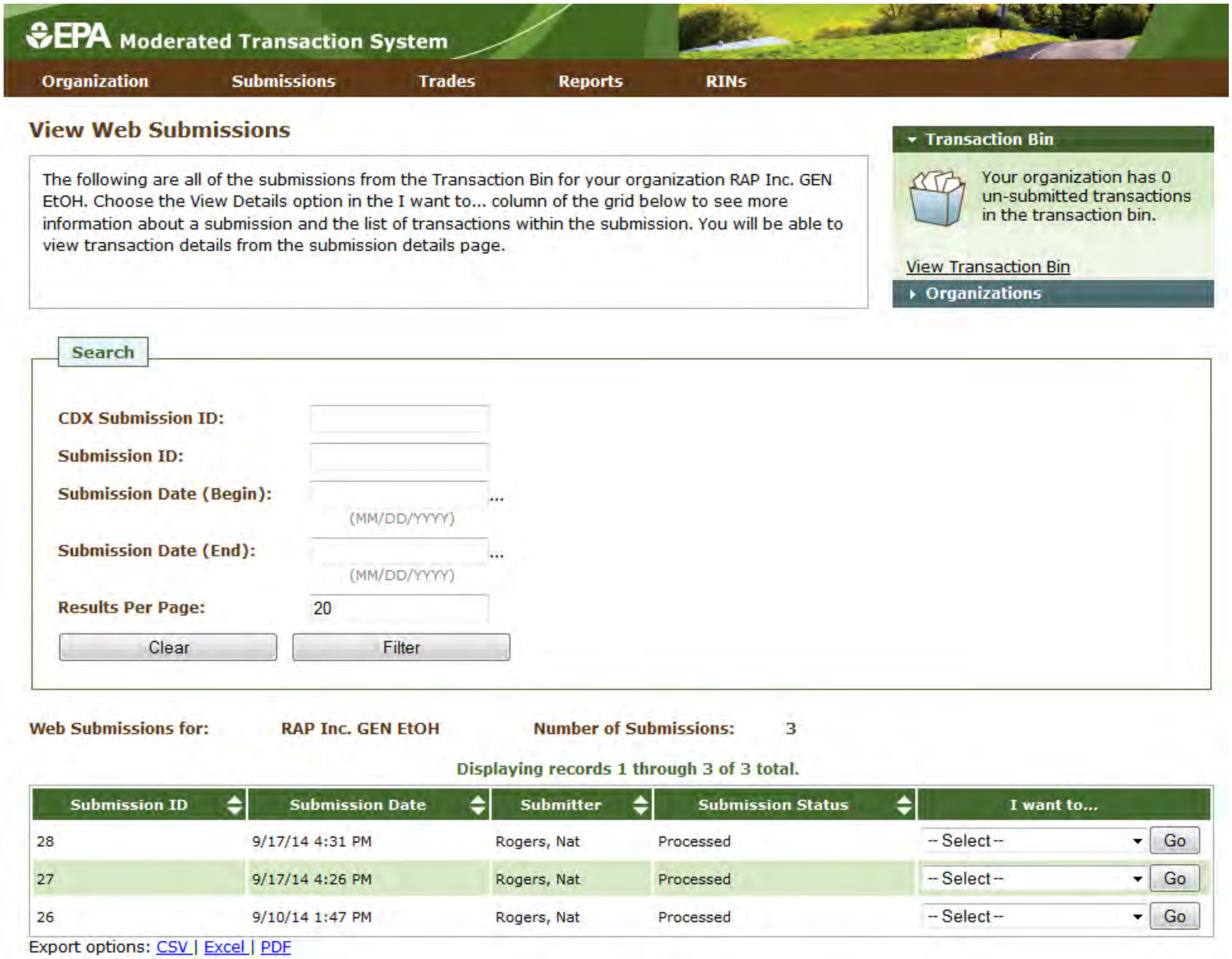


This page is organization-specific; to switch the organization for which the page is displayed, open the Organizations tab of the accordion on the right side of the page, and click Select a Different Organization. The RIN Holding History grid provides an overview of each retire and sell transaction performed on behalf of the organization indicated above the grid. To filter the RIN Holding History grid to look for a particular transaction, use the filter options in the Search for Transactions box, and press Search. To view the details of a transaction in the grid, select View Details in the "I want to..." drop-down and click Go.

Viewing Web Submissions

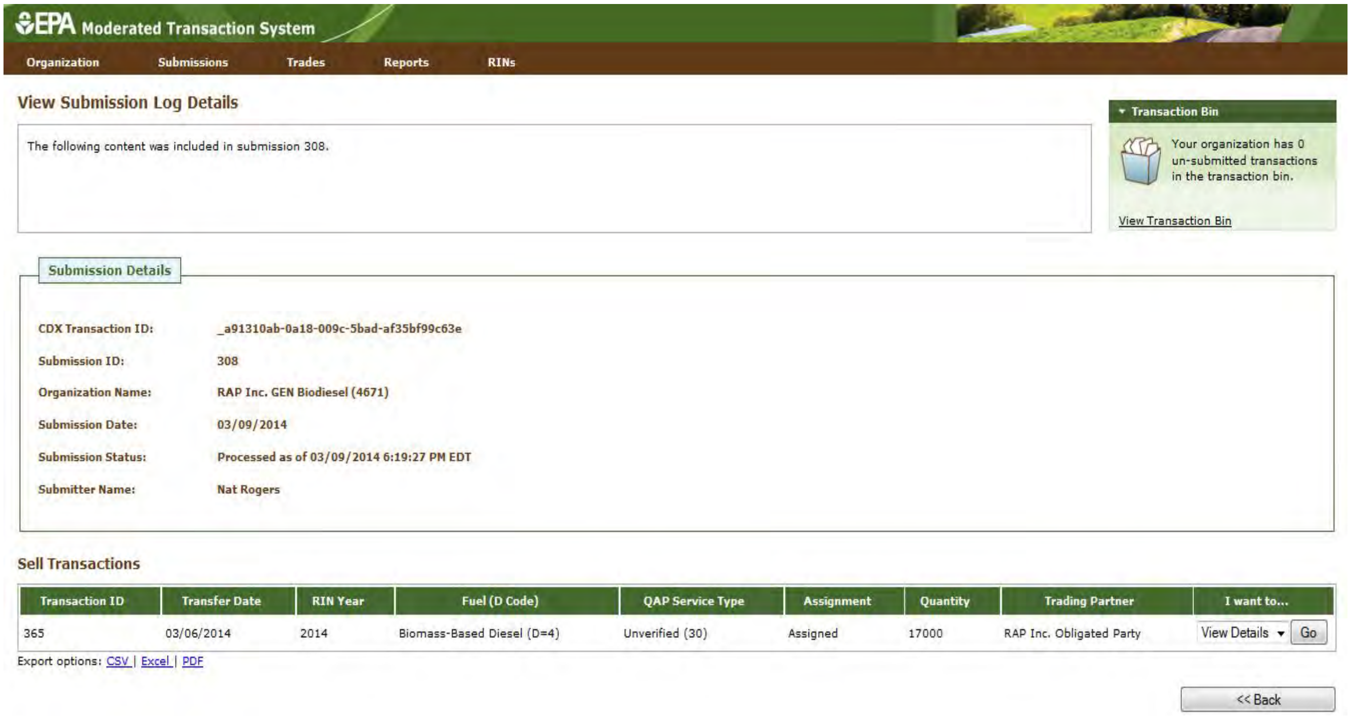
For every set of transactions that you submit from the Transaction Bin, EMTS will create and store a submission details page (a submission contains one or more transactions). To access the details of Transaction Bin submissions, select View Web Submissions under Submissions on the EMTS main menu.

Figure 54: View Web Submissions Page



The View Web Submissions page is organization-specific, so it includes Transaction Bin submissions completed by any of an organization's submitters. To switch the organization for which the View Web Submissions page is displayed, open the Organizations tab of the accordion on the right side of the page, and click Select a Different Organization. To filter the View Web Submissions grid to look for a particular submission, use the options in the Search box, and press Filter. The Web Submissions grid includes an overview of each submission from the Transaction Bin. For each transaction, you will see the submission ID, submission date, submitter, and status. To view the details of a submission, select View Details in the "I want to..." drop-down and click Go. Doing so takes you to a View Submission Log Details page, which contains the details of the submission and an overview of each transaction in the Submission (see Figure 55). You can also download the submitted XML file the View Node Submissions page by selecting “Download Submitted XML” from the “I want to…” dropdown. The submitted files are stored and available for download for a limited amount of time.

Figure 55: View Submission Log Details



To view the details of a transaction in the submission, select View Details in the "I want to..." drop-down and click Go.

Submitting XML Files

If you wish to submit data to EMTS without using the website transaction wizards, you may do so by submitting valid XML files from the EMTS web application, a personal node, or a node client. For more details on XML file submission, please go to *http://www.exchangenetwork.net/exchanges/air/emts.htm* and download the implementation resources available on the site. The Flow Configuration Document (FCD) describes the different methods of file submission and contains details on the Exchange Network Header v2.0, which must be included in an XML file for it to be valid. The XML Schema and Data Exchange Template provide additional information on the structure and content requirements for a valid XML file. Please see the Sample XML Instance File for an example of a valid XML file. In addition, please see the document titled "Submitting EMTS Transactions Using XML."

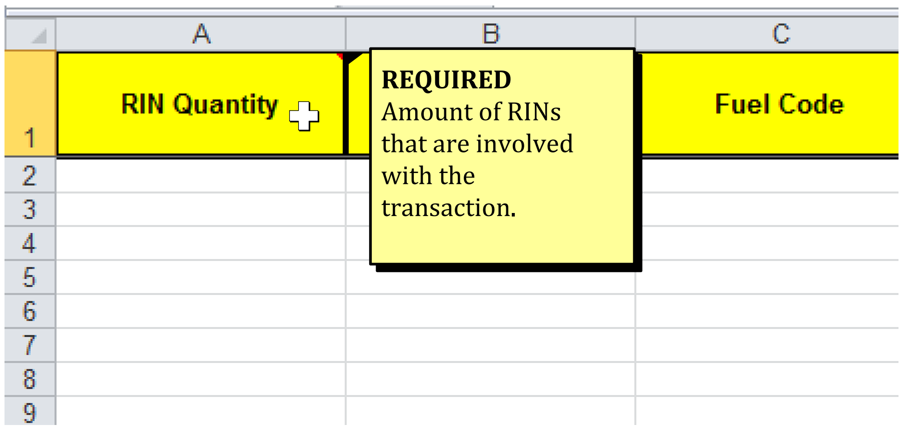
Converting Excel Files to XML

EMTS includes functionality to convert an MS Excel file into a valid XML file. EPA provides a blank Excel template, which allows users to include all transaction types in one file. It includes general notes about submitting transactions, user-specific submittal information, and a tab for each transaction type.
The EMTS Excel Conversion Template can be found here
http://www.epa.gov/otaq/fuels/renewablefuels/emtshtml/emtsdocuments.htm.

Important Notes: The transaction types must remain in the same order presented in the template: Generate, Buy, Separate, Sell, Retire, Lock, and Unlock. The template header rows also must remain unchanged to allow EMTS to process the file.

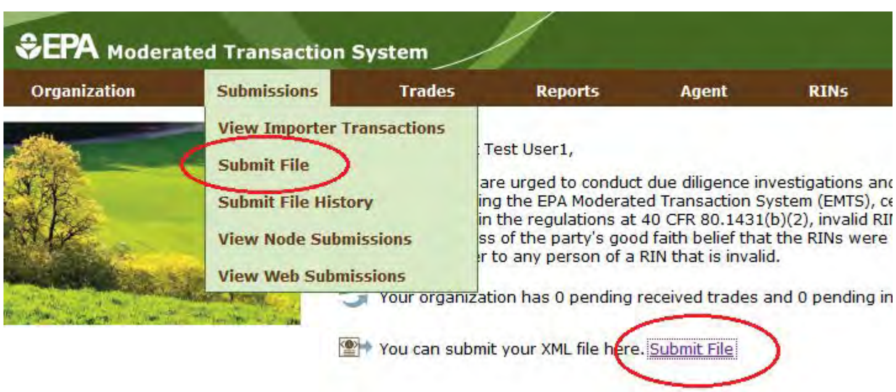
Required columns have a header that is highlighted yellow. Additional information is included in column header comments and in the Notes tab. To view comments, hover over the header, as shown in Figure 56 below.

Figure 56: Excel Template Comment



To convert an Excel file into XML, navigate to Submissions→ Submit File from the main EMTS menu or the EMTS home page (see Figure 57).

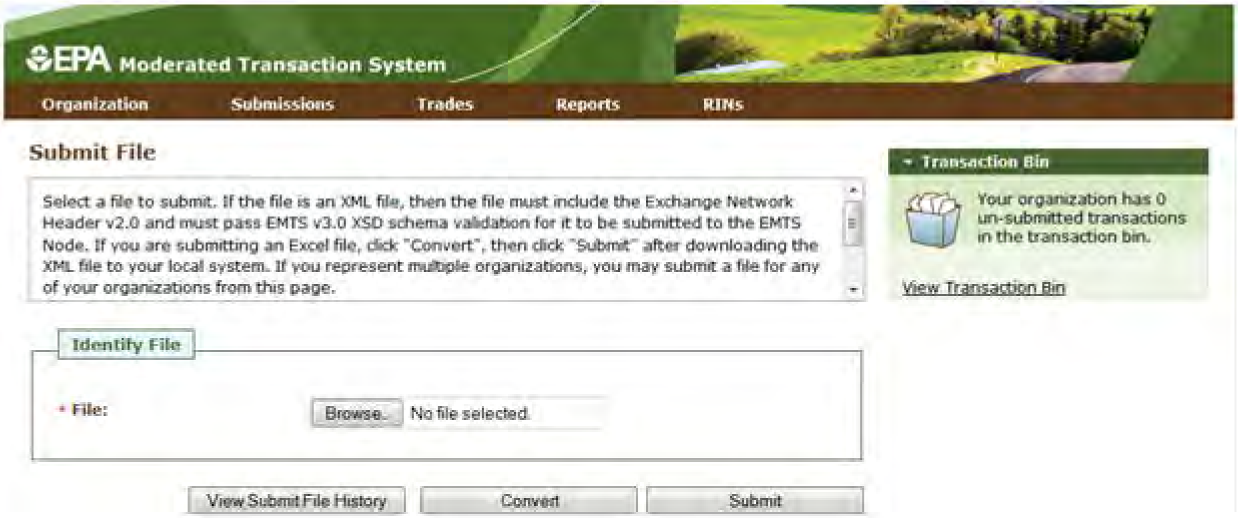
Figure 57: EMTS Homepage Submit File Options



The Submit File page is user-specific, so if you represent multiple organizations, you can submit files for all of your organizations from the Submit File page without changing the organization that you represent. However, submissions for each organization must be included in a separate file submission. From this page, you may submit only one Excel file at a time. In addition, you may not submit multiple files with the same file name in a given calendar year (to prevent accidental duplication).

