California Environmental Protection Agency

Air Resources Board

Compliance Instrument Tracking System Service (CITSS)

User Reference CITSS Version 8.0

June 2017

This Page Intentionally Blank

Table of Contents

CITSS AUCTION AND RESERVE SALE EVENT APPLICATIONS

The Auction Tab 2
- Auction and Reserve Sale Information 5
- Initiate Event Participation 5
- Current and Future Vintage Purchase Limit % 7

Creating an Event Application for the First Time in CITSS 7
- Event Application Information 9
- Forms of Bid Guarantee and Currency Selection 9
- Bid Guarantee Return Instructions - Cash Bid Guarantee 10
- Bid Guarantee Return Instructions - Physical Bid Guarantee 12
- Attestation 12
- Confirm and Submit 13

Creating Subsequent Event Applications 14

Reviewing and Editing an Event Application 17
- Event Applications Page 18
- Application Status and Email Notifications 20
- Event Application Detail Page 20
- Bidding Limitation Data 20
- Editing an Event Application 22
- Editing Bid Guarantee Return Instructions 24

Financial Services Delivery Instructions 24

Cancelling an Event Application 27
- Resubmitting an Event Application 28
- Editing and Resubmitting an Event Application 28

Table of Figures

Figure 1 User Home Page 2
Figure 2 Account Detail Button on Account Page 3
Figure 3 Auction Tab 4
Figure 4 Initiate Event Participation 6
Figure 5 View Event Applications 6
Figure 6 Initiate Event Participation and View Event Applications 6
Figure 7 Create Event Application/Confirm Existing Data for Event Page 8
Figure 8 Event Application Information Pane 9
Figure 9 Forms of Bid Guarantee Pane 10
Figure 10 Bid Guarantee Return Instructions – Cash Bid Guarantee Pane 11
Figure 11 Bid Guarantee Return Instructions – Physical Bid Guarantee Pane 12
Figure 12 Attestation Pane (California Entities) 13
Figure 13 Confirm and Submit Pane 14
Figure 14 Event Participation Successfully Created 14
Figure 15 Event Application Prepopulated 16
Figure 16 Cash Bid Guarantