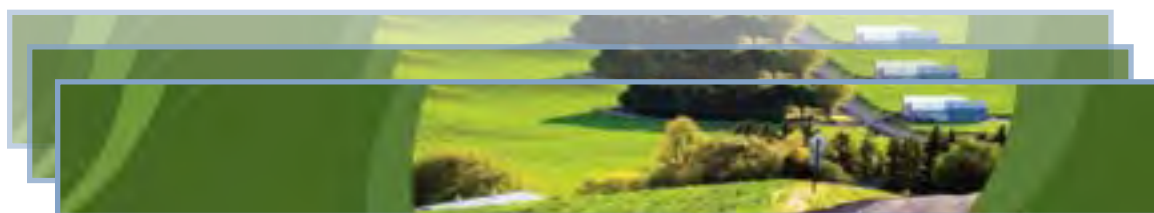


Draft EMTS Sulfur and Benzene User's Guide



Draft EMTS Sulfur and Benzene User's Guide

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.

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Introduction

This user's guide is intended to help users transact credits for the Sulfur and Benzene Averaging, Banking, and Trading (ABT) program using the EPA Moderated Transaction System (EMTS).

Manage Credit Holdings

To view your Sulfur and Benzene ABT credit holdings, hover over Fuels ABT Credits on the main menu of the EMTS website and select Credit Holdings (Current). Only Non-renewable Fuel Importers and Refiners may participate in the Sulfur and Benzene credit program; if your organization is not registered with one of those business activities in the OTAQ Registration system (OTAQREG), you will not see the Fuels ABT Credits menu or any related functionality. The Manage Credit Holdings screen is organization-specific (indicated by the organization name above the Credit Holdings grid). To switch the organization for which you are viewing credit holdings, open the Organizations tab of the accordion in the top right corner of the screen, and click "Select a Different Organization."

If you view the Manage Credit Holdings screen before your organization has completed any generate or buy transactions, the Credit Holdings grid will be empty. At this point, you can generate or buy credits (the only valid transaction types when there are no Credit Holdings) by clicking the Generate (Refiner), Generate (Importer) or Buy button. If your organization is only registered as either a non-renewable fuel importer or a refiner, then you will only see one "Generate" option. You can also buy and generate credits using the "I want to..." dropdown menu in the empty Credit Holdings grid. See the "Generating Credits" section below for additional information.

Once you have completed a generate transaction or successfully purchased credits from a trading partner, the Credit Holdings grid will display your credits (see Figure 1).

Figure 1: Manage Credit Holdings Screen

Manage Credit Holdings

Select an action from the 'I want to...' drop-down to perform against your credit holdings.

Filter Options

Credit Year: -- Select --
 Credit Type: -- Select --
 Results Per Page: 20

Clear Filter

Credit Holdings for: **Biodiesel Company (5001)**

Displaying records 1 through 1 of 1 total.

Credit Type	Credit Year	Available	Pending	Reserved	Total	I want to...
Sulfur (10)	2014	50	0	0	50	-- Select -- Go

Export options: [CSV](#) | [Excel](#) | [PDF](#)

Generate(Refiner) Generate(Importer) Buy

Each row in the Credit Holdings grid represents a unique combination of Credit Type and Credit Year. For each row, the sum of credits in the Available, Pending, and Reserved columns equals the number of credits in the Total column. The credits in the Available column are credits that are available for you to use in transactions. The credits in the Pending column are credits that are involved in a pending sell transaction that you have initiated (see the “Trading Credits” section below). The credits in the Reserved column are credits that are associated with transactions in the Credit Transaction Bin (see the “Managing the Credit Transaction Bin” section below). You can filter your credit holdings using the Filter Options and sort by clicking the column names. For example, you can arrange the data to compare the total number of credits 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.

The final column in the Credit Holdings grid is the "I want to..." column. The drop-down for each row contains the options View Details, Generate, Buy, Sell, Retire (Obligation), and Retire (Other). If you are registered as both a Refiner and a Non-renewable Fuel Importer, you will see two options for both Generate and Retire (Obligation). If you select a transaction in the "I want to..." column for a row of Credits, the Credit Type and Credit Year fields in the resulting transaction wizard will be pre-populated with the data from that row.

Generating Credits

From the Manage Credit Holdings screen, if your organization is registered as both a non-renewable fuel importer and a refiner, you have the option to generate credits as either a refiner or as an importer. If your organization is only registered as either a non-renewable fuel importer or a refiner, then you will only see one "Generate" option. To generate credits as a refiner, click the Generate (Refiner) button or select Generate (Refiner) in the "I want to..." drop-down (or if you are only registered as a refiner, select the "Generate" option) and click Go. Doing so takes you to the first screen of the two-step Generate Wizard (see Figure 2).