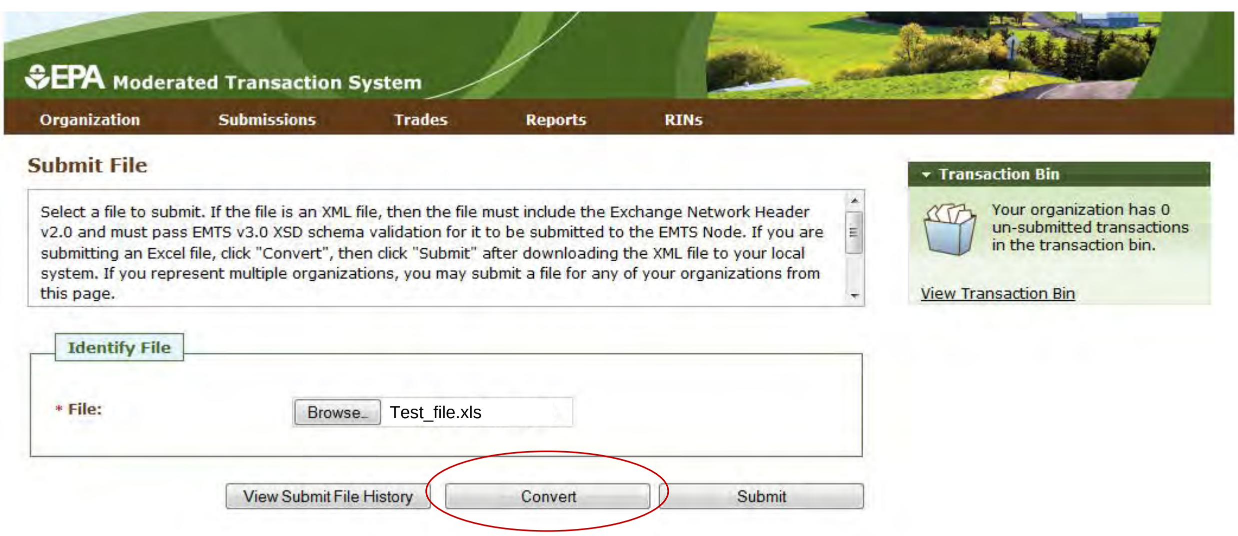
On the Submit File page (see Figure 58), click the Browse button to identify the Excel file you would like to convert. The tab order and name, as well as the header rows, must remain unchanged from the Excel Template.

Figure 58: Submit File Page



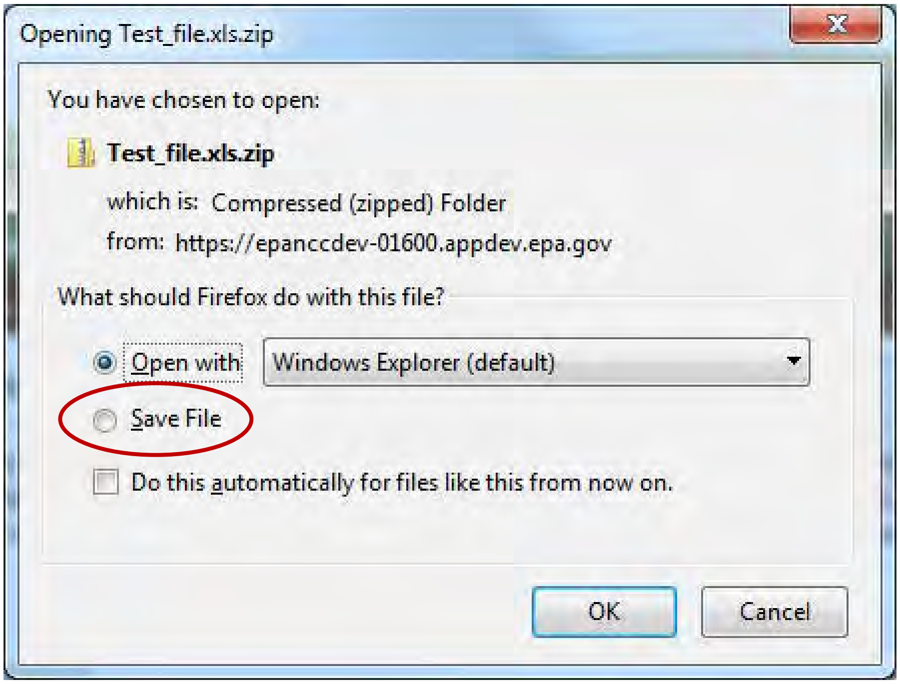
Once you have identified a file, click the Convert button (see Figure 59). After clicking the Convert button, it may take some time to process, so please be patient.

Figure 59: Submit File Page – Loading the File



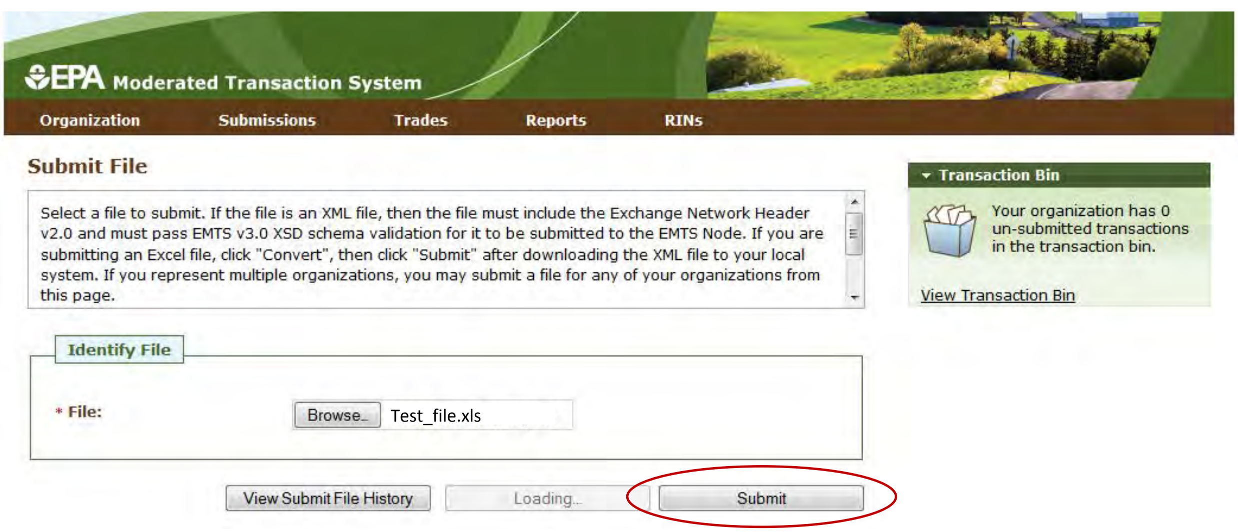
If your file was successfully converted from Excel to XML, you will see the following screen pop up (see Figure 60), which provides you with an opportunity to save the XML file for your records. If your file had any errors during conversion, you will see the corresponding QA Check Errors pop up on the Submit File page. Once you have corrected your errors, re-submit the file and click the Convert button.

Figure 60: Successful Conversion – Opportunity to Save XML File



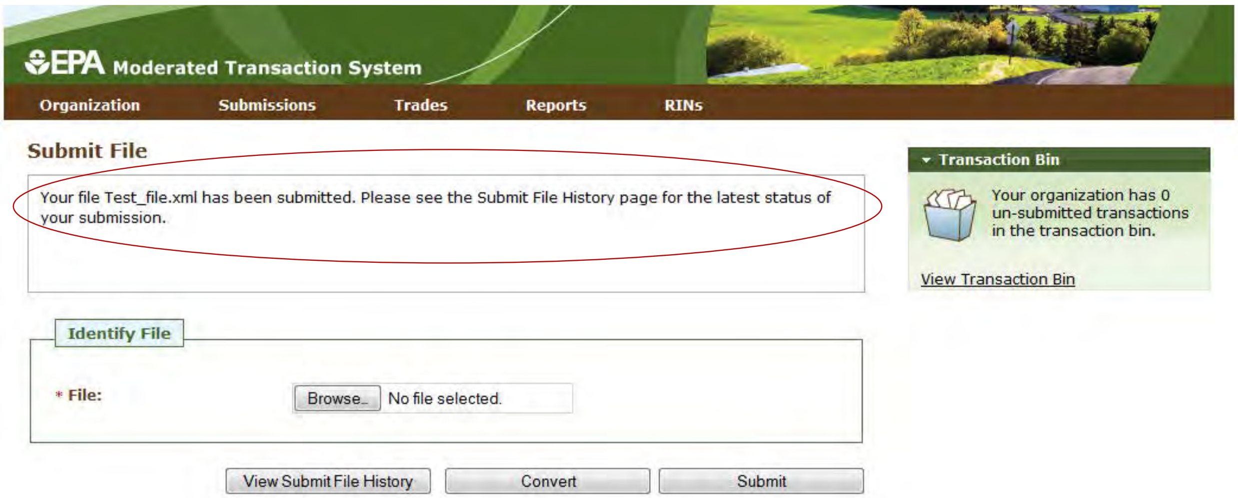
Once you have saved the XML file for your records, you are ready to submit it for processing. Click the Submit button from the Submit File page, as shown in Figure 61. It may take some time to process, so please be patient and avoid clicking the Submit button again.

Figure 61: Submit Converted Excel File



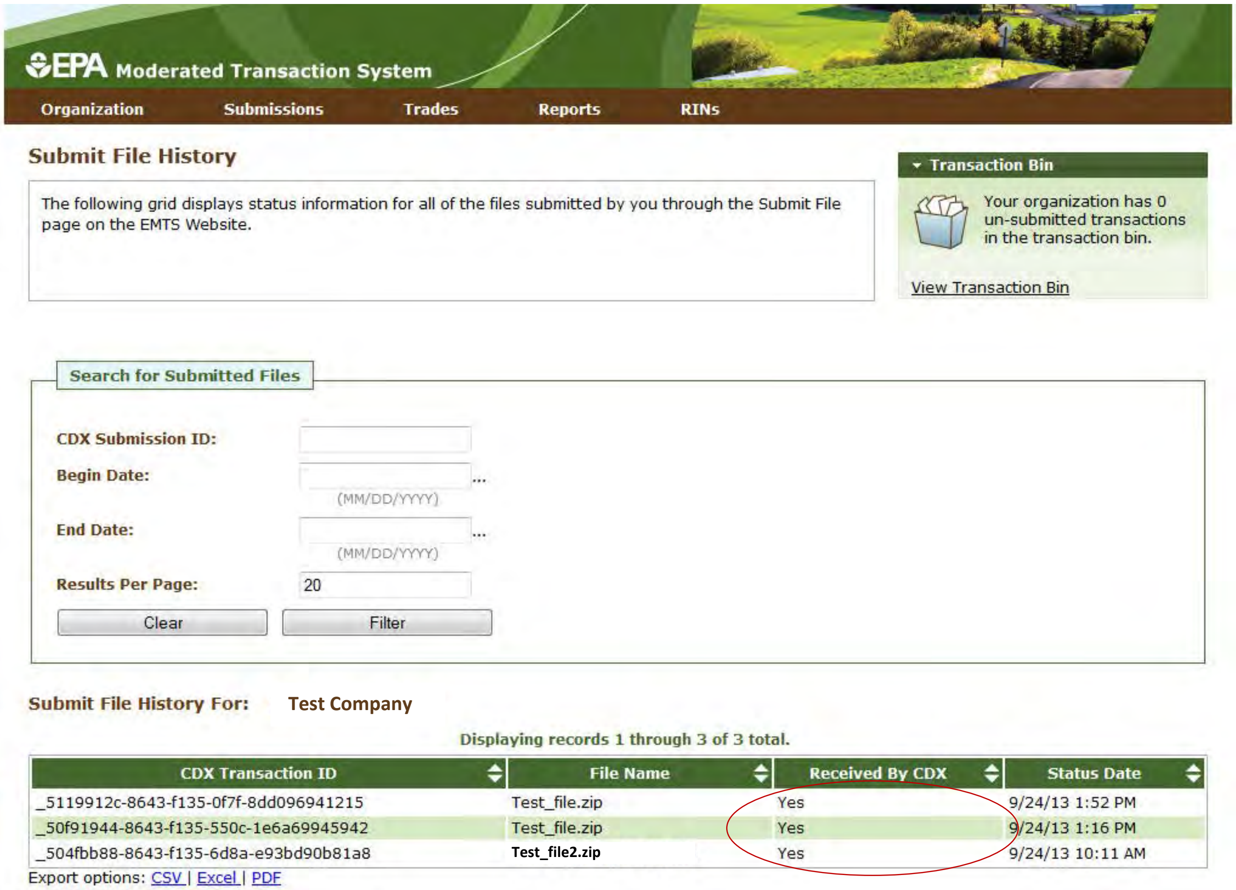
The file must first pass through the CDX node before it can be processed by the EMTS node. If your file does not pass schema validation, you will receive an error message on the Submit File page. If your file is valid, the message on the Submit File page will be updated to indicate that your file has been submitted, as seen in the figure below.

