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# CTX Trading Platform Quick Start Guide

## Trading

November 2016 (v7-201611)

# Quick Start Trading Guide

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## 1. INTRODUCTION

This information guide is intended to provide you with a quick summary of the functions provided through the CTX Trading Platform. The guide contains all the necessary information to get you started on the platform and to support your independent trading needs.

This guide is structured in sections, each of which covers an essential aspect of trading on CTX. These sections do not necessarily need to be read in sequence, therefore you can use the index on page 2 to identify which section is most likely to resolve any particular queries you have.

This guide assumes that you are acquainted with the basic concepts of using web applications and have access to the Internet. Nevertheless, you do not need deep expertise in any specific technology, language, or system to be able to use the CTX Trading Platform.

Thank you for choosing Carbon Trade Exchange, and welcome!

### **Carbon Trade Exchange**

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London

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United Kingdom

Website: [www.ctxglobal.com](http://www.ctxglobal.com)

**Application (CTX Trading Platform):** [www.ctxglobal.net](http://www.ctxglobal.net)

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## 2. LISTING CREDITS ON THE CTX TRADING PLATFORM (SELLERS)

In order to list credits for sale on the CTX Trading Platform, each sell order must be initiated through the relevant registry.

### 2.1 Gold Standard Registry

To initiate a Gold Standard listing on the CTX Trading Platform, the account holder must:

- Transfer the GS VER credits they wish to list from their main Gold Standard registry account to the GSF CTX Account (**Account ID: 103000000002668**)  
This is done so that the credits may be identified and 'frozen' during the listing process, and to allow Gold Standard to move the credits as required.
- Send an email listing request to Gold Standard at [ctx.transactions@goldstandard.org](mailto:ctx.transactions@goldstandard.org) including the following table with the relevant information populated:

|                                      |  |
|--------------------------------------|--|
| <b>Project Name:</b>                 |  |
| <b>Project Type:</b>                 |  |
| <b>Quantity of Credits:</b>          |  |
| <b>Whole/Partial Sell:</b>           |  |
| <b>Offer Price:</b>                  |  |
| <b>Currency (EUR/GBP/AUD/USD):</b>   |  |
| <b>CTX Registered Email Address:</b> |  |
| <b>CTX Registered Email Address:</b> |  |

The following steps will be undertaken by the Gold Standard Administrator to finalise the listing:

- GSF will move these credits to the account holder's CTX listing sub-account and the listing will appear on CTX. Once the GS VER credits are in this sub-account, they will be 'frozen' until the earlier of:
  - (a) Instructions to GSF from the listing entity to de-list the credits; or
  - (b) Notification to GSF that a successful transaction has occurred on CTX.
- If de-listed, the credits will be transferred back to your main registry account.



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## 2.2 APX Registry – Environmental Management Account (EMA)

The APX EMA account provides easy access to your multi-registry portfolio of environmental credits, and a simple one portal tool for listing credits on the CTX Trading Platform.

To list credits on the CTX Trading Platform, please log into your APX EMA account and select the credits you wish to 'push' to the exchange (<https://www.emaccount.com/>). Your username and password for your EMA account will be provided to you during the application process.

- Navigate to the Positions screen by selecting **Overview** from the **Portfolio** selection on the navigation bar.
- When viewing the Positions screen click on the **New Batch** button in filter bar to initiate the batch creation process.
- An Initiate EMA Batch pop-up will be displayed.
- Select **New EMA Batch Order** as the EMA batch type. Identify **Carbon Trade Exchange** as the **Execution Venue, Program** and **Market** associated with the positions.
- Press **Continue**.
- The Positions screen will refresh and display only active positions in the selected program (i.e., registry) that qualify for the selected market.
- Select the positions to include in the batch by pressing on the  icon and then checking the appropriate tax lot check boxes.
- Checking the boxes adds the positions/tax lots to the new batch.
- The newly displayed **EMA Batch** tab displays the total quantity of instruments you have selected.
- Press the newly displayed **EMA Batch** tab. The batch Order screen will be displayed. Complete all required fields in the **EMA Batch Information** section:
  - Select the fill type, unit price and currency for the Orders.
  - Update the Qty Selected fields for each position in the batch, as needed. If you need to remove a position for creation of an Order, click on the  icon.
- Press the **Execute EMA Batch** button when the batch information is completed and correct. Once executed, the transactions can be viewed on the Transaction Details screen, and on the CTX Trading Platform.
- Navigate to the **Current Orders** tab by selecting **Account Activity** from the **Transact** tab on the navigation bar. Here you can see all your current New Order statuses.
- Should you wish to de-list your credits, this can also be done through the APX EMA Portal.