Figure 2: Generate (Refiner) Wizard – Identify Production Source (Step 1)

Home | Contact Us | Help | Logout
Logged in as: industry for Biodiesel Company (5001)

MTS
EPA Moderated Transaction System

Organization Submissions Trades Reports RINs Fuels ABT Credits

Generate Credits – Identify Production Source

Select the type of credits to generate and the applicable facility. Please ensure that the facility is registered with OTAQReg Fuels as a refinery or importer.

Identify Production Source

Credit Year: 2014

Generating Organization: Biodiesel Company (5001)

* Generating Facility: Bio Blast Plant (-5552) ▼

* Credit Type: Sulfur (10) ▼

* = Required Field

<< Credit Holdings Generate Credits >>

▼ Credit Transaction Bin

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

[View Credit Transaction Bin](#)

The following information is required to generate credits as a refiner:

- Year for which the credits are being generated;
- Organization generating the credits;
- Generating facility; and
- Credit type (Sulfur or Benzene).

The Generating Organization will be pre-populated and read-only. If you select Generate from the “I want to...” column of an existing holding, then the Credit Year will also be pre-populated and read-only; otherwise, it will appear as a text field (as in Figure 2). If your organization only has one registered facility, then Generating Facility will also be pre-populated.

Generating as an Importer has very similar first steps. From the Manage Credit Holdings screen, you may also generate credits as an importer. To do so, either click the Generate (Importer) button or select Generate (Importer) in the “I want to...” drop-down (or if you are only registered as an importer, select the “Generate” option) and click Go. Doing so takes you to the first screen of the two-step Generate (Importer) Wizard (see Figure 3).

Figure 3: Generate (Importer) Wizard – Identify Production Source (Step 1)

Home | Contact Us | Help | Logout
Logged in as: industry for Biodiesel Company (5001)

MTS
EPA Moderated Transaction System

Organization Submissions Trades Reports RINs Fuels ABT Credits

Generate Credits – Identify Production Source

Select the type of credits to generate and the applicable facility. Please ensure that the facility is registered with OTAQReg Fuels as a refinery or importer.

Credit Transaction Bin
Your organization has 0 un-submitted credit transactions in the credit transaction bin.
[View Credit Transaction Bin](#)

Identify Production Source

Credit Year: 2014
Generating Organization: Biodiesel Company (5001)
* Credit Type: Benzene (20) ▼

* = Required Field

<< Credit Holdings Generate Credits >>

The following information is required to generate credits as an importer:

- Year for which the credits are being generated;
- Organization generating the credits;
- Credit type (Sulfur or Benzene).

The Generating Organization will be pre-populated and read-only. If you select Generate from the “I want to...” column of an existing holding, then the Credit Year will also be pre-populated and read-only; otherwise, it will appear as a text field (as in Figure 3).

As both an importer and a refiner, once you have completed all of the required fields, click Generate Credits at the bottom of the screen to move to the second screen of the Generate Wizard. If all of the information on the Identify Production Source screen is valid, the next screen will be either the Generate Sulfur Credits screen or Generate Benzene Credits screen, based on the Credit Type you have selected. If your information is not valid or if you have not completed all required fields, you will see error messages; see Figure 4 for an example of a validation message that you may encounter on this screen.

Figure 4: Quality Assurance Check Errors

Home | Contact Us | Help | Logout
Logged in as: industry for Biodiesel Company (5001)

MTS
EPA Moderated Transaction System

Organization Submissions Trades Reports RINs Fuels ABT Credits

Generate Credits - Identify Production Source

Field Errors

- Please select a Credit Type from the drop-down.

Credit Transaction Bin

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

[View Credit Transaction Bin](#)

Identify Production Source

Credit Year: 2014

Generating Organization: Biodiesel Company (5001)

* Credit Type: -- Select --

* = Required Field

<< Credit Holdings Generate Credits >>

If you select Sulfur as your Credit Type, you will be directed to the Generate Sulfur Credits screen (see Figure 5).

Figure 5: Generate Wizard – Generate Sulfur Credits Screen (Step 2a)

Generate Sulfur Credits

Enter the annual volume of gasoline produced, average sulfur concentration, and quantity of credits. The facility must be registered with OTAQReg Fuels as a refinery or importer.

Credit Transaction Bin

 Your organization has 0 un-submitted credit transactions in the credit transaction bin.
[View Credit Transaction Bin](#)

Credit Year: 2014

Generating Organization: Biodiesel Company (5001)

Generating Facility: Bio Blast Plant (-5552)

Identify Credits

Gasoline Sulfur Standard: 30 PPM

* **Average Sulfur Concentration:** Report as a decimal, with two digits to the right of the decimal point (e.g., 9.00)
 (PPM)

* **Annual Volume:** Total volume of gasoline produced during the averaging period.
 (Gallons)

* **Quantity of Sulfur Credits:** (Gasoline Sulfur Standard - Avg Sulfur Concentration) x Annual Volume

Additional Information:

* = Required Field

[<< Production Source](#) [Add to Transaction Bin >>](#)

On this screen, you must enter the following information:

- Average Sulfur Concentration;
- Annual Volume;
- Quantity of Sulfur Credits;

The Quantity of Sulfur Credits that you enter must match the system calculated value (based on the Average Sulfur Concentration and Annual Volume that you entered). If it does not, you will receive an error message that will prevent you from adding your Credit Generate transaction to the Credit Transaction Bin. Entering additional information is optional.