Figure 62: Submit File Page



To view the CDX node status details for your submission, press the View Submit File History button. You can also access the Submit File History page by hovering over the Submissions menu option and clicking Submit File History. The Submit File History page (see Figure 63), like the Submit File page, is user-specific (not organization-specific), so it will include records for your submissions for all of your organizations. It will display information only for files submitted from the Submit File page and not for files submitted using a personal node or node client. If the 'Received By CDX' column displays 'Yes' for a submission, the submission was successfully received by the CDX node and has been sent to the EMTS node for processing.

Figure 63: Submit File History page



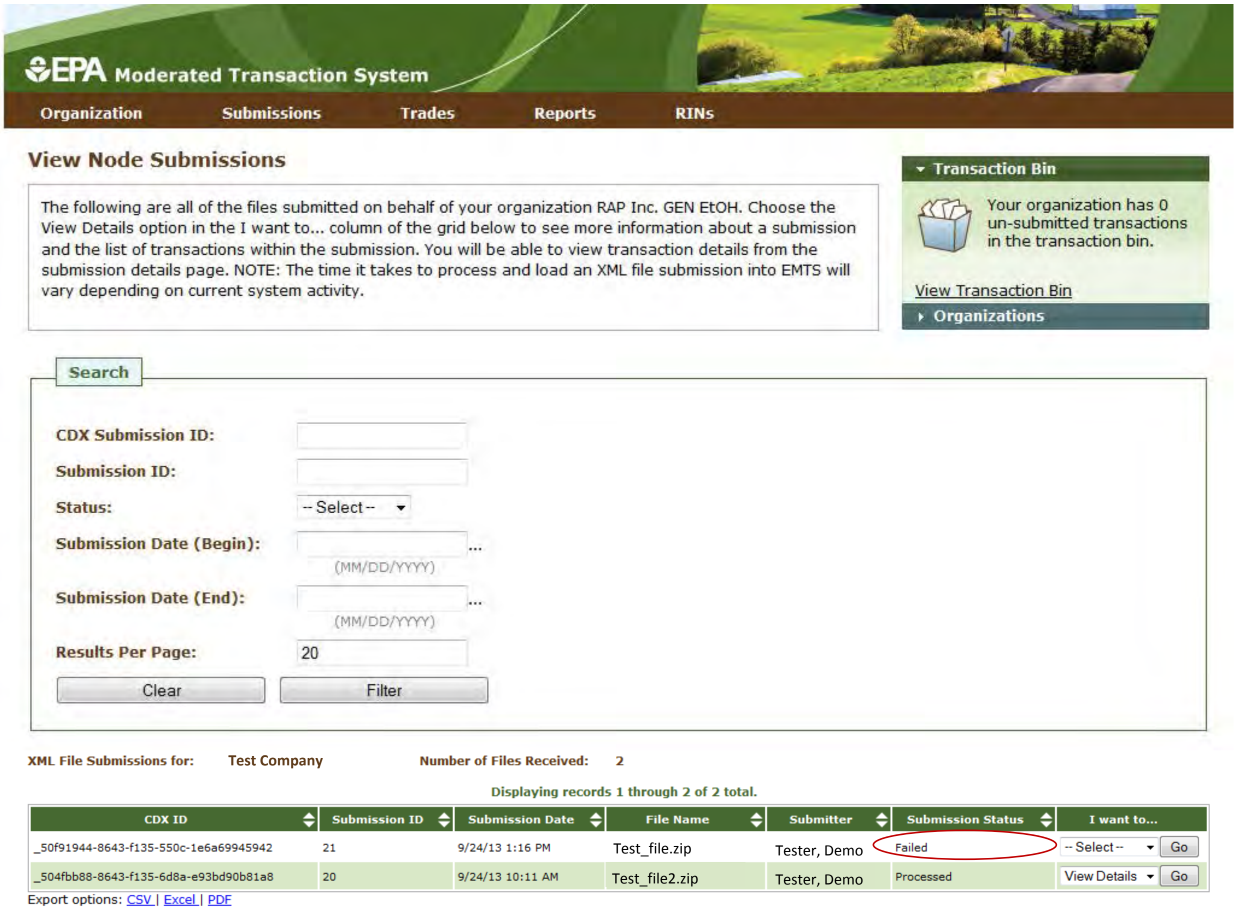
Processing by EMTS

After confirming that the file was successfully received by CDX, you will need to check whether the file was processed by EMTS. It is possible for your file to have been successfully received by CDX, but not successfully processed by EMTS.

In order to confirm whether your transaction has been successfully processed by EMTS, hover over the Submissions menu option and click View Node Submissions. The View Node Submissions page displays the results of XML files submitted from a personal node or node client along with XML files submitted from the Submit File page, which acts as a node client.

In the example shown in Figure 64, the submission was successfully sent to CDX, but failed to be processed by EMTS, as seen in the results circled in the “Submission Status” column.

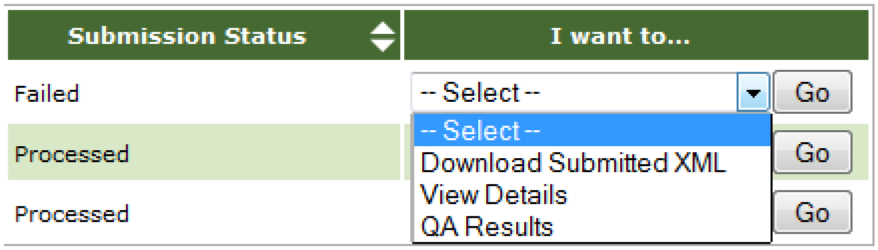
Figure 64: View Node Submissions



The View Node Submissions page is organization-specific (and not user-specific), which means that the page displays the status of all files submitted by representatives of the organization specified above the View Node Submissions grid. To switch organizations, click Select a Different Organization in the Organizations tab of the accordion. To filter the View Web Submissions grid to look for a particular submission, use the options in the Search box, and press Filter.

This page displays the date and time XML files were submitted, CDX and Submission IDs, the file names, and whether the files were successfully processed. The Submission Status column of the View Node Submissions grid displays the EMTS node status of each XML file submission. A status of Processed indicates that the file passed all QA checks, and a status of Failed indicates that the file failed one or more EMTS QA checks. For processed and failed files, you can select View Details in the "I want to…" column to see more information about the submission and a list of transactions within the submission (see Figure 65).

Figure 65: View Node Submissions Options



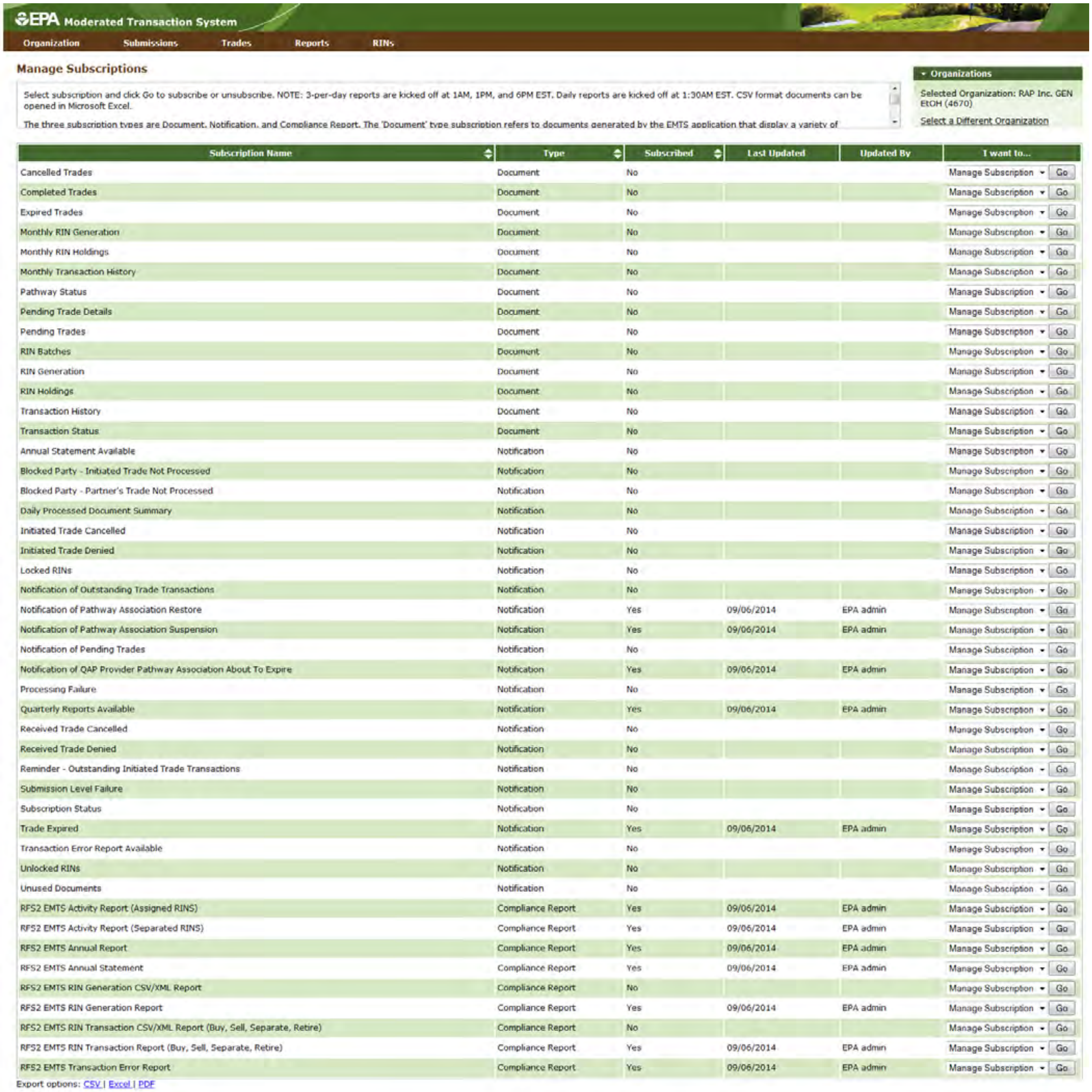
From the submission details page, you will be able to view transaction details for each transaction in the submission. For processed and failed files, you can also download the submitted XML file the View Node Submissions page. The submitted files are stored and available for download for a limited amount of time. From the View Node Submissions page, you can also select QA Results in the “I want to…” column for a failed submission. This will take you to a QA Feedback Report, which contains a list of QA checks that the submission failed.

Receiving Notifications

EMTS can communicate information to users by sending notifications via email. Some notifications will be sent immediately while others will be aggregated and sent nightly. The current version of EMTS includes a number of immediate notifications, such as the EMTS Trade Cancelled notification and the EMTS Trade Denied notification, along with several aggregated daily notifications, such as the EMTS Notification of Pending Trades and the Daily Processed Document Summary. For a complete list of notifications, see Appendix E of the Flow Configuration Document, on the EMTS Documents page.

To receive these notifications, you must first subscribe to the notifications from the Manage Subscriptions page (see Figure 66) (click Manage Subscriptions under the Reports menu option). Users will be automatically subscribed for some notifications.

Figure 66: Manage Subscriptions Page



Subscription Name	Type	Subscribed	Last Updated	Updated By	I want to...
Cancelled Trades	Document	No			Manage Subscription Go
Completed Trades	Document	No			Manage Subscription Go
Expired Trades	Document	No			Manage Subscription Go
Monthly RIN Generation	Document	No			Manage Subscription Go
Monthly RIN Holdings	Document	No			Manage Subscription Go
Monthly Transaction History	Document	No			Manage Subscription Go
Pathway Status	Document	No			Manage Subscription Go
Pending Trade Details	Document	No			Manage Subscription Go
Pending Trades	Document	No			Manage Subscription Go
RIN Batches	Document	No			Manage Subscription Go
RIN Generation	Document	No			Manage Subscription Go
RIN Holdings	Document	No			Manage Subscription Go
Transaction History	Document	No			Manage Subscription Go
Transaction Status	Document	No			Manage Subscription Go
Annual Statement Available	Notification	No			Manage Subscription Go
Blocked Party - Initiated Trade Not Processed	Notification	No			Manage Subscription Go
Blocked Party - Partner's Trade Not Processed	Notification	No			Manage Subscription Go
Daily Processed Document Summary	Notification	No			Manage Subscription Go
Initiated Trade Cancelled	Notification	No			Manage Subscription Go
Initiated Trade Denied	Notification	No			Manage Subscription Go
Locked RINs	Notification	No			Manage Subscription Go
Notification of Outstanding Trade Transactions	Notification	No			Manage Subscription Go
Notification of Pathway Association Restore	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Notification of Pathway Association Suspension	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Notification of Pending Trades	Notification	No			Manage Subscription Go
Notification of QAP Provider Pathway Association About To Expire	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Processing Failure	Notification	No			Manage Subscription Go
Quarterly Reports Available	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Received Trade Cancelled	Notification	No			Manage Subscription Go
Received Trade Denied	Notification	No			Manage Subscription Go
Reminder - Outstanding Initiated Trade Transactions	Notification	No			Manage Subscription Go
Submission Level Failure	Notification	No			Manage Subscription Go
Subscription Status	Notification	No			Manage Subscription Go
Trade Expired	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Transaction Error Report Available	Notification	No			Manage Subscription Go
Unlocked RINs	Notification	No			Manage Subscription Go
Unused Documents	Notification	No			Manage Subscription Go
RFS2 EMTS Activity Report (Assigned RINS)	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Activity Report (Separated RINS)	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Annual Report	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Annual Statement	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS RIN Generation CSV/XML Report	Compliance Report	No			Manage Subscription Go
RFS2 EMTS RIN Generation Report	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS RIN Transaction CSV/XML Report (Buy, Sell, Separate, Retire)	Compliance Report	No			Manage Subscription Go
RFS2 EMTS RIN Transaction Report (Buy, Sell, Separate, Retire)	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Transaction Error Report	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go

Export options: CSV | Excel | PDF

To subscribe to a notification, press Go in the "I want to..." column. On the Manage Subscription page for that notification, check the "Subscribed" checkbox. For the immediate notifications, the frequency will be "Immediate," and for the daily notifications, the frequency will be "Daily." All notifications will be text format and will be delivered via email. All subscriptions are organization specific, so if one submitter for an organization subscribes to a notification, then all submitters for that organization will receive the notification.

Receiving Documents

EMTS also creates various reports and documents that include information about data submitted for your organization. These documents can be accessed from the EMTS website (click View Reports under the Reports menu item) or retrieved from the EMTS node. The documents included in the current release are:

- Cancelled Trades: This document, available on a nightly basis, lists all initiated and received trades that have been cancelled within the past 10 calendar days.
- Completed Trades: This document, available weekly, nightly, or three times per day, lists all trades that have reached their final status (completed, cancelled, expired, or denied) within the past 10 calendar days.
- Expired Trades: This nightly document lists all pending trades that will expire within 1 business day as well as all trades that have expired within the past 10 calendar days.
- Monthly RIN Generation Report: Both organizations and agents may subscribe to the report. This report is available monthly and contains detailed information on the RIN batches generated by the subscribed organization during the prior month.
- Monthly Transaction History: This document, available on a monthly basis, lists all generate, separate, buy, sell and retire transactions submitted by an organization through XML files or the EMTS web interface during the prior month.
- Monthly Verified RINs Generate Activity: This document, available on a monthly basis, is only available to QAP Providers. It includes detailed information on RIN batches that were generated on a verified pathway during the prior month.
- Pathway Status: This document, available on a nightly basis, lists all of a fuel producer's registered pathways and the QAP status of those pathways.
- Pending Trade Details: This document, available on a nightly basis or three times per day, lists the RIN batch details of all pending initiated and pending received trades for an organization.
- Pending Trades: This document, available on a nightly basis or three times per day, lists the details of all pending initiated and pending received trades for an organization.
- QA Feedback: This immediate document shows the failed QA check results for a given failed submission. Note that you do not need to subscribe to this document because it is created after every failed submission.
- RIN Batches: This document, available on a daily or weekly basis, lists all RIN batches that an organization owns.

- RIN Generation: Both organizations and agents may subscribe to the report. These reports are available in 3-per-day, daily, and weekly formats, and contain detailed information on the RIN batches that were generated by the subscribed organization.

- RIN Holdings: This document, available on a nightly basis or three times per day, lists the current aggregate total RIN Holdings for an organization grouped by fuel code, assignment and RIN year.

- Transaction History: This document, available weekly, nightly, or three times per day lists all generate, separate, buy, sell and retire transactions submitted by an organization through XML files or the EMTS web interface within the past 14 days.

- Transaction Status: This document, available nightly, includes transaction activity for the previous day.

- Verified RINs Generate Activity: This document, available on a nightly basis, is only available to QAP Providers. It includes detailed information on RIN batches that were generated on a verified pathway during the previous 10 days.

- Verified RINs Retire Activity: This document, available on a nightly basis, is only available to QAP Providers. It includes detailed information on verified RIN batches that were retired by the RIN Generator during the previous 10 days.

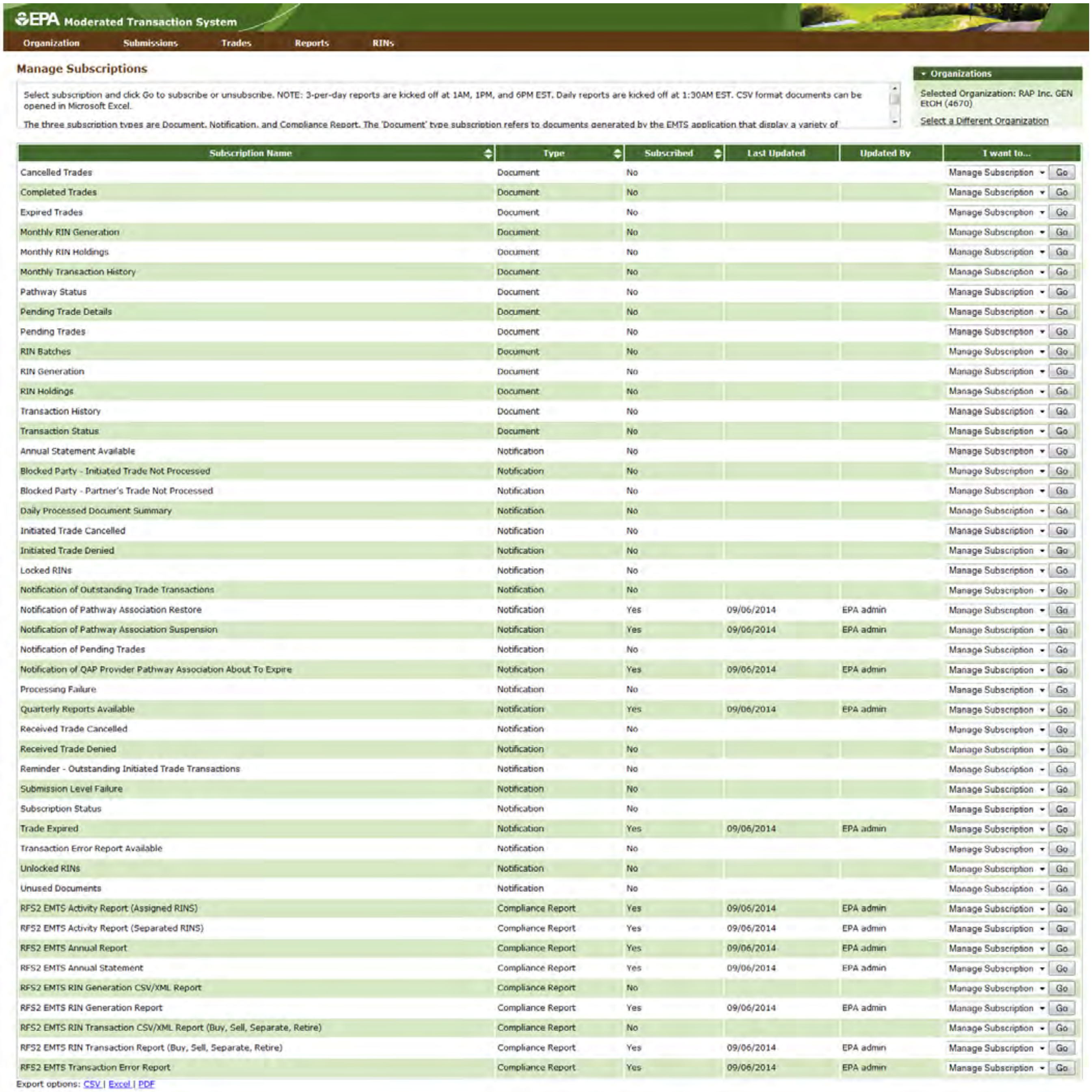
- Verified RINs Sell Activity: This document, available on a nightly basis, is only available to QAP Providers. It includes detailed information on verified RIN batches that were sold by the RIN Generator during the previous 10 days.

- Verified RINs Separate Activity: This document, available on a nightly basis, is only available to QAP Providers. It includes detailed information on verified RIN batches that were separated by the RIN Generator during the previous 10 days.

The Monthly Transaction History document is created for the prior month's transactions on the first Saturday of every month. Once the prior month's Monthly Transaction History document is created, the Cancelled Trades, Completed Trades, Expired Trades, Pending Trades, Pending Trade Details, and Transaction Status documents for that month are purged. For more information on the available documents, please see the EMTS Document Descriptions v3.2 file on the EMTS Documents webpage.

To download the documents from the EMTS website or retrieve them using a personal node or node client, you must first subscribe to them from the Manage Subscriptions page (see Figure 61) (click Manage Subscriptions under the Reports menu option).
Note: If you subscribe to a document and then do not download the document within 22 business days, you will be automatically unsubscribed from that document. You will receive an email notification before and after the system performs this action. You may re-subscribe to the document at any time.

Figure 67: Manage Subscriptions Page



EPA Moderated Transaction System

Organization | Submissions | Trades | Reports | RINs

Manage Subscriptions

Select subscription and click Go to subscribe or unsubscribe. NOTE: 3-per-day reports are kicked off at 1AM, 1PM, and 6PM EST. Daily reports are kicked off at 1:30AM EST. CSV format documents can be opened in Microsoft Excel.

The three subscription types are Document, Notification, and Compliance Report. The 'Document' type subscription refers to documents generated by the EMTS application that display a variety of

Organizations

Selected Organization: RAP Inc. GEN EtOH (4670)

Select a Different Organization

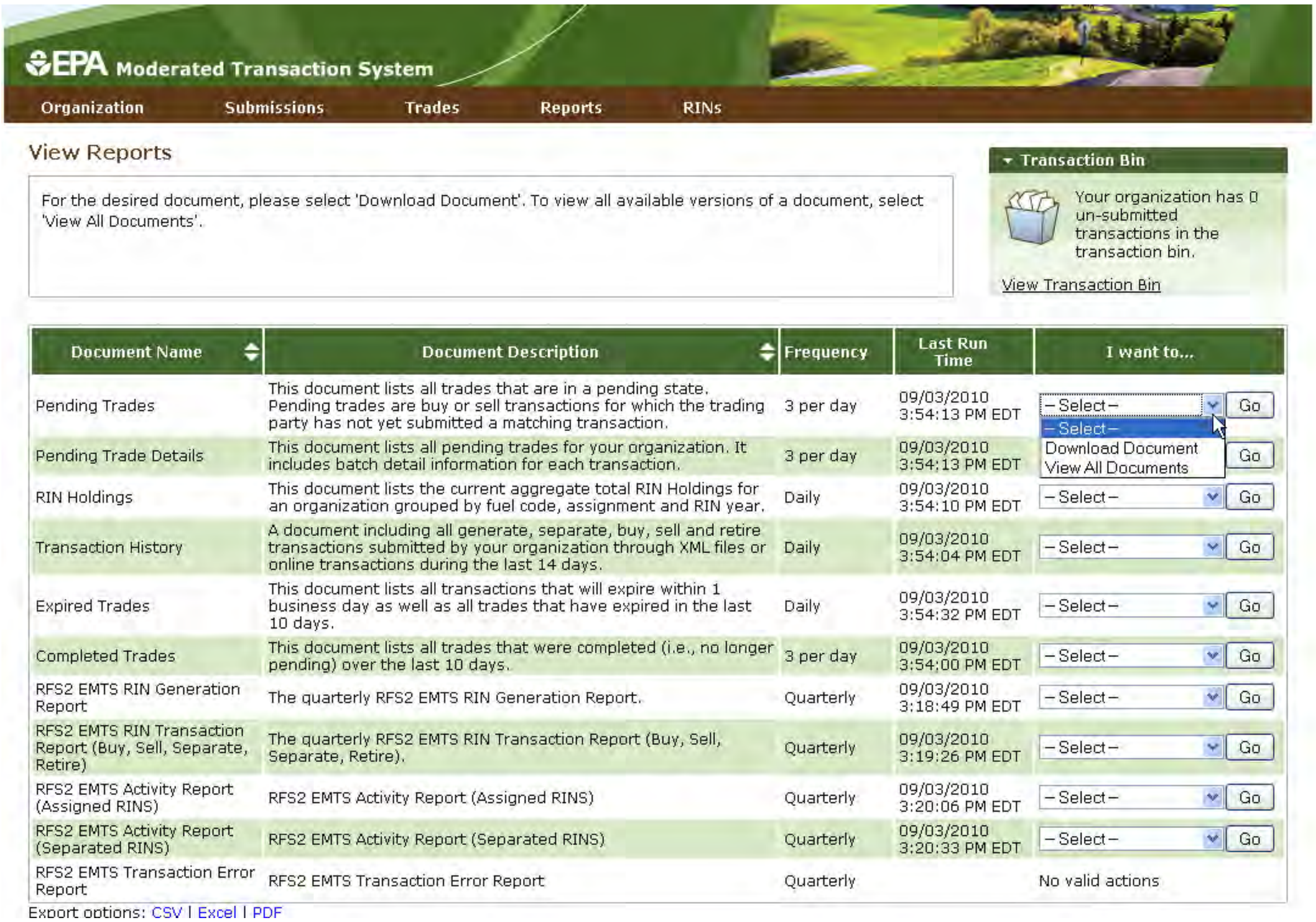
Subscription Name	Type	Subscribed	Last Updated	Updated By	I want to...
Cancelled Trades	Document	No			Manage Subscription Go
Completed Trades	Document	No			Manage Subscription Go
Expired Trades	Document	No			Manage Subscription Go
Monthly RIN Generation	Document	No			Manage Subscription Go
Monthly RIN Holdings	Document	No			Manage Subscription Go
Monthly Transaction History	Document	No			Manage Subscription Go
Pathway Status	Document	No			Manage Subscription Go
Pending Trade Details	Document	No			Manage Subscription Go
Pending Trades	Document	No			Manage Subscription Go
RIN Batches	Document	No			Manage Subscription Go
RIN Generation	Document	No			Manage Subscription Go
RIN Holdings	Document	No			Manage Subscription Go
Transaction History	Document	No			Manage Subscription Go
Transaction Status	Document	No			Manage Subscription Go
Annual Statement Available	Notification	No			Manage Subscription Go
Blocked Party - Initiated Trade Not Processed	Notification	No			Manage Subscription Go
Blocked Party - Partner's Trade Not Processed	Notification	No			Manage Subscription Go
Daily Processed Document Summary	Notification	No			Manage Subscription Go
Initiated Trade Cancelled	Notification	No			Manage Subscription Go
Initiated Trade Denied	Notification	No			Manage Subscription Go
Locked RINs	Notification	No			Manage Subscription Go
Notification of Outstanding Trade Transactions	Notification	No			Manage Subscription Go
Notification of Pathway Association Restore	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Notification of Pathway Association Suspension	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Notification of Pending Trades	Notification	No			Manage Subscription Go
Notification of QAP Provider Pathway Association About To Expire	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Processing Failure	Notification	No			Manage Subscription Go
Quarterly Reports Available	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Received Trade Cancelled	Notification	No			Manage Subscription Go
Received Trade Denied	Notification	No			Manage Subscription Go
Reminder - Outstanding Initiated Trade Transactions	Notification	No			Manage Subscription Go
Submission Level Failure	Notification	No			Manage Subscription Go
Subscription Status	Notification	No			Manage Subscription Go
Trade Expired	Notification	Yes	09/06/2014	EPA admin	Manage Subscription Go
Transaction Error Report Available	Notification	No			Manage Subscription Go
Unlocked RINs	Notification	No			Manage Subscription Go
Unused Documents	Notification	No			Manage Subscription Go
RFS2 EMTS Activity Report (Assigned RINS)	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Activity Report (Separated RINS)	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Annual Report	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Annual Statement	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS RIN Generation CSV/XML Report	Compliance Report	No			Manage Subscription Go
RFS2 EMTS RIN Generation Report	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS RIN Transaction CSV/XML Report (Buy, Sell, Separate, Retire)	Compliance Report	No			Manage Subscription Go
RFS2 EMTS RIN Transaction Report (Buy, Sell, Separate, Retire)	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go
RFS2 EMTS Transaction Error Report	Compliance Report	Yes	09/06/2014	EPA admin	Manage Subscription Go

Export options: CSV | Excel | PDF

On the Manage Subscriptions page (see Figure 67), press Go in the "I want to..." column to update the subscription for a specific document. On the Manage Subscription page for that document, check the “Subscribed” checkbox to subscribe to the document. If the document is available at multiple frequencies (i.e. Daily and 3 per day), select the desired frequency. Documents can be received in CSV or XML format and can be downloaded from the EMTS website or from the EMTS node using a node or a node client.