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## 3. PURCHASING CREDITS ON THE EXCHANGE (BUYERS)

### 3.1 Depositing Funds

- In order to execute a purchase on CTX, you will first need to be **'in funds'** with CTX by transferring the required amount into the relevant CTX Client Escrow Account.
- The amount received must be enough to cover the full cost of the credits, including transaction fees. Your CTX representative can assist you with the calculations to ensure you transfer the correct amount in order to complete your desired transaction.
- Please ensure that you deposit into the relevant currency account, according to your **chosen invoice currency** on the platform (as selected at the time of application and confirmed on your welcome letter):

| EUR (€)        |   |
|----------------|---|
| Account Name:  | GEM CTX Euro Exchange Account                       |
| Account No:    | 009529  |
| BSB (routing): | 034705  |
| SWIFT:         | WPACAU2S  |
| Bank Name:     | Westpac Banking Corporation                         |
| Bank Address:  | 80 George Street, Parramatta,<br>NSW Australia 2150 |

| GBP (£)        |   |
|----------------|---|
| Account Name:  | GEM CTX GBP Exchange Account                        |
| Account No:    | 011123  |
| BSB (routing): | 034703  |
| SWIFT:         | WPACAU2S  |
| Bank Name:     | Westpac Banking Corporation                         |
| Bank Address:  | 80 George Street, Parramatta,<br>NSW Australia 2150 |

| AUD (\$)       |   |
|----------------|---|
| Account Name:  | GEM CTX AUD Exchange Account                        |
| Account No:    | 715789  |
| BSB (routing): | 034215  |
| SWIFT:         | WPACAU2S  |
| Bank Name:     | Westpac Banking Corporation                         |
| Bank Address:  | 80 George Street, Parramatta,<br>NSW Australia 2150 |

| USD (\$)       |   |
|----------------|---|
| Account Name:  | GEM CTX USD Exchange Account                        |
| Account No:    | 071589  |
| BSB (routing): | 034702  |
| SWIFT:         | WPACAU2S  |
| Bank Name:     | Westpac Banking Corporation                         |
| Bank Address:  | 80 George Street, Parramatta,<br>NSW Australia 2150 |

### **IMPORTANT: Please use your 15 digit CTX account number as a reference on all transfers**






- Please note that when transferring funds to the above accounts, it is essential that you use your **CTX Account Number** as a reference so that your payment can be identified automatically by our clearing system and correctly allocated to your CTX Available Funds Balance. Please ensure that you use the full number, with no spaces e.g. CTX0000000000000.
- Once the funds are received, your available funds balance on the CTX trading platform will be updated accordingly.
- You can view your **Account Balance** and your **Account Currency** at any time by logging in and referring to the **'My Account'** Section on the **Trade VERs** tab:

| My Account (GBP) |                  |       |
|------------------|------------------|-------|
| Available Cash   | Available Credit | Total |

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## 3.2 Executing a Purchase

- Once you are in funds, making a purchase is as simple as clicking on a button!
- Log in to your account – you will be directed straight to the trading screen (**Trade VERs** tab).
- View the available credits. The ‘i’ button  allows you to view detailed project information.
- Remember that you can use the built-in filters available to narrow the search parameters if you are looking for something specific.
- The **Registry** is identified for each listing at the far-right hand side, for example  is for Gold Standard and  is APX. There is a **key** at the top of the page. **Please note** you can only purchase credits from registries you have an account at and only if it is linked to your CTX account.
- When you have identified the credits you wish to buy, simply click on the green ‘tick’  to make a purchase.
- If the lot you are buying is available for ‘**partial sell**’  you will be asked to enter the number of credits you would like to buy (please remember that our minimum purchase is 100).
- You will then be asked to review and confirm your purchase by re-entering your password.
- Transaction complete!

## 3.3 Posting a Bid

- If you can’t see the credits you want on the exchange, why not post a bid to buy what you are looking for?
- Simply select the ‘**Add Bid**’ button and populate the fields describing what you want.
- These will then be listed within the bids column on the trading page and sellers / brokers will be able to see what you are looking for. This means that if a member has your credits and is willing to sell them at the price you are willing to pay, they can list them as per your requirements.
- By posting a bid, you are not under any obligation to buy a corresponding offer.
- Please remember that your CTX representative can also help you source credits if they are not listed on the exchange.

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## 4. TRADING HISTORY & NOTIFICATIONS

CTX will notify you of any trades you have been involved in, whether you are the buying or selling party. A history of your trading activity will also be available in the system for you to refer to when required. This is done in a number of ways:

### 4.1 Transaction Log

The transaction log is a table detailing all your trading and activity on the exchange. Your transaction log can be found under the '**Transaction Log**' tab.

This includes the following information:

- Details of your **offers**, current and previous (items listed for sale).
- **Bids** you have listed on the exchange (wanted poster).
- **Executed transactions** (details of any sales or purchases you have made).

### 4.2 Trade Notification Emails

- As soon a transaction takes place, you will receive a series of 2 emails:
  - The **first email** is a **Sale or Purchase Pending** Notification, letting you know that a transaction has taken place.
  - The **second email** is the **Sale or Purchase Confirmation**, confirming the transaction has settled. In most cases, these emails will be received simultaneously.
  - The Confirmation (2<sup>nd</sup>) email will have your **PDF Invoice/Trading Statement** attached.

### 4.3 Trading Statements

- The information presented will be as per your transaction log and can be used as a formal tax invoice for purchasing transactions and a payment advice for selling transactions.
- Trading Statements are very important as they provide written confirmations of the transaction for your accounts department.



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## 5. RETIRING CREDITS

- Credit retirement should be done through the registry directly.
- The exact process varies across the registries and their systems.
- In most cases, this can be done through your registry account online.
- If you need assistance, please contact your registry customer services representative, who will be able to guide you through the process.

## 6. CONTACT US

Should you have questions or queries regarding this guide or any of the steps described, please do not hesitate to contact us:

### **Carbon Trade Exchange Pty Ltd**

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Accounts: [finance@ctxglobal.com](mailto:finance@ctxglobal.com)

Alternatively, please feel free to contact your CTX representative directly.