The information you entered on the previous screen will be displayed at the top of the screen in read-only format (see Figure 6). If you are generating as an importer, the Generating Facility field will not be present.

If you select Benzene as your Credit Type, you will be directed to the Generate Benzene Credits screen (see Figure 6).

Figure 6: Generate Wizard – Generate Benzene Credits Screen (Step 2b)

Generate Benzene Credits

Enter the annual volume of gasoline produced, average benzene concentration, and quantity of credits. The facility must be registered with OTAQReg Fuels as a refinery or importer.

Credit Year: 2014

Generating Organization: Biodiesel Company (5001)

Generating Facility: Bio Blast Plant (-5552)

Identify Credits

Gasoline Benzene Standard: 0.62%

* **Average Benzene Concentration:** (Volume Percent) For more details, please see 80.1238 of the Benzene rule.

* **Annual Volume:** (Gallons) Total volume of gasoline produced during the averaging period.

* **Quantity of Benzene Credits:** $[(\text{Gasoline Benzene Standard} - \text{Avg Benzene Concentration}) / 100] \times \text{Annual Volume}$

Additional Information:

* = Required Field

▼ Credit Transaction Bin

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

[View Credit Transaction Bin](#)

On this screen, you must enter the following information:

- Average Benzene Concentration;
- Annual Volume;
- Quantity of Benzene Credits;

The Quantity of Benzene Credits you enter must match the system calculated value (based on the Average Benzene Concentration and Annual Volume that you entered). If it does not, you will receive an error message that will prevent you from adding your Credit Generate transaction to the Credit Transaction Bin. Entering Additional Information is optional.

The information you entered on the previous screen will be displayed at the top of the screen in read-only format (see Figure 6). If you are generating as an importer, the Generating Facility field will not be present.

To complete the Generate Wizard, click the Add to Transaction Bin button.

Managing the Credit Transaction Bin

After you click Add to Transaction Bin, you are taken to the Credit Transaction Bin, where transactions will be stored temporarily until you are ready to submit them (see Figure 7).

Figure 7: Credit Transaction Bin

Credit Transaction Bin

The last transaction submitted for Biodiesel Company (5001) through the EMTS website was submitted by industry on Dec 9, 2014 at 2:32:06 PM.

Organizations
 Selected Organization: Biodiesel Company (5001)
[Select a Different Organization](#)

Submit >>

Generate Credit Transactions

Credit Year	Credit Type	Standard Concentration	Avg Concentration	Generating Facility	Quantity	Status Date	I want to...
2014	Sulfur (10)	30 PPM	1 PPM	Bio Blast Plant (-5552)	29000	12/09/2014 2:18:18 PM EST	-- Select -- Go
2014	Sulfur (10)	30 PPM	1 PPM	Waynesboro (-5008)	29000	12/09/2014 2:19:10 PM EST	-- Select -- Go

Sell Credit Transactions

Transfer Date	Credit Year	Credit Type	Times Traded	Quantity	Trading Partner	Status Date	I want to...
There are no credit sell transactions.							

Buy Credit Transactions

Transfer Date	Credit Year	Credit Type	Times Traded	Quantity	Trading Partner	Status Date	I want to...
There are no credit buy transactions.							

Retire Credit Transactions

Credit Year	Credit Type	Times Traded	Quantity	Reason Code	Status Date	I want to...
There are no credit retire transactions.						

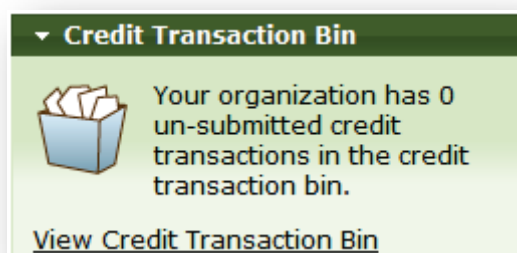
Submit >>

The Credit Transaction Bin is organization-specific, so transactions added to the Credit Transaction Bin by any of your organization's submitters will be displayed on the screen. To switch the organization for which the Credit Transaction Bin is displayed, click Select a Different Organization. There is no restriction on the number of transactions that you can add to the Credit Transaction Bin.

For all transactions in the Credit Transaction Bin, you have the option to View Details by selecting View Details in the "I want to..." dropdown and clicking Go. You will be taken to a screen that displays all of the details of the credit submission and transaction. This screen can be used to verify the contents of the transaction before submitting it. If you find that any information you entered is incorrect, you can Remove the transaction via the "I want to..." dropdown.

Along with accessing the Credit Transaction Bin at the end of each wizard, you can navigate to the Credit Transaction Bin from multiple screens of the EMTS website using the Credit Transaction Bin accordion tab on the right side of the screen (see Figure 8). The tab contains the number of un-submitted transactions and a link to the Credit Transaction Bin.

Figure 8: Accessing the Transaction Bin



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

To complete a transaction, you must submit it from the Credit Transaction Bin by clicking the Submit button at the bottom of the screen. If you have multiple transactions in the Credit Transaction Bin, you must submit all of the transactions with the same Credit Year 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. You may not submit transactions across multiple Credit Years as part of a single transaction bin submission. If you have multiple transactions using RINs from different Credit Years, you need to select a Credit Year from the dropdown in the Credit Transaction Bin before submitting your transactions from your Credit Transaction Bin (see Figure 9). For example, if you have a Credit Sell transaction for 2013 Sulfur credits and a Credit Retire transaction for 2014 Sulfur credits in your Credit Transaction Bin, you must submit the transactions from 2013 and 2014 separately.

Figure 9: Credit Transaction Bin – Credit Year Options

Credit Transaction Bin

▼ Organizations

Selected Organization: Biodiesel Company (5001)

[Select a Different Organization](#)

* Select RIN Year: -- Select --

Generate Credit Transactions

Credit Year	Credit Type	Standard Concentration	Avg Concentration	Generating Facility	Quantity	Status Date	I want to...
There are no credit generate transactions.							

Sell Credit Transactions

Transfer Date	Credit Year	Credit Type	Times Traded	Quantity	Trading Partner	Status Date	I want to...
There are no credit sell transactions.							

Buy Credit Transactions

Transfer Date	Credit Year	Credit Type	Times Traded	Quantity	Trading Partner	Status Date	I want to...
There are no credit buy transactions.							

Retire Credit Transactions

Credit Year	Credit Type	Times Traded	Quantity	Reason Code	Status Date	I want to...
2013	Sulfur (10)		50	Demonstrate annual compliance (80)	12/09/2014 2:32:57 PM EST	-- Select -- Go
2014	Benzene (20)		75	Demonstrate annual compliance (80)	12/09/2014 2:33:25 PM EST	-- Select -- Go

* Select RIN Year: -- Select --
-- Select --
2013
2014

Note: Submitting a transaction that is acting upon a large number of credit 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 Credit Holdings and Credit Transaction Bin reflect the results of that transaction.

After you press Submit, you will be taken to a Confirm and Submit screen (see Figure 10), which displays an overview of the transactions you are about to submit. You must click the Confirm Submit button to complete the submission.

Figure 10: Confirm and Submit Page

Confirm and Submit

I confirm that the information shown is a correct and accurate account of the transaction(s) that have taken place.

Credit Transaction Bin

Your organization has 1 un-submitted credit transactions in the credit transaction bin.

[View Credit Transaction Bin](#)

Credit Transactions

Transaction	Credit Type	Credit Year	Times Traded	Credit Quantity
Credit Generate	Sulfur (10)	2014	N/A	29000

<< Back Confirm Submit >>

Once you confirm the submission, your Credit Holdings will reflect the results of the submitted transactions, and the Credit Transaction Bin will no longer contain the submitted transactions.

Retiring Credits

You may choose to retire credits from your Credit Holdings. All organizations that participate in the Sulfur and Benzene credit program (Non-renewable Fuel Importers and Refiners) are obligated parties and therefore may retire credits for obligation, along with retiring credits for other reasons.

Figure 11: Retire Options for an Obligated Party with Credits

Credit Holdings for: Biodiesel Company (5001)

Displaying records 1 through 2 of 2 total.

Credit Type	Credit Year	Available	Pending	Reserved	Total	I want to...
Sulfur (10)	2014	57950	0	0	57950	-- Select -- Go
Benzene (20)	2014	500	0	0	500	-- Select -- Go

Export options: [CSV](#) | [Excel](#) | [PDF](#)

Generate(Refiner) Generate(Importer) Buy

Contact Us | Help

For a row of credits in your Credit 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 (Other) Wizard (see Figure 12).

Figure 12: Retire (Other) Wizard – Identify Credits (Step 1)

Retire Credits - Identify Credits (Other)

Identify the sulfur or benzene credits for retirement by entering the required information below. If the Times Traded field is blank, then the system selects credits to retire based on the number of times traded in descending order.

Credit Transaction Bin

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

[View Credit Transaction Bin](#)

Identify Credits

* **Credit Type:** Sulfur (10) ▼

* **Credit Year:** 2014

Times Traded: -- Select -- ▼

* **Quantity of Credits:**

* **Transaction Date:** 
(MM/DD/YYYY)

* **Reason for Retire:** -- Select -- ▼

Additional Information:

Additional Information is required for retire reasons 60, 140, 150.

Document Type	Identifier	Action
Nothing found to display.		