After you subscribe to a document, you will be able to download the documents with a daily subscription frequency the following morning and the documents with a subscription frequency of three times per day at the next document generation interval. 3-per-day reports are generated at 1AM, 1PM, and 6PM. Weekly reports are generated Sunday mornings. You can download the documents from the View Reports page (see Figure 68) (click View Reports under the Reports menu option).

Figure 68: View Reports Page



EPA Moderated Transaction System

Organization | Submissions | Trades | Reports | RINs

View Reports

For the desired document, please select 'Download Document'. To view all available versions of a document, select 'View All Documents'.

Transaction Bin

Your organization has 0 un-submitted transactions in the transaction bin.

View Transaction Bin

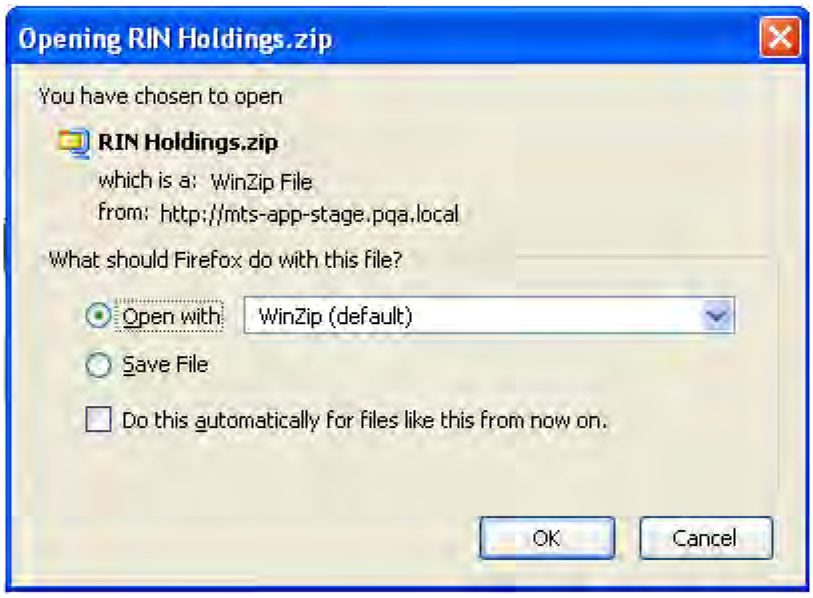
Document Name	Document Description	Frequency	Last Run Time	I want to...
Pending Trades	This document lists all trades that are in a pending state. Pending trades are buy or sell transactions for which the trading party has not yet submitted a matching transaction.	3 per day	09/03/2010 3:54:13 PM EDT	– Select – Go
Pending Trade Details	This document lists all pending trades for your organization. It includes batch detail information for each transaction.	3 per day	09/03/2010 3:54:13 PM EDT	– Select – / Download Document / View All Documents Go
RIN Holdings	This document lists the current aggregate total RIN Holdings for an organization grouped by fuel code, assignment and RIN year.	Daily	09/03/2010 3:54:10 PM EDT	– Select – Go
Transaction History	A document including all generate, separate, buy, sell and retire transactions submitted by your organization through XML files or online transactions during the last 14 days.	Daily	09/03/2010 3:54:04 PM EDT	– Select – Go
Expired Trades	This document lists all transactions that will expire within 1 business day as well as all trades that have expired in the last 10 days.	Daily	09/03/2010 3:54:32 PM EDT	– Select – Go
Completed Trades	This document lists all trades that were completed (i.e., no longer pending) over the last 10 days.	3 per day	09/03/2010 3:54:00 PM EDT	– Select – Go
RFS2 EMTS RIN Generation Report	The quarterly RFS2 EMTS RIN Generation Report.	Quarterly	09/03/2010 3:18:49 PM EDT	– Select – Go
RFS2 EMTS RIN Transaction Report (Buy, Sell, Separate, Retire)	The quarterly RFS2 EMTS RIN Transaction Report (Buy, Sell, Separate, Retire).	Quarterly	09/03/2010 3:19:26 PM EDT	– Select – Go
RFS2 EMTS Activity Report (Assigned RINS)	RFS2 EMTS Activity Report (Assigned RINS)	Quarterly	09/03/2010 3:20:06 PM EDT	– Select – Go
RFS2 EMTS Activity Report (Separated RINS)	RFS2 EMTS Activity Report (Separated RINS)	Quarterly	09/03/2010 3:20:33 PM EDT	– Select – Go
RFS2 EMTS Transaction Error Report	RFS2 EMTS Transaction Error Report	Quarterly		No valid actions

Export options: CSV | Excel | PDF

The grid on the View Reports page displays the documents to which you have subscribed. You will also be able to see the frequency you have selected for each report or document and the last run time for each document. To access the latest version of a document, select Download Document in the "I want to..." dropdown. To access a prior version of the document, select View All Documents in the "I want to..." dropdown.

When you select Download Document and press Go, you will see a window asking you to either open or save the ZIP file (see Figure 69). After you open the ZIP file, you will be able to access the document.

Figure 69: Download Document Window



For information on how to retrieve these documents using your personal node or node client, please refer to Section 6 of the EMTS Flow Configuration Document, which can be downloaded from the Exchange Network website *http://www.exchangenetwork.net/exchanges/air/emts.htm*.

Quarterly Reports

Overview

EMTS generates the following quarterly reports:

- RFS2 EMTS Activity Report (Assigned RINs)
- RFS2 EMTS Activity Report (Separated RINs)
- RFS2 EMTS RIN Transaction Report (Buy, Sell, Separate, Retire)
- RFS2 EMTS RIN Generation Report
- RFS2 EMTS Transaction Error Report

Examples of each report are contained in the appendix of the EMTS Quarterly Reports: Getting Started Guide. All reports are generated automatically by EMTS, with the exception of the RFS2 EMTS Transaction

Error Report. See the section "How do I create a Transaction Error Report?" for guidance on how to generate this report. **Important: Once a Transaction Error Report is generated for your organization, it cannot be changed in any way.**

Figure 67 describes the reports and indicates how they are related to the reporting forms. All reporting forms pursuant to requirements in 80.1451 are available at *http://www.epa.gov/otaq/regs/fuels/rfsforms.htm*. Quarterly reports must be submitted within two months of the end of the quarter.

Figure 70: ETMS Quarterly Report Descriptions

EMTS Report	Availability in EMTS	Description	Old RFS1 Reporting Form	New RFS2 Reporting Form
RFS2 EMTS Activity Report (Assigned RINs)	Generated by EMTS within 10 business days of the end of the quarter.	RFS2 RIN information for the RFS0101 report. EMTS provides the total number of assigned RINs owned at the start of the reporting period; the aggregate number of RINs bought, sold, and retired for the quarter; and the total number of RINs owned at the end of the quarter.	RFS0100: RFS Activity Reporting Form (40 CFR 80.1152(c)(2))	RFS0102 (40 CFR 80.1451(c)(2))
RFS2 EMTS Activity Report (Separated RINs)	Generated by EMTS within 10 business days of the end of the quarter.	RFS2 RIN information for the RFS0101 report. EMTS provides the total number of separated RINs owned at the start of the reporting period; the aggregate number of RINs bought, sold, and retired for the quarter; and the total number of RINs owned at the end of the quarter.	RFS0100: RFS Activity Reporting Form (40 CFR 80.1152(c)(2))	RFS0102 (40 CFR 80.1451(c)(2))
RFS2 EMTS RIN Transaction Report (Buy, Sell, Separate, Retire)	Generated by EMTS within 10 business days of the end of the quarter.	Detailed transactions grouped by transaction type for an organization. Includes Buy, Sell, Separate and Retire transactions.	RFS0200: RIN Transaction Report.	No Excel version; only EMTS PDF version. Note that RFS1 RIN transactions are reported in the new RFS0201. (40 CFR 80.1451(c)(1))

(cont.)

EMTS Report	Availability in EMTS	Description	Old RFS1 Reporting Form	New RFS2 Reporting Form
RFS2 EMTS RIN Generation Report	Generated by EMTS within 10 business days of the end of the quarter.	Detailed batches of RINs generated for an organization. Includes only Generate transactions for the quarter.	RFS0400: RFS RIN Generation Reporting Form (40 CFR 80.1152(b)(1))	No Excel version; only EMTS PDF version. The RFS0400 may only be used for RFS1 RINs generated prior to July 1, 2010. RFS2 RINs are reported in the new RFS2 EMTS RIN Generation Report. (40 CFR 80.1451(b))
RFS2 EMTS Transaction Error Report	Can be created in EMTS following the quarter. Deadline to create is the quarterly reports submission deadline.	Detailed transactions for which a discrepancy exists between the EMTS and the organization's internal record-keeping system, as reported by the organization.	No equivalent.	New report in RFS2.

When are the quarterly reports available?

Quarterly reports will be available to download within ten business days of the end of a quarter. An email notification will be sent when the quarterly reports are available to download from the EMTS website. To subscribe to the “Quarterly Reports Available” notification, access the Manage Subscriptions page from the Reports menu on the EMTS web interface.

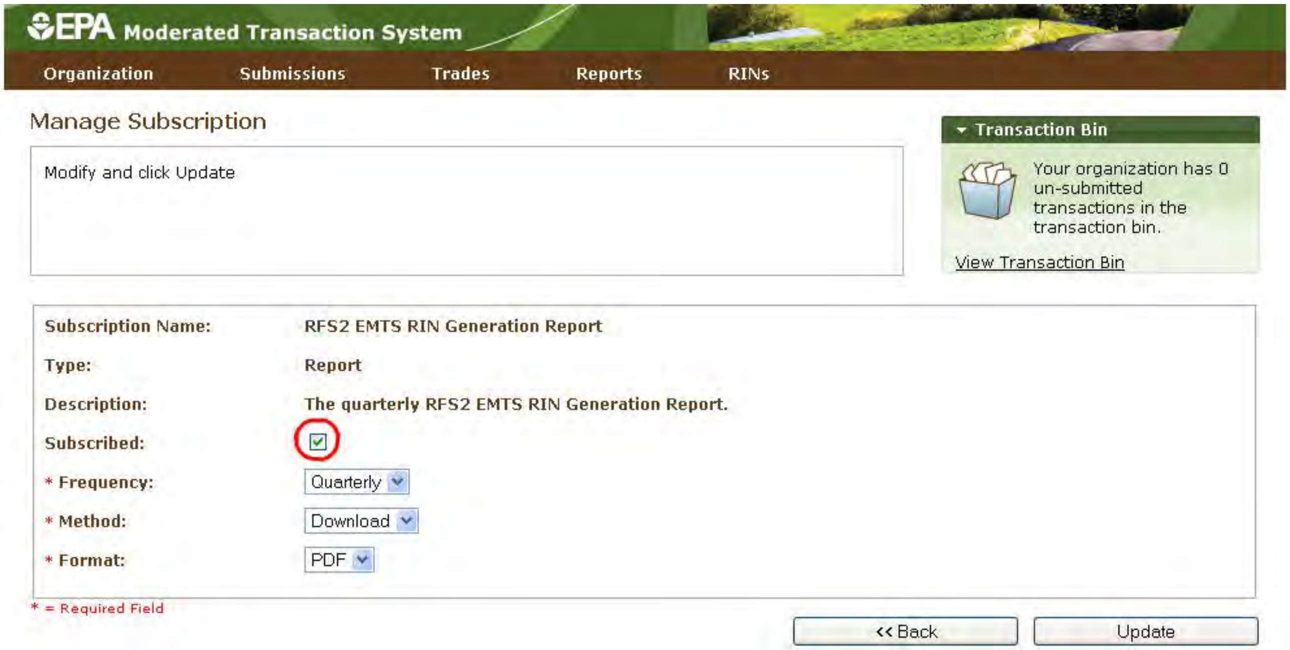
How do I subscribe to quarterly reports?

You must login to the EMTS web application to subscribe to quarterly reports. In the EMTS main menu, select Reports, and then select Manage Subscriptions.

