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## RULE SELF-CERTIFICATION

April 4, 2011

Office of the Secretary  
Commodity Futures Trading Commission  
Three Lafayette Center  
1155 21<sup>st</sup> St., N.W.  
Washington, D.C. 20581

Re: Green Exchange LLC  
Reference File: GX-2011-09

Ladies and Gentlemen:

Pursuant to Section 40.6 of the regulations (the "CFTC Rules") promulgated by the Commodity Futures Trading Commission (the "Commission") under the Commodity Exchange Act, as amended (the "Act"), Green Exchange LLC ("GreenX"), a designated contract market under the Act, hereby submits this self-certification for the following:

1. GreenX is issuing GreenX Advisory Notice #2011-06, relating to the resumption of trading of the Daily European Union Allowance (EUA) Futures (code EUL) Contract. GreenX will lift the suspension of the Daily European Union Allowance (EUA) Futures (code EUL) contract and list the Daily contract on GreenX for trading through CME Globex and clearing through CME ClearPort commencing on Sunday, April 10, 2011 for trade date Monday, April 11, 2011.

GreenX Advisory Notice #2011-06 is attached as Exhibit A. GreenX hereby certifies that GreenX Advisory Notice #2011-06 complies with the Act and the CFTC Rules. The effective date of GreenX Advisory Notice #2011-06 is April 6, 2011. There were no opposing views among GreenX's Board of Directors, Participants or market participants regarding GreenX Advisory Notice #2011-06.



If you have any further questions or comments about GreenX's actions, please contact me at 212-299-2510.

Sincerely,

A handwritten signature in black ink, appearing to read 'Kari S. Larsen', followed by a horizontal line.

Kari S. Larsen  
Chief Regulatory Officer / General  
Counsel

cc: Bella Rozenberg  
Richard Shilts  
Marshall Horn  
Michael Philipp

Attachment

## EXHIBIT A



### ADVISORY NOTICE

#### Resumption of Trading of Daily European Union Allowances (EUA) Futures (code EUL) Contract

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To: Participants / Customers

From: Green Exchange ("GreenX")

Advisory Notice: 2011-06

Notice Date: April 5, 2011

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On January 19, 2011, the European Commission suspended transfers at all European Emissions Trading Scheme Registries due to security breaches at certain EU member state emissions registries. As a result, on January 20, 2011, GreenX halted the listing of new contract days for the Daily European Union Allowance (EUA) Futures contract. GreenX has since issued several Advisory Notices, which are available at:

<http://www.thegreenx.com/market-regulation/articles/02-03-2011.html>;

<http://www.thegreenx.com/market-regulation/articles/03-10-2011.html>;

<http://www.thegreenx.com/market-regulation/articles/03-14-2011.html>

The UK Greenhouse Gas Emissions Trading Scheme Registry, which is the standard delivery facility for the GreenX Daily European Union Allowance (EUA) Futures (code EUL) contract, along with other EU member state registries, have resumed operations. GreenX will lift the suspension of the Daily European Union Allowance (EUA) Futures (code EUL) contract and list the Daily contract on GreenX for trading via CME Globex and clearing through CME ClearPort commencing on **Sunday, April 10, 2011 for trade date Monday, April 11, 2011.**

In addition, in connection with the recent, and prior, EU member state registry security breaches, GreenX has compiled the attached list of the affected EUAs and CERs that will not be eligible for delivery for all GreenX EUA and CER Futures contracts. The attached list was compiled from various currently available public sources and may be updated from time to time by GreenX. Should GreenX receive any further information regarding potentially affected EUAs and CERs, GreenX will update and re-circulate this list as soon as reasonably practicable. Neither GreenX nor the Chicago Mercantile Exchange Inc. ("CME") Clearing House make any representation or warranty with respect to the completeness or accuracy of any list of allegedly stolen EUAs/CERs or any link provided as a source for the list. In

addition, neither GreenX nor CME Clearing House make any representation or warranty that any EUA or CER delivered to the CME Clearing House will not subsequently be or become ineligible to be accepted for delivery by the CME Clearing House pursuant to the GreenX Rules for its European Union Allowance and Certified Emission Reduction Futures contracts. The applicable futures contracts and specific GreenX Rule references are as follows:

- *Daily European Union Allowance (EUA) Futures (Rule 1201.08)*
- *In Delivery Month European Union Allowance (EUA) Futures (Rule 1101.09)*
- *European Union Allowance (EUA) Futures (Rule 1701.09)*
  
- *In Delivery Month Certified Emission Reduction (CER) Futures (Rule 1104.09)*
- *Certified Emission Reduction Plus (CERplus<sup>SM</sup>) Futures (Rule 1107.08)*
- *Certified Emission Reduction (CER) Futures (Rule 1703.09)*

Please note that this Advisory Notice does not otherwise alter any GreenX Rules regarding the eligibility of CERs for delivery. In addition, these actions do not affect trading in any other futures or options products listed on GreenX.