Add Document Information

Document Type:

Document Identification:

<< Credit Holdings Advanced Credit Selection >>

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

- Credit Type;
- Credit Year;
- Number of times the credits have been traded;
- Quantity of credits;
- Transaction Date; and
- Reason for the retire transaction.

All required fields are marked with a red asterisk. The Credit Type and Credit Year fields are automatically populated with the information from the row of credits that you selected to retire from your Credit Holdings grid. In the Reason for Retire field, only the reasons that are applicable to your organization's registered business activities are available. 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. For more information, see the Separating RINs section of the EMTS User's Guide.

The Retire (Obligation) process has similar first steps. If your organization is either a refiner or a non-renewable fuel importer, you will be provided with the option "Retire (Obligation)". If your organization is both a refiner and a non-renewable fuel importer, you have the Retire (Obligation) options "as Refiner" and "as Importer" available. For a row of credits in your Credit Holdings, select the "as Refiner" option in the "I want to..." drop-down on the Manage Credit Holdings screen (or if you are only registered as a refiner, select the "Retire (Obligation)" option). Doing so will take you to the first step of the Retire (Obligation) Wizard for a refiner (see Figure 13).

Figure13: Retire (Obligation) as Refiner Wizard – Identify Credits (Step 1)

Retire Credits - Identify Credits (Obligation)

Identify the sulfur or benzene credits for retirement by entering the required information below. If the Times Traded field is blank, then the system selects credits to retire based on the number of times traded in descending order.

▼ Credit Transaction Bin

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

[View Credit Transaction Bin](#)

Identify Credits

Credit Type: Benzene (20)

Credit Year: 2014

Times Traded: -- Select --

*** Quantity of Credits:**

*** Transaction Date:** 
(MM/DD/YYYY)

Reason for Retire: Demonstrate annual compliance

Compliance Level: Refinery by Refinery (50)

*** Compliance Year:**

*** Compliance Facility:** -- Select --

Additional Information:

Document Type	Identifier	Action
Nothing found to display.		

Add Document Information

Document Type:

Document Identification:

1 Identify Credits

2 Advanced Credit Selection (Optional)

The following information is required to retire credits for compliance as a refiner:

- Credit Type;
- Credit Year;
- Quantity of Credits;
- Transaction Date;
- Reason for Retire;
- Compliance Level;
- Compliance Year; and
- Compliance Facility.

All required fields are marked with a red asterisk. Credit Type and Credit Year are automatically populated with the information from the row of credits in the Credit Holdings grid that you selected to retire. The Reason for Retire and Compliance Level fields are read-only and populated based on your Retire (Obligation) as Refiner selection from the previous screen. This screen 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.

There is one primary difference between retiring as a refiner and retiring as an importer. Refiners must specify a Compliance Facility, while importers do not. Additionally, the two transactions use different Compliance Level Codes. To begin the Retire (Obligation) process as an importer, pick a row of credits in your Credit Holdings and select the “as Importer” option in the “I want to...” dropdown on the Manage Credit Holdings screen (or if you are only registered an importer, select the “Retire (Obligation)” option). Doing so will take you to the first step of the Retire (Obligation) Wizard for an importer (see Figure 14).

Figure 14: Retire (Obligation) as Importer Wizard – Identify Credits (Step 1)

Retire Credits - Identify Credits (Obligation)

Identify the sulfur or benzene credits for retirement by entering the required information below. If the Times Traded field is blank, then the system selects credits to retire based on the number of times traded in descending order.

▼ Credit Transaction Bin

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

[View Credit Transaction Bin](#)

Identify Credits

Credit Type: Benzene (20)

Credit Year: 2014

Times Traded: -- Select --

*** Quantity of Credits:**

*** Transaction Date:** 
(MM/DD/YYYY)

Reason for Retire: Demonstrate annual compliance

Compliance Level: Aggregated Importer (10)

*** Compliance Year:**

Additional Information:

Document Type	Identifier	Action
Nothing found to display.		

Add Document Information

Document Type:

Document Identification:

1 Identify Credits

2 Advanced Credit Selection (Optional)

The following information is required to retire credits for compliance as an importer:

- Credit Type;
- Credit Year;
- Quantity of Credits;
- Transaction Date;
- Reason for Retire;
- Compliance Level; and
- Compliance Year.

All required fields are marked with a red asterisk. Credit Type and Credit Year are automatically populated with the information from the row of credits in the Credit Holdings grid that you selected to retire. The Reason for Retire and Compliance Level fields are read-only and populated based on your Retire (Obligation) as Importer selection from the previous screen. This screen 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.