All of the reports are available in PDF format. In addition, the RFS2 EMTS RIN Generation Report and the RFS2 EMTS RIN Transaction Report are available in XML and CSV format. You can subscribe to the PDF format and either the XML or the CSV format if you wish. Subscriptions are organization specific, so all submitters for an organization can download the reports.

To change the subscription for a quarterly report, click the Go button in the "I want to..." column for the report. On the Manage Subscription page for that report, check or uncheck the "Subscribed" box (see Figure 71).

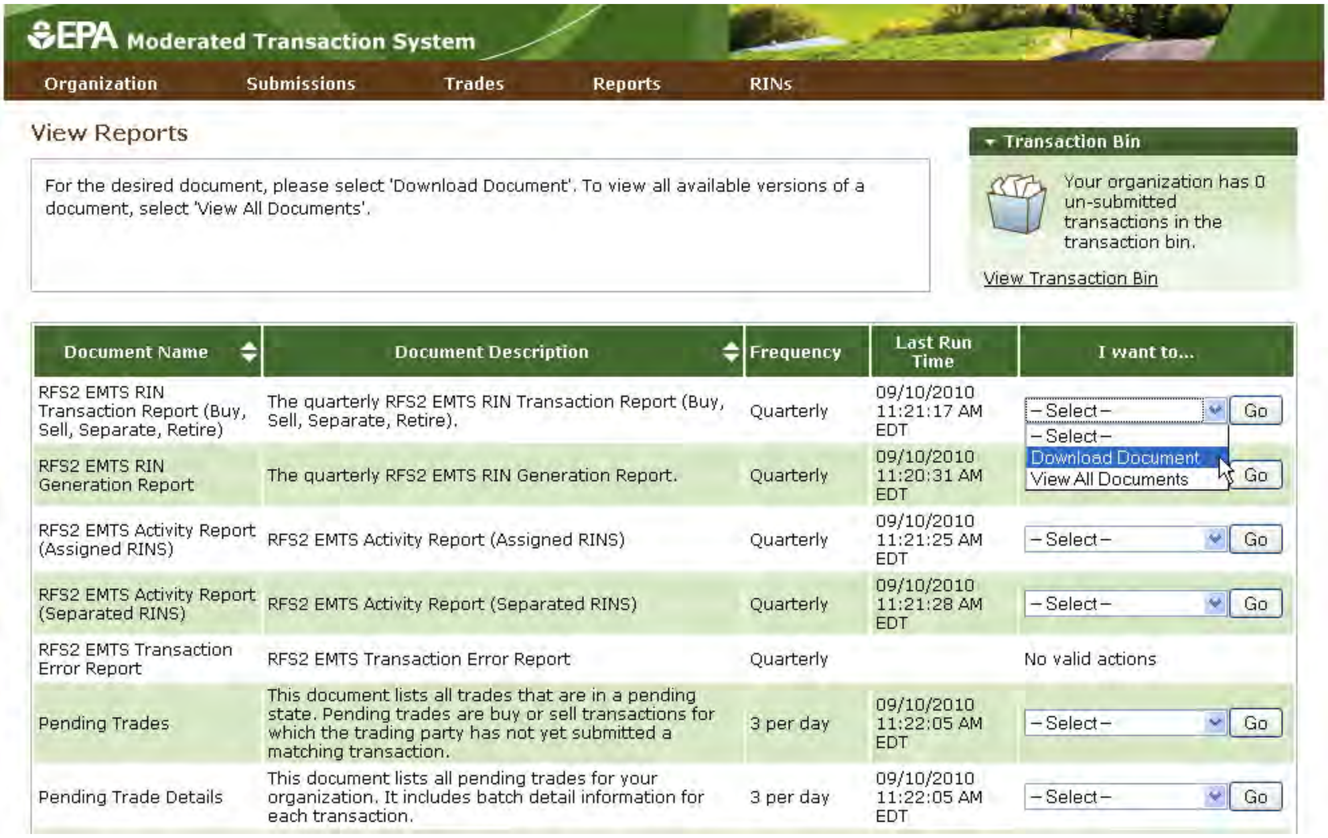
Figure 71: Manage Subscriptions Page



How do I access my quarterly reports?

You can access your quarterly reports either by downloading them from the EMTS web application or by sending a Solicit request for them using your node. To download the reports from the EMTS web application, select Reports, and then select View Reports. The View Reports page displays all of the reports to which your organization has subscribed (see Figure 72).

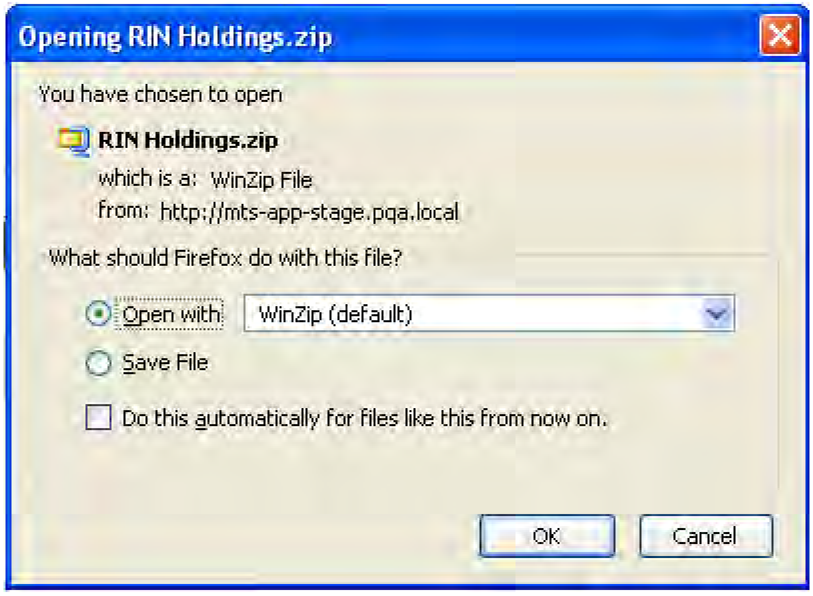
Figure 72: View Reports Page



To download a report, select Download Document in the "I want to..." drop-down menu and click the Go button. Note that if the "I want to..." column for a report says "No valid actions," the report is not yet available to be downloaded. To view reports from previous quarters, select View All Documents.

You will be prompted to open or save the ZIP file (see Figure 73). You must open the ZIP file to extract the report.

Figure 73: Download Document Window



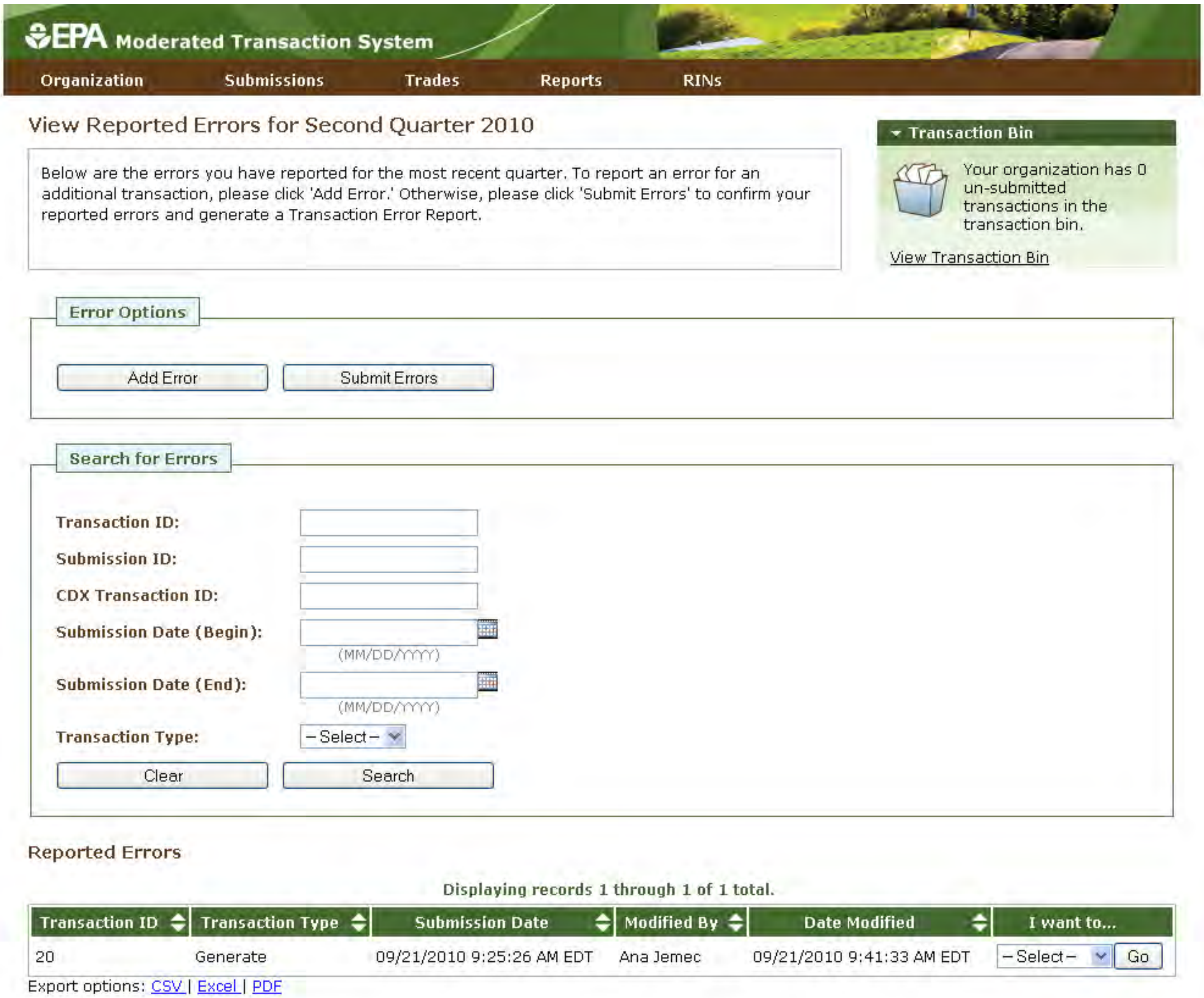
How do I create a Transaction Error Report?

The RFS2 EMTS Transaction Error Report is used to report discrepancies that exist between the EMTS and your organization's internal record-keeping system. A recommended practice is to periodically review your current RIN holdings on the EMTS user interface, checking the total quantity of RINs against your own transaction records. You may download data from this page at any time. You can report transaction errors following the end of the quarter. When you have entered and submitted your transaction errors, EMTS will create a Transaction Error Report for your organization. If you do not enter any errors or if you do not submit the reported errors, EMTS will not generate a Transaction Error Report for your organization. Note that you may edit your transaction errors and request the Transaction Error Report for the prior quarter any number of times until the quarterly report submittal deadline, is two months after the quarter ends. Reports are due May 31, August 31, November 30, and February 28.

You must login to the EMTS web application to report transaction errors. In the EMTS main menu, select Reports, and then select Transaction Errors. If the compliance period is closed or you have previously submitted a Transaction Error Report for the quarter, you will see a message indicating that transaction error reporting is not available. If the Compliance period is open and you have not yet submitted a Transaction Error Report for the quarter, press Continue.

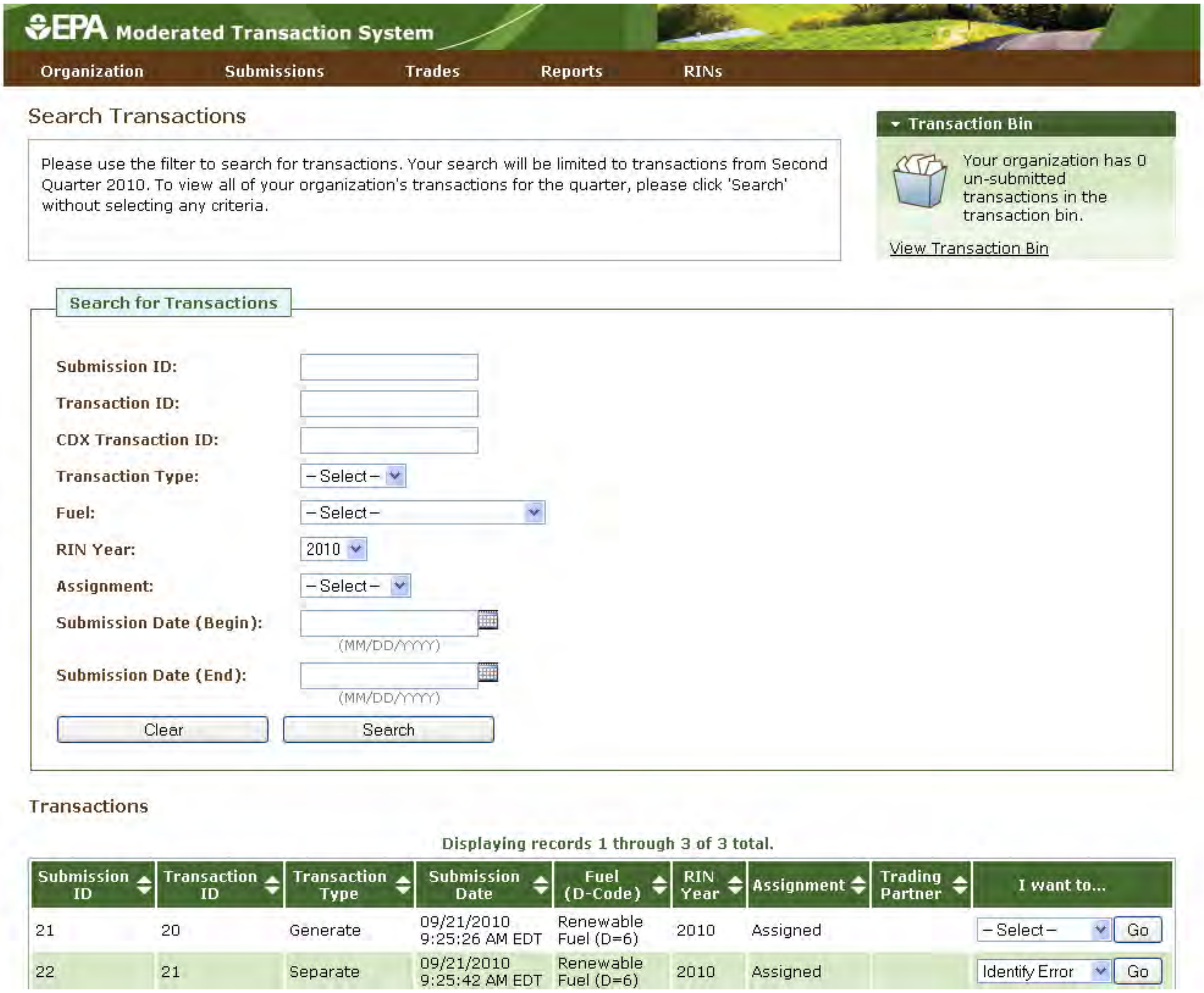
On the View Reported Errors page, you can add transaction errors to the Reported Errors grid (see Figure 74). If you have already entered errors for the quarter, but have not yet submitted them, you can view and edit the errors on this page.

Figure 74: View Reported Errors Page



To add a new transaction error to the Reported Errors grid, click Add Error. On the Search Transactions page (see Figure 75), use the Search for Transactions filters to identify the transaction for which you wish to report an error.

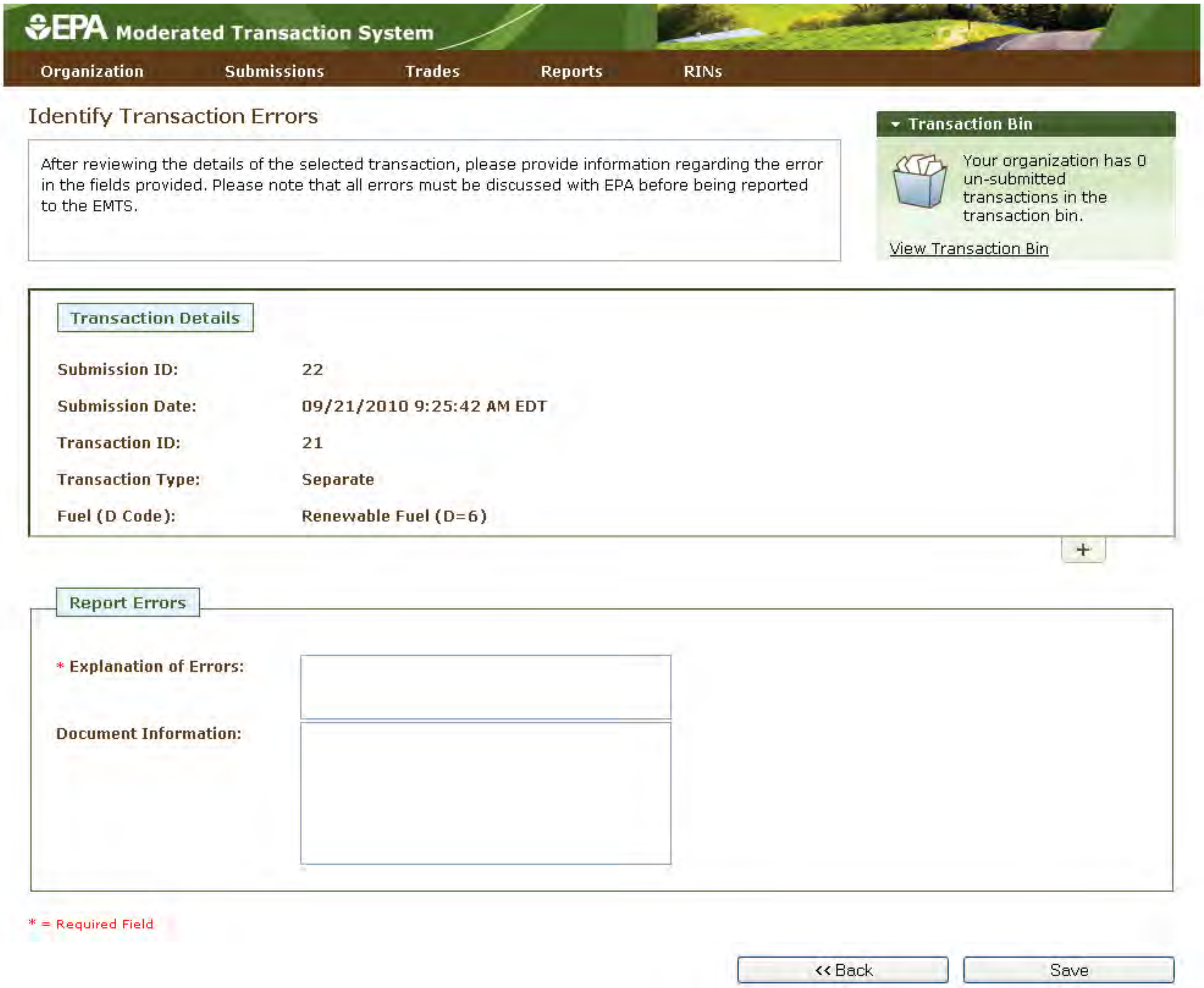
Figure 75: Search Transactions Page



The Transactions grid will display your organization's transactions that match the search criteria. The "I want to..." dropdown will contain the Identify Error option for transactions without previously reported errors and the Edit Details and Remove options for transactions with previously reported errors. To report an error for a transaction without a previously reported error, press Go in the "I want to..." column.

On the Identify Transaction Errors page, you can view the details of the transaction by clicking the "+" on the Transaction Details panel (see Figure 76).

Figure 76: Identify Transaction Errors



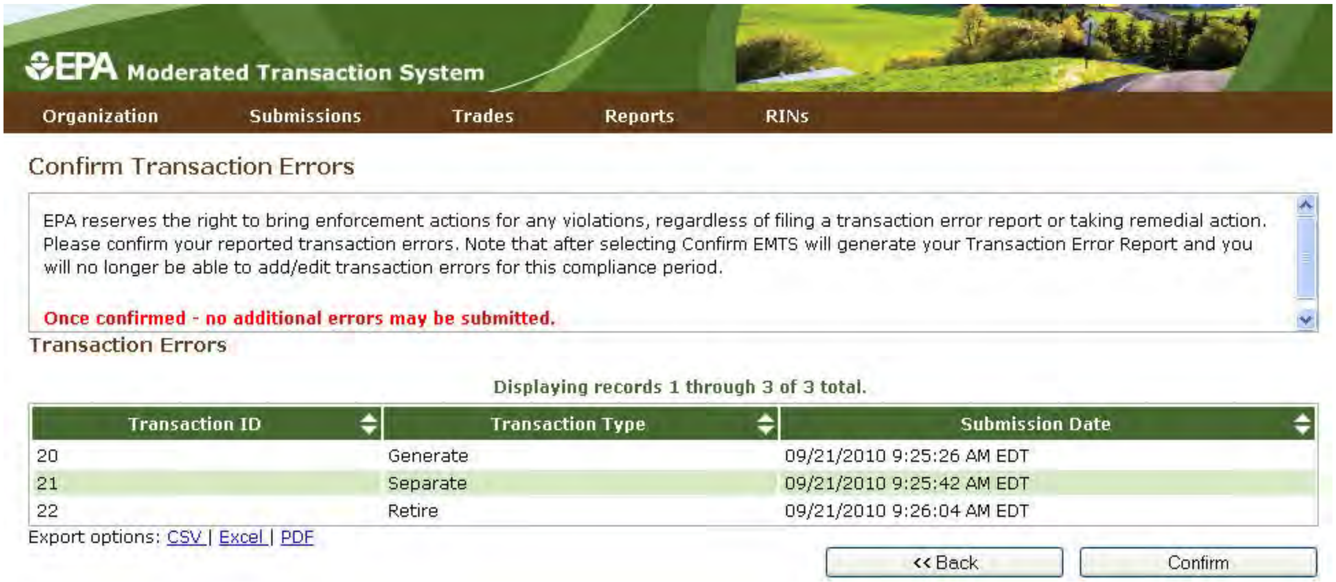
Provide an explanation of the error(s) in the "Explanation of Errors" field, and add any additional information in the "Document Information" field (optional), then click Save. You will then return to the View Reported Errors page, and the error will appear in the Reported Errors grid. On the View Reported Errors page, you can use the filters to search for transactions for which you have already reported errors.

To edit the details of an error that you have already reported, select Edit Details in the "I want to..." drop-down menu. The Identify Transaction Errors page will display the details that you previously provided. Click Save to keep any updates.

To remove an error from the Reported Errors grid, select Remove in the "I want to..." drop-down menu. The Confirm Remove page will display the transaction details and reported errors. Click Remove to confirm removal of the error.

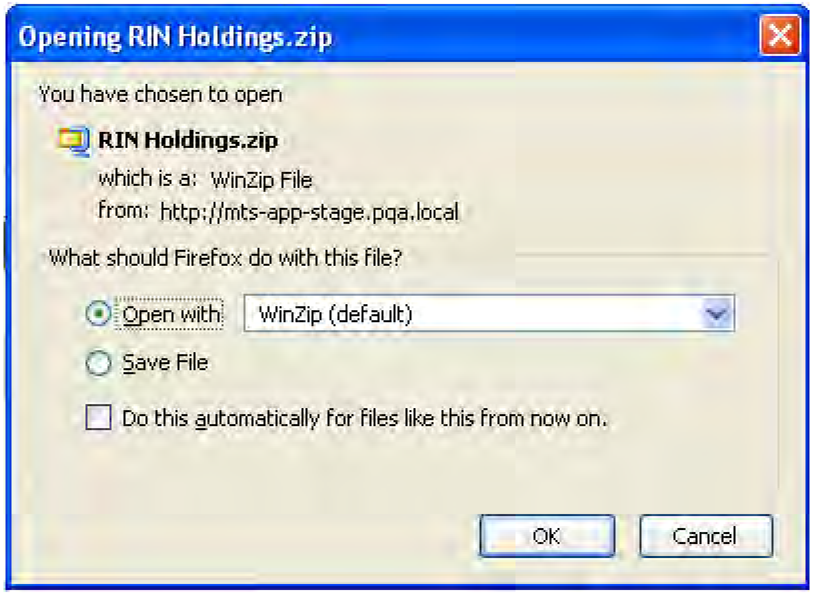
Once you have reported all transaction errors for the quarter, press Submit Errors on the View Reported Errors page. After you press the Submit button, you must confirm the transaction errors (see Figure 77).

Figure 77: Confirm Transaction Errors



Once you confirm the transaction errors, EMTS will generate your organization's Transaction Error Report, and you will be able to add or edit transaction errors until the end of the quarterly compliance period. EMTS will generate the report within one business day of your confirmation. At that time, the Transaction Error Report will be available for you to download from the View Reports page (select View Reports under the Reports menu option). To download the Transaction Error Report, select Download Document in the "I want to..." drop-down menu. Note that if the "I want to..." column for the report says "No valid actions," the report is not yet available to be downloaded. When you select Download Document and press Go, you will see a window asking you to either open or save the ZIP file (see Figure 78). After you open the ZIP file, you will be able to access the PDF report.

Figure 78: Download Document Window



Which transactions are included in the quarterly reports?

The reports include transactions that were submitted and completed during the quarter. Thus, generate, buy, and sell transactions with a generation date or transaction date in one quarter and a submission date in another quarter will be included in the quarterly reports from the quarter that contains the submission date. Retire and separate transactions are always included in the report from the quarter during which they were submitted.

How do I submit quarterly reports?

You must submit your reports through the DC Fuels application, which is accessed through MyCDX. For more information, visit *http://www.epa.gov/otaq/regs/fuels/rfsforms.htm*. You are required to submit the reports in PDF format within two months of the end of the quarter. Note that the XML and CSV versions of the quarterly reports should be used for verification purposes only.

Are examples of the quarterly reports available?

For examples of the quarterly reports, please see the document "EMTS Quarterly Reports - Getting Started Guide."

Annual Reports

EMTS generates two organization-specific annual reports, both of which are provided in PDF format. The RFS2 EMTS Annual Report shows details for every RIN batch that an organization has retired for compliance, and the RFS2 EMTS Annual Statement shows aggregate values for the number of RINs an organization has retired for compliance.

Users must be subscribed to the reports to be able to download them after they are generated by EMTS. Subscriptions are organization specific, so all submitters for an organization can download the reports.

You can subscribe to the annual reports on the Manage Subscriptions page by selecting Manage Subscriptions under Reports on the EMTS main menu.

To change the subscription for an annual report, click the Go button in the "I want to..." column for the report. On the Manage Subscription page for that report, check or uncheck the "Subscribed" box.

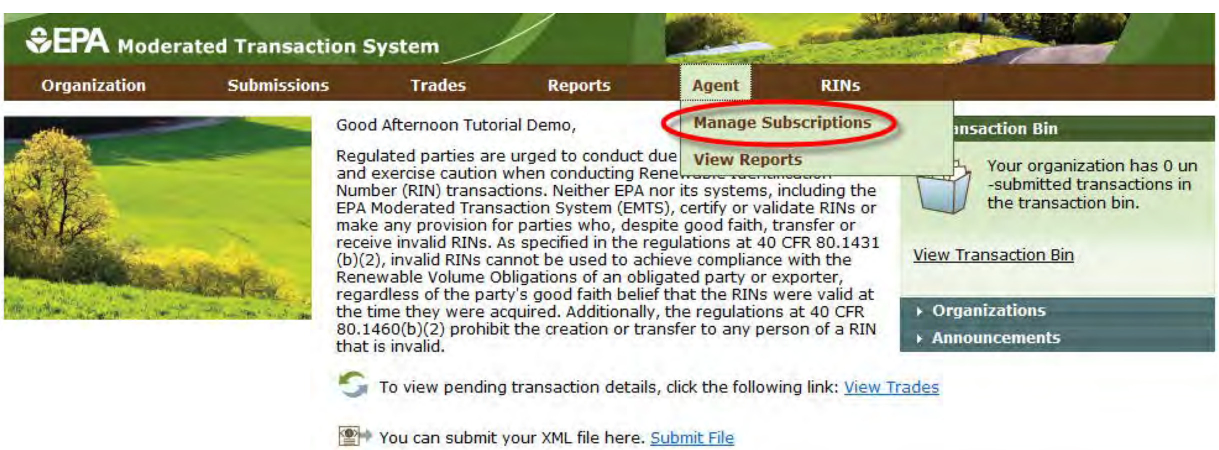
To download the annual reports, you must login to the EMTS web application. In the EMTS main menu, select Reports, and then select View Reports. The View Reports page displays all of the reports to which your organization has subscribed. For the annual report that you wish to download, select Download Document in the "I want to..." drop-down menu and click the Go button. Note that if the "I want to..." column for a report says "No valid actions," the report is not yet available to be downloaded. You will be prompted to open or save the ZIP file (see Figure 67). You must open the ZIP file to extract the report. EMTS quarterly reports are provided in PDF format.

Agent Reports

EMTS users registered as Agents in the OTAQ Registration system see an additional menu item in the EMTS main menu called "Agents." This tab includes the option to subscribe and download EMTS documents for all of their associated organizations, rather than having to switch organizations and download each organization's documents separately. The .ZIP files contain all EMTS documents – daily, three per day, weekly, and monthly – for all organizations associated with the Agent. Note that the. ZIP file will only include documents that have active subscriptions. Quarterly reports are not available as Agent Reports.

To subscribe to Agent reports, click the "Agent" menu item in the main menu (only visible to registered Agents), and select "Manage Subscriptions" (see Figure 79).

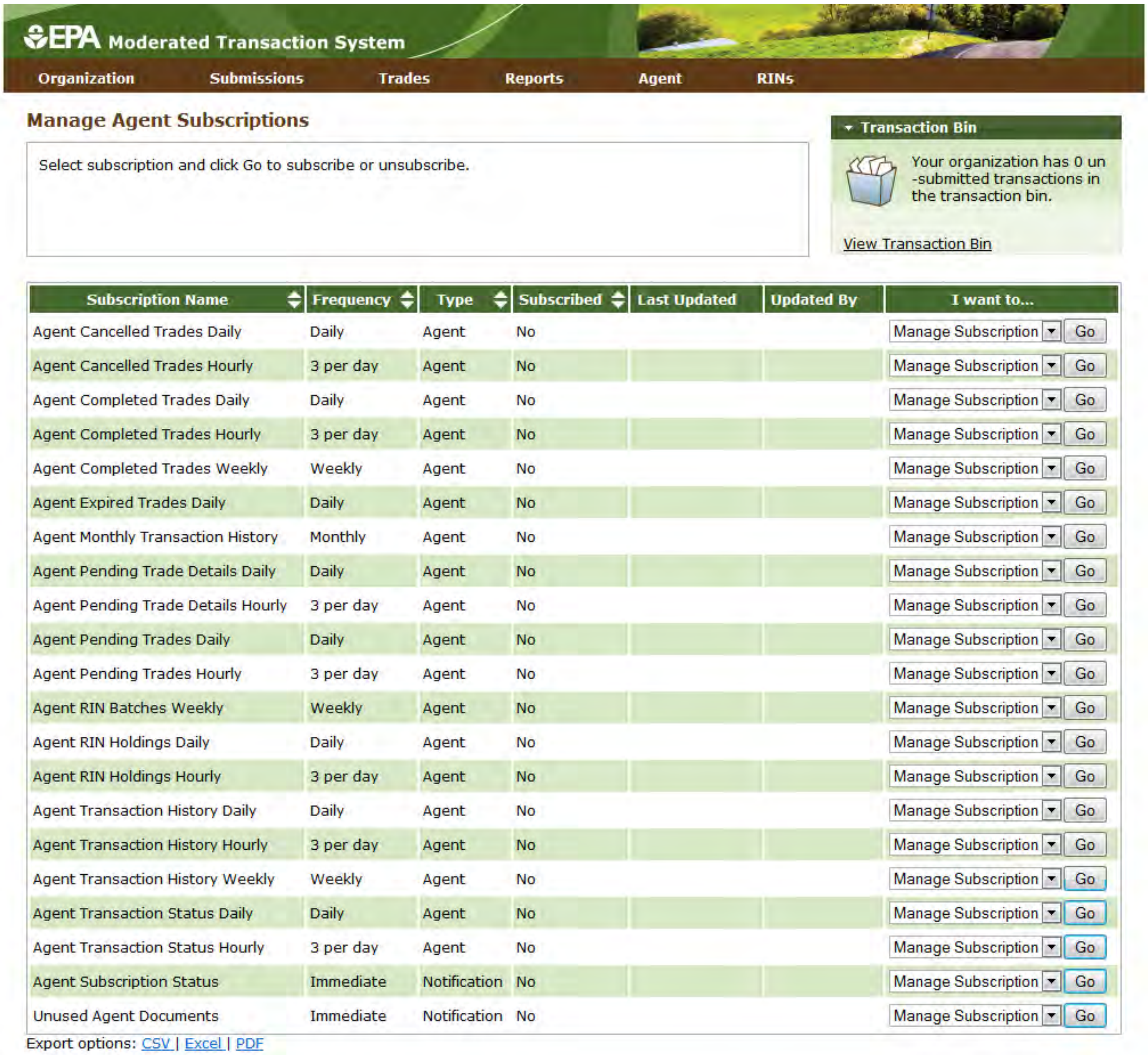
Figure 79: Managing Agent Report Subscriptions



Note: Agents must manage document subscriptions for individual organizations on the Manage Subscriptions page located under the Reports menu for each organization.

In the “I want to…” column, click the Go button to manage the subscription for a report (see Figure 80).

Figure 80: List of Agent Reports

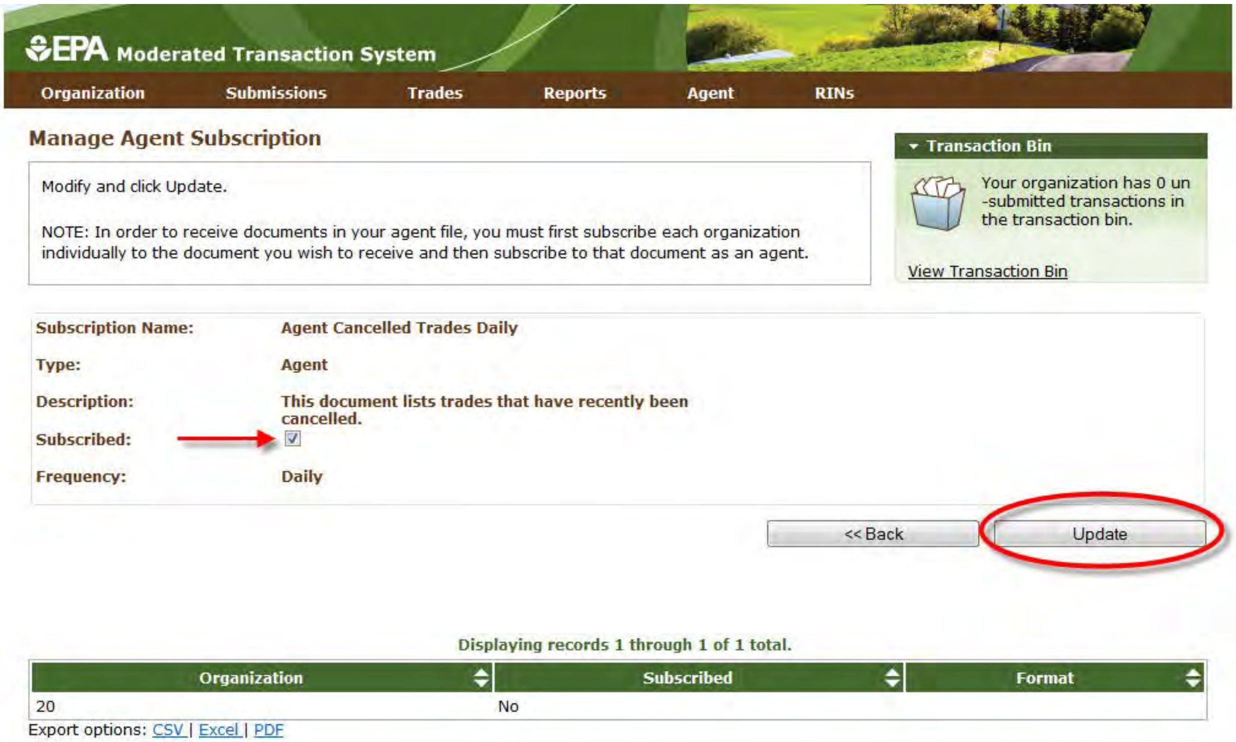


Subscription Name	Frequency	Type	Subscribed	Last Updated	Updated By	I want to...
Agent Cancelled Trades Daily	Daily	Agent	No			Manage Subscription Go
Agent Cancelled Trades Hourly	3 per day	Agent	No			Manage Subscription Go
Agent Completed Trades Daily	Daily	Agent	No			Manage Subscription Go
Agent Completed Trades Hourly	3 per day	Agent	No			Manage Subscription Go
Agent Completed Trades Weekly	Weekly	Agent	No			Manage Subscription Go
Agent Expired Trades Daily	Daily	Agent	No			Manage Subscription Go
Agent Monthly Transaction History	Monthly	Agent	No			Manage Subscription Go
Agent Pending Trade Details Daily	Daily	Agent	No			Manage Subscription Go
Agent Pending Trade Details Hourly	3 per day	Agent	No			Manage Subscription Go
Agent Pending Trades Daily	Daily	Agent	No			Manage Subscription Go
Agent Pending Trades Hourly	3 per day	Agent	No			Manage Subscription Go
Agent RIN Batches Weekly	Weekly	Agent	No			Manage Subscription Go
Agent RIN Holdings Daily	Daily	Agent	No			Manage Subscription Go
Agent RIN Holdings Hourly	3 per day	Agent	No			Manage Subscription Go
Agent Transaction History Daily	Daily	Agent	No			Manage Subscription Go
Agent Transaction History Hourly	3 per day	Agent	No			Manage Subscription Go
Agent Transaction History Weekly	Weekly	Agent	No			Manage Subscription Go
Agent Transaction Status Daily	Daily	Agent	No			Manage Subscription Go
Agent Transaction Status Hourly	3 per day	Agent	No			Manage Subscription Go
Agent Subscription Status	Immediate	Notification	No			Manage Subscription Go
Unused Agent Documents	Immediate	Notification	No			Manage Subscription Go

Export options: CSV | Excel | PDF

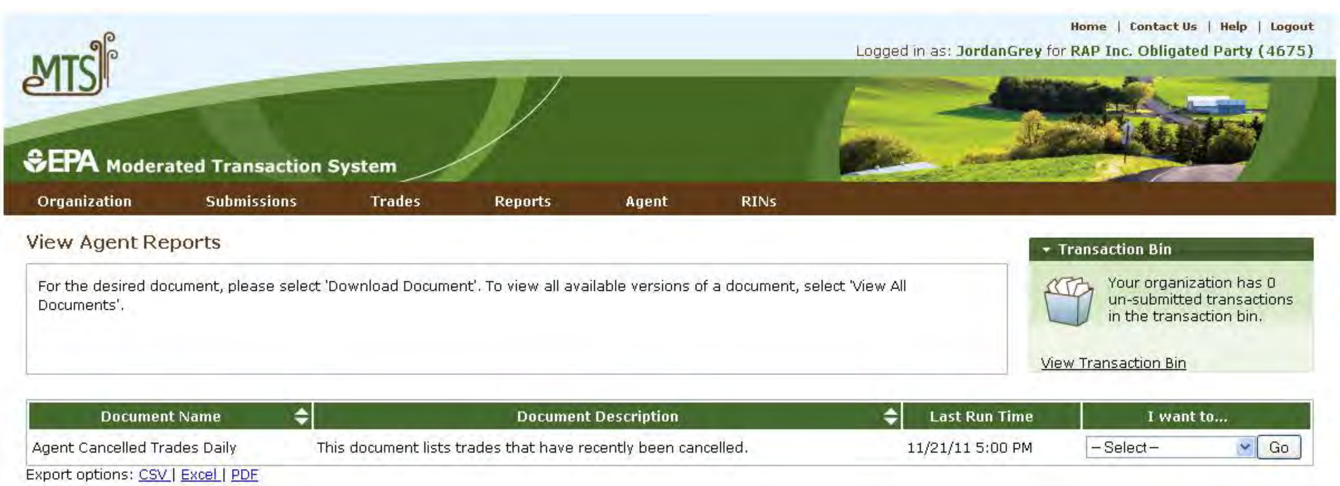
Click the “Subscribed” check box and then click Update (see Figure 81).

Figure 81: Manage Agent Subscription



To retrieve Agent reports, select "View Reports" from the Agent menu. In the "I want to…" column, select View Reports and click Go (see Figure 82).

Figure 82: Manage Agent Subscription



Open the compressed .ZIP file to access the documents. When Agent Reports are downloaded, EMTS will automatically update the 22-day subscription expiration clock for each document included in the .ZIP file. If an Agent is associated with an organization in a submitting role other than "Agent," that organization's documents will not be included in the Agent Reports. It is still possible to access documents for individual organizations without retrieving documents for all organizations associated with an Agent.

EMTS Technical Support

If you have any questions or want to report defects, comments, enhancements, or feedback, you may contact EMTS Technical Support at support@epamts-support.com, Monday – Friday, 9:00 a.m. to 5:00 p.m. (EST). Additionally, to access contact information for the various EMTS support lines, you can click the "Contact Us" link located on each screen of EMTS. When reporting defects or issues, please provide the detailed steps that were taken to create the problem or issue, and provide screen shots to document the web page and information entered on that page. In addition, there are "Help" links on each screen of EMTS that provide access to EMTS resources on the EPA's EMTS website.