Please refer questions on this subject to:

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Managing Director, Global Product Development:

Henrik Hasselknippe [henrik.hasselknippe@thegreenx.com](mailto:henrik.hasselknippe@thegreenx.com) +44 20 7464 4182

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Compliance Officer

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Nicholas Galati [nicholas.galati@thegreenx.com](mailto:nicholas.galati@thegreenx.com) +1 212.299.2569

Attachment – Listing of EUAs and CERs Not Accepted for Delivery for All GreenX EUA Futures Contracts



Attachment to Advisory Notice # 2011-06

**European Union Allowances not accepted for delivery under the:**

- Daily European Union Allowance (EUA) Futures contract (commodity codes: Globex & ClearPort = EUL)
- In Delivery Month European Union Allowance (EUA) Futures contract (commodity codes: Globex = EAF; ClearPort = 6T)
- European Union Allowance (EUA) Futures contract (commodity codes: Globex = EUA; ClearPort = RC)

**Certified Emission Reductions not acceptable for delivery under the:**

- In Delivery Month Certified Emission Reduction Futures contract (commodity codes: Globex = CRE & ClearPort = 6S)
- Certified Emission Reduction Plus (CERplus<sup>SM</sup>) Futures contract (commodity codes: Globex & ClearPort = CPL)
- Certified Emission Reduction (CER) Futures contract (commodity codes: Globex = CCR; ClearPort = VA)

The list below contains a total of 162 individual blocks corresponding to 3,006,491 EUAs. There is however a partial overlap between blocks 128 and 129 in this list, which means that the effective amount of EUAs not accepted for delivery is 2,993,391.

Also, block 8 has been reported as both EUAs and CERs. Until there is more information available, and to ensure all eventualities are covered, all CERs corresponding to the serial numbers in question will also not be accepted for delivery. The serial numbers apply, in full or part, to 4 separate blocks of CER issuance, totaling 92,000 CERs. These are listed in blocks 163 to 166.

This list was compiled from various currently available public sources and **may be updated from time to time by GreenX**. Should GreenX receive any further information regarding potentially affected EUAs and CERs, GreenX will update and re-circulate this list as soon as reasonably practicable. Neither GreenX nor the Chicago Mercantile Exchange Inc. ("CME") Clearing House make any representation or warranty with respect to the completeness or accuracy of any list of allegedly stolen EUAs/CERs or any link provided as a source for the list.

BLOCK	COUNTRY OF ORIGIN	BLOCK START	BLOCK END	# EUAs
1	BE	280432624	280436914	4,291
2	BE	435152877	435158876	6,000
3	BG	547225027	547225117	91
4	BG	550053028	550063027	10,000
5	BG	550283349	550288482	5,134
6	BG	585116307	585122842	6,536
7	CZ	1103057056	1103557055	500,000
8	DE	71630251	71676250	46,000
9	DE	1531996806	1532016805	20,000
10	DE	1651350878	1651398998	48,121
11	DE	1651398999	1651404998	6,000
12	DE	1665430173	1665436572	6,400
13	DE	1695386733	1695420785	34,053
14	DE	1695538100	1695576188	38,089
15	DE	1695638916	1695659915	21,000
16	DE	1695659916	1695660915	1,000
17	DE	1706883850	1706885641	1,792
18	DE	2039733159	2039735037	1,879
19	DE	2051794990	2051797589	2,600
20	DE	2081637314	2081643260	5,947
21	DE	2081795784	2081799694	3,911
22	DE	2092593840	2092609547	15,708
23	DE	2628968921	2628978920	10,000
24	DE	3600449345	3600462030	12,686
25	DE	3601052318	3601053030	713
26	DE	3601317031	3601331855	14,825
27	DE	3601756525	3601768430	11,906
28	ES	1700840977	1700845976	5,000
29	ES	2014116327	2014116770	444
30	ES	2092836673	2092855461	18,789
31	FI	367929256	367934216	4,961
32	FI	383090178	383098121	7,944
33	FR	3064732704	3064733503	800
34	FR	3091242276	3091265275	23,000
35	FR	3091265276	3091267275	2,000
36	FR	3091381437	3091382275	839
37	FR	3091382276	3091387275	5,000
38	FR	3091387276	3091412275	25,000

Also reported as CERs, see Blocks 163-166.