For both Retire (Other) and Retire (Obligation), when you complete the Identify Credits screen, click Advanced Credit Selection at the bottom of the screen to navigate to the second screen of the Retire Wizard. On the Advanced Credit Selection screen, you have the option of selecting the specific group of credits (by originating source information) that you wish to retire. If you do not wish to make any selections on this screen, click Add to Transaction Bin at the bottom of the screen to continue. In this situation, if you did not specify a Times Traded value on the Identify Credits screen, EMTS will automatically retire the credits in your Credit Holdings that have been traded the most number of times. Alternatively, you may use this screen to identify a specific originating organization, or organization and facility. Once you have specified the originating source information, click Add to Transaction Bin to continue. After you submit the retire transaction from the Credit Transaction Bin, the credits will be removed from your Credit Holdings.

Trading Credits (Buy & Sell)

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

- Credit Type;
- Credit Year;
- Times Traded; and
- Quantity of Credits.

For a row of credit data in your Credit Holdings grid, select Sell in the "I want to..." drop-down, and click Go. Doing so will take you to the first screen of the Sell Wizard (see Figure 15).

Figure 15: Sell Credits – Identify Credits (Step 1)

Sell Credits – Identify Credits

Enter Credit Type, Credit Year, Times Traded, and Quantity of Credits. To cancel a trade that your organization has already initiated, go to the Pending Initiated Credit Transactions on your Review Credit Trades page and select 'Cancel Offer' for the appropriate transaction.

Identify Credits

* **Credit Type:** Benzene (20) ▾

* **Credit Year:** 2014

* **Times Traded:** -- Select -- ▾

* **Quantity of Credits:**

<< Credit Holdings Select Trading Partner >>

▼ Credit Transaction Bin

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

[View Credit Transaction Bin](#)

1 Identify Credits

2 Select Trading Partner

3 Transaction Details and Documents

4 Advanced Credit Selection (Optional)

The green boxes on the right side of the screen indicate which of the four steps of the Sell Credits Wizard you are completing. All required fields are marked with a red asterisk. The Credit Type and Credit Year fields are automatically populated with the information from the row of credits in the Credit Holdings grid that you selected to sell. You can change these values if there is another group of credits in your holdings that you would like to sell. Once you complete the information on this screen, click Select Trading Partner to move to the next screen.

On the Select Trading Partner screen, 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 16, the organization names were filtered on the word "RA," and RAP Inc. Gen EtOH was selected from the options. The trading partner organization must be registered in the OTAQ Registration system to trade Sulfur or Benzene credits.

Figure 16: Sell Credits – Select Trading Partner

Sell Credits – Select Trading Partner

Select a trading partner by searching on the Organization. You may search data by 'Begins with', 'Contains' or 'Equals' (Equals is an exact match). To search by Organization Identifier, choose the Contains option and enter the Organization Identifier number. To view all organizations, clear the search criteria and click the 'Search' button. Viewing all organizations may take some time for the list to load.

Search for Organization

Organization: Begins with RA

Clear Search

Select Organization

- ☒ RAP Inc. GEN ETOH (4670)
- ☐ RAP Inc. Obligated Party (4675)

Selected Organization: **RAP Inc. GEN ETOH (4670)**

<< Identify Credits Transaction Details >>

Credit Transaction Bin

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

[View Credit Transaction Bin](#)

- 1 Identify Credits
- 2 Select Trading Partner**
- 3 Transaction Details and Documents
- 4 Advanced Credit Selection (Optional)

When you have selected your Trading Partner, click the Transaction Details button to move on to the next screen. On the Sell Credits – Transaction Details and Documents screen, you must enter the Transfer Date and Sell Reason.

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 Matched Transaction Identifier 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 screen 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. When you have completed this screen, click Advanced Credit Selection to move to the final screen of the Sell Wizard.

On the Advanced Credit Selection screen, you have the option of specifying the credits that you wish to sell (by originating source information). If you do not wish to specify originating source information, click Add to Transaction Bin at the bottom of the screen to continue. Alternatively, you may use this screen to identify a specific originating organization, or organization and facility. Once you have specified the originating source information, click Add to Transaction Bin to continue. After you submit the sell transaction from the Credit Transaction Bin, if it has not been matched, the transaction will be in a pending state, and the credits associated with the sale will be in the Pending column of the Credit Holdings grid (see Figure 17). The credits will remain in the Pending column until the trading partner accepts or denies the sell transaction.

Figure 17: Pending Credits in Credit Holdings Grid

Credit Holdings for: **Biodiesel Company (5001)**

Displaying records 1 through 2 of 2 total.

Credit Type	Credit Year	Available	Pending	Reserved	Total	I want to...
Benzene (20)	2014	450	50	0	500	-- Select -- Go
Sulfur (10)	2014	57950	0	0	57950	-- Select -- Go

Export options: [CSV](#) | [Excel](#) | [PDF](#)

The following information is required to initiate a buy transaction:

- Credit Type;
- Credit Year;
- Times Traded; and
- Quantity of Credits.

To initiate a buy transaction, go to the Manage Credit Holdings screen, and either click the Buy button below the Credit Holdings grid or select Buy in the "I want to..." drop-down for a row in the Credit Holdings and click Go. If you select Buy for an existing row in the Credit Holdings grid, the Credit Type and Credit Year in the Buy Wizard will be pre-populated with information from that row. You can change these values if there is another group of credits that you would like to buy.

The green boxes on the right side of the screen indicate which of the three steps of the Buy Credits Wizard you are completing. All fields marked with a red asterisk are required. On the Identify Credits screen, you must provide Credit Type, Credit Year, Times Traded, and Quantity of Credits.

You also have the option of using the Advanced Credit Selection fields to specify originating source information for the credits that you wish to buy. To access the Advanced Credit Selection, click the “Advanced Credit Selection (Optional)” tab. Once open, you will be able to access the Advanced Credit Selection fields (see Figure 18). To specify the originating source for a buy transaction, you will need to know the Organization ID for the originating organization. Once you complete the Identify Credits screen of the Buy Wizard, click Select Trading Partner.

Figure 18: Buy Credits – Identify Credits (Step 1)

Buy Credits - Identify Credits

Enter Credit Type, Credit Year, Times Trades, and Quantity of Credits. To cancel a trade that your organization has already initiated, go to the Pending Initiated Credit Transactions on your Review Credit Trades page and select 'Cancel Offer' for the appropriate transaction.

Credit Transaction Bin

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

[View Credit Transaction Bin](#)

Identify Credits

* Credit Type: Sulfur (10)

* Credit Year: 2014

* Times Traded: -- Select --

* Quantity of Credits:

Advanced Credit Selection (Optional)

Generating Organization Identifier:

Generating Facility Identifier:

<< Credit Holdings Select Trading Partner >>

1 Identify Credits

2 Select Trading Partner

3 Transaction Details and Documents

The Select Trading Partner and the Transaction Details and Documents screens of the Buy Wizard have the same behavior as the corresponding screens in the Sell Wizard. For buy transactions, the trading partner organization must be registered in the OTAQ Registration system to trade Sulfur or Benzene credits (see Figure 19).

Figure 19: Buy Credits – Select Trading Partner (Step 2)

Buy Credits – Select Trading Partner

Select a trading partner by searching on the Organization. You may search data by 'Begins with', 'Contains' or 'Equals' (Equals is an exact match). To search by Organization Identifier, choose the Contains option and enter the Organization Identifier number. To view all organizations, clear the search criteria and click the 'Search' button. Viewing all organizations may take some time for the list to load.

Search for Organization

Organization:

Select Organization

- ☒ **RAP Inc. GEN EtOH (4670)**
- ☐ RAP Inc. Obligated Party (4675)

Selected Organization: **RAP Inc. GEN EtOH (4670)**

Credit Transaction Bin

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

[View Credit Transaction Bin](#)

1 Identify Credits

2 Select Trading Partner

3 Transaction Details and Documents

When you have selected your Trading Partner, click the Transaction Details button to move on to the next screen. On the Buy Credits – Transaction Details and Documents screen, you must enter the Transfer Date and Sell Reason. Again, you may also provide a PTD Number, Matching Transaction Identifier, Additional Information, and Document Information.

From the Transaction Details and Documents screen, click Add to Transaction Bin. Submit the transaction from the Credit Transaction Bin to complete the buy transaction. At this point, if the transaction was not matched, it will be in a pending state, and the transfer of credits will not be reflected in your Credit Holdings grid until your 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 indicated as the trading partner), hover over Trades on the main menu and select Review Credit Trades. The Review Credit Trades screen is organization-specific (see Figure 20). To switch the organization for which the

screen is displayed, open the Organizations tab of the accordion on the right side of the screen, and click Select a Different Organization.

Figure 20: Review Credit Trades Screen

Review Credit Trades

The following credit trade transactions were either received or initiated by Biodiesel Company. You can act upon any of these credit transactions by selecting the appropriate action in the "I want to ..." column, located next to each credit transaction.

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

[View Credit Transaction Bin](#)

Organizations

Basic Filter Options

Credit Year: -- Select --

Credit Type: -- Select --

Transaction Type: -- Select --

Transaction Identifier:

Transfer Date (Begin):

(MM/DD/YYYY)

Transfer Date (End):

(MM/DD/YYYY)

Submission Date (Begin):

(MM/DD/YYYY)

Submission Date (End):

(MM/DD/YYYY)

Trading Partner

Clear Filter

(0) Pending Received Credit Transactions for [Biodiesel Company (5001)]

(2) Pending Initiated Credit Transactions from [Biodiesel Company (5001)]

Submission Date	Credit Year	Credit Type	Transaction Type	Quantity	Reason	Trading Partner	I want to ...
12/09/2014	2014	Benzene (20)	Credit Sell	50	Standard Trade	RAP Inc. GEN ETOH (4670)	-- Select -- -- Select -- View Details Cancel Offer
12/09/2014	2014	Sulfur (10)	Credit Buy	50	Standard Trade	RAP Inc. GEN ETOH (4670)	-- Select -- -- Select -- View Details Cancel Offer

Export options: [CSV](#) | [Excel](#) | [PDF](#)

The Review Credit Trades screen includes a number of filter options that you can use to search for specific initiated or received credit buy or credit sell transactions. The labels on the Pending Credit Transactions tabs include the number of transactions within each tab. In Figure 20, the organization has two Pending Initiated Credit Transactions and zero Pending Received Credit Transactions. In the Review Credit Trades accordion, only one panel can be open at a time, so to open the Pending Received Credit Transactions panel of the accordion, you would click Pending

Received Credit Transactions. As a result, the Pending Initiated Credit Transactions panel would close.