BLOCK	COUNTRY OF ORIGIN	BLOCK START	BLOCK END	# EUAs
39	FR	3091412276	3091437275	25,000
40	FR	3091437276	3091438261	986
41	FR	3091570631	3091574630	4,000
42	FR	3091674276	3091675275	1,000
43	GB	3308754784	3308766323	11,540
44	GB	3690039126	3690049917	10,792
45	GB	3722050254	3722064385	14,132
46	GB	3722066512	3722071511	5,000
47	GB	3755049429	3755054428	5,000
48	GB	3798645871	3798650870	5,000
49	GB	3798654871	3798659749	4,879
50	GB	3943135124	3943137986	2,863
51	GB	3944306787	3944325286	18,500
52	GB	3944419787	3944426357	6,571
53	GB	3944427358	3944439786	12,429
54	GB	3944576787	3944591786	15,000
55	GB	3944667711	3944673286	5,576
56	GB	3944673287	3944673786	500
57	GB	3944898412	3944900835	2,424
58	GB	3944960912	3944964911	4,000
59	GB	3946170180	3946172179	2,000
60	GB	3946338912	3946344619	5,708
61	GB	3946509912	3946515281	5,370
62	GB	3958304087	3958309828	5,742
63	GB	3960044105	3960057986	13,882
64	GB	3971000822	3971004919	4,098
65	GB	3974981711	3974988316	6,606
66	GB	3984693804	3984698803	5,000
67	GB	4066800271	4066808900	8,630
68	GB	4068652271	4068657790	5,520
69	GR	342148662	342163519	14,858
70	GR	342175846	342214845	39,000
71	GR	342214846	342375845	161,000
72	GR	342375846	342475845	100,000
73	GR	406017404	406022545	5,142
74	IT	2111229495	2111233650	4,156
75	IT	2684431561	2684437050	5,490
76	IT	2725713567	2725718566	5,000
77	IT	2725744567	2725748566	4,000

BLOCK	COUNTRY OF ORIGIN	BLOCK START	BLOCK END	# EUAs
78	IT	2802964284	2802974283	10,000
79	IT	2803343449	2803348021	4,573
80	IT	2807422069	2807426568	4,500
81	IT	2807432069	2807438068	6,000
82	IT	2807496848	2807497068	221
83	IT	2819926838	2819930218	3,381
84	IT	2819930219	2819931850	1,632
85	IT	2819931851	2819932218	368
86	IT	2876592677	2876595239	2,563
87	IT	2903705760	2903708106	2,347
88	IT	2943632737	2943639593	6,857
89	IT	3015971368	3015972367	1,000
90	IT	3022905876	3022909500	3,625
91	IT	3057431009	3057431432	424
92	IT	3064927424	3064928453	1,030
93	LT	234254610	234254846	237
94	LT	234301847	234302846	1,000
95	LT	234302847	234304035	1,189
96	LT	235260661	235260926	266
97	LT	260674583	260690486	15,904
98	LT	261838758	261839015	258
99	LT	261916396	261917137	742
100	LT	262355381	262362380	7,000
101	LT	262404795	262411794	7,000
102	LV	119698982	119703981	5,000
103	LV	119779982	119798867	18,886
104	LV	130381323	130386322	5,000
105	NL	3079951645	3079957423	5,779
106	NL	3080005045	3080018044	13,000
107	NL	3080033045	3080043044	10,000
108	NL	3082387122	3082402199	15,078
109	NL	3195944820	3195949819	5,000
110	NL	3267414360	3267536502	122,143
111	PL	2635503617	2635513616	10,000
112	PL	2643888120	2643888304	185
113	PL	2643907621	2643914619	6,999
114	PL	2666498991	2666512269	13,279
115	PL	2670345829	2670355828	10,000
116	PL	2670455829	2670465828	10,000