For Pending Initiated Credit 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 21). If you choose Cancel, you will be asked to confirm the cancellation, and the transaction will no longer appear in your Pending Initiated Credit Transactions (or your trading partner's Pending Received Credit Transactions).

Figure 21: Pending Initiated Credit Transactions Options

▼ (2) Pending Initiated Credit Transactions from [Biodiesel Company (5001)]

Submission Date	Credit Year	Credit Type	Transaction Type	Quantity	Reason	Trading Partner	I want to ...
12/09/2014	2014	Benzene (20)	Credit Sell	50	Standard Trade	RAP Inc. GEN EtOH (4670)	-- Select -- Go
12/09/2014	2014	Sulfur (10)	Credit Buy	50	Standard Trade	RAP Inc. GEN EtOH (4670)	-- Select -- View Details Cancel Offer Go

Export options: [CSV](#) | [Excel](#) | [PDF](#)

For Pending Received Credit Transactions, you can select View Details, Accept Offer, or Deny Offer in the "I want to..." drop-down (see Figure 22).

Figure 22: Pending Received Credit Transactions Options

▼ (2) Pending Received Credit Transactions for [Biodiesel Company (5001)]

Submission Date	Credit Year	Credit Type	Transaction Type	Quantity	Reason	Trading Partner	I want to ...
12/09/2014	2014	Sulfur (10)	Credit Sell	100	Standard Trade	Test Organization 1.1 (IT-Org1.1)	-- Select -- Go
12/09/2014	2014	Sulfur (10)	Credit Sell	50	Standard Trade	Test Organization 1.1 (IT-Org1.1)	-- Select -- View Details Accept Offer Deny Offer Go

Export options: [CSV](#) | [Excel](#) | [PDF](#)

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 23). Once you press Confirm Deny, the transaction will no longer appear in your Pending Received Credit Transactions (or your trading partner's Pending Initiated Credit Transactions).

Figure 23: Deny Credit Trade Screen

Deny Credit Trade

To deny the received credit trade, please provide an explanation and select the 'Confirm Deny' button located at the bottom of the page. If you wish to return to the list of your pending transactions, select the 'Back' button.

▼ Credit Transaction Bin



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

[View Credit Transaction Bin](#)

You are denying the following Credit Sell pending trade:

100 2014 Sulfur Credits Traded 0 time(s) from
 Organization: Test Organization 1.1 (IT-Org1.1) submitted
 on 12/09/2014 3:28:12 PM EST

Reason: Standard Trade (10)
 Transfer Date: 12/09/2014

Transaction Details

* Please provide an explanation for denying the trade:

Document Type	Identifier	Public/Private
Nothing found to display.		

Add Document Information

Document Type:

Document Identification:

Public ☐

If you select Accept Offer, you will see the details of the transaction, and you will have the option of adding transaction details and document information (see Figure 24). 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.

Figure 24: Accept Credit Trade Screen

Accept Credit Trade

Please review the selected transaction and provide any additional information about the trade. To report a PTD number for your transaction, enter it into the 'PTD' field.

Credit Transaction Bin

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

[View Credit Transaction Bin](#)

You are accepting the following Credit Sell pending trade:

100 2014 Sulfur Credits Traded 0 time(s) from
Organization: Test Organization 1.1 (IT-Org1.1) submitted on
12/09/2014 3:28:12 PM EST

Reason: Standard Trade (10)
Transfer Date: 12/09/2014

Transaction Details

Additional Information:

Additional Information required when Trade Reason is not Standard Trade.

PTD:

Document Type	Identifier	Public/Private	Action
Nothing found to display.			

Add Document Information

Document Type:

Document Identification:

Public ☐

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 Credit Transactions (or your trading partner's Pending Initiated Credit Transactions), and the results of the trade will be reflected in your Credit Holdings.

If you select View Details for a Pending Received Credit 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 Credit Trade screen (see Figure 23), and clicking Accept Trade will take you to the Accept Credit Trade screen (see Figure 24).

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 Credit Trades screen. 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. Transfer Date;
2. Credit Year;
3. Credit Type;
4. Times Traded;
5. Quantity; and
6. Reason Code (except for Deny).

In addition, 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). Several fields, if provided, must also match, including the originating source information – Generating Organization Identifier and Generating Facility Identifier – and the Matching Transaction ID.

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.

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.