BLOCK	COUNTRY OF ORIGIN	BLOCK START	BLOCK END	# EUAs
117	PL	2670525829	2670535828	10,000
118	PL	2684577680	2684589348	11,669
119	PL	2689222498	2689231880	9,383
120	PL	2700389167	2700397981	8,815
121	PL	2759003038	2759010656	7,619
122	PT	2224731860	2224754104	22,245
123	PT	2225355858	2225356857	1,000
124	PT	2225403858	2225404857	1,000
125	PT	2288913557	2288918556	5,000
126	RO	2424120933	2424125932	5,000
127	RO	2432609549	2432694705	85,157
128	RO	2432694706	2432844705	150,000
129	RO	2432791606	2432804705	13,100
130	RO	2437107088	2437117087	10,000
131	RO	2497968834	2497968898	65
132	RO	2497968899	2497978858	9,960
133	RO	2497978859	2497997040	18,182
134	RO	2506623082	2506628640	5,559
135	RO	2506628641	2506693483	64,843
136	RO	2533074536	2533078535	4,000
137	RO	2534966730	2534967870	1,141
138	RO	2537013498	2537016441	2,944
139	RO	2550225718	2550226541	824
140	RO	2550229343	2550229722	380
141	RO	2551379969	2551381866	1,898
142	RO	2551634984	2551635976	993
143	RO	2551657432	2551660937	3,506
144	RO	2551982677	2551984472	1,796
145	RO	2573501966	2573796406	294,441
146	RO	2574730697	2574980696	250,000
147	RO	2575030697	2575180696	150,000
148	RO	2603602688	2603610687	8,000
149	SK	278965121	278965234	114
150	SK	279017764	279017889	126
151	SK	279020562	279020687	126
152	SK	279023300	279023537	238
153	SK	279038562	279038649	88
154	SK	279210562	279210686	125

OVERLAP W/ ABOVE  
BLOCK

BLOCK	COUNTRY OF ORIGIN	BLOCK START	BLOCK END	# EUAs	
155	SK	279678736	279678775	40	
156	SK	279785245	279785312	68	
157	SK	280528270	280528343	74	
158	SK	383445756	383447311	1,556	
159	SK	386717534	386725533	8,000	
160	SK	386733534	386740079	6,546	
161	SK	394213680	394219304	5,625	
162	SK	405214160	405222085	7,926	
				<b>TOTAL, EUA</b>	<b>3,006,491</b>
				<b>NET TOTAL, EUA</b>	<b>2,993,391</b>

WHEN EXCLUDING OVERLAP

BLOCK	COUNTRY OF ORIGIN	BLOCK START	BLOCK END	PROJ ID	# CERs
163	IN	71630251	71637942	340	7,692
164	IN	71637943	71665115	1615	27,173
165	IN	71665116	71676250	328	11,135
166	CN	71630251	71676250	767	46,000
<b>TOTAL, CER</b>					<b>92,000</b>

### PUBLIC SOURCES

<http://www.blackstonegv.com/download/serialIDs.pdf>

[http://www.ekpaa.greekregistry.eu/images/EKPAA\\_DELTIO\\_TYPOY\\_SERIAL\\_NUMBERS.pdf](http://www.ekpaa.greekregistry.eu/images/EKPAA_DELTIO_TYPOY_SERIAL_NUMBERS.pdf)

[http://www.greta.sinanet.apat.it/docs/suspect\\_blocks\\_24nov2010.xls](http://www.greta.sinanet.apat.it/docs/suspect_blocks_24nov2010.xls)

[http://www.greta.sinanet.apat.it/docs/suspect\\_blocks\\_16nov2010.xls](http://www.greta.sinanet.apat.it/docs/suspect_blocks_16nov2010.xls)

[http://www.holcim.ro/fileadmin/templates/RO/doc/EUA\\_identification\\_numbers.pdf](http://www.holcim.ro/fileadmin/templates/RO/doc/EUA_identification_numbers.pdf)

<http://www.ote-cr.cz/about-ote/file-news/blocks-cz-20110118-public.pdf>

[https://www.theice.com/publicdocs/clear\\_europe/circulars/C10034\\_att1.pdf](https://www.theice.com/publicdocs/clear_europe/circulars/C10034_att1.pdf)

<http://cdm.unfccc.int/Projects/DB/DNV-CUK1142971997.99/iProcess/SGS-UKL1204130513.49/view> (Block 163)

<http://cdm.unfccc.int/Projects/DB/RWTUV1202913883.06/iProcess/DNV-CUK1238413144.04/view> (Block 164)

<http://cdm.unfccc.int/Projects/DB/TUEV-SUED1142615287.88/iProcess/TUEV-SUED1220276768.17/view> (Block 165)

<http://cdm.unfccc.int/Projects/DB/JQA1163409153.5/iProcess/DNV-CUK1198503140.76/view> (Block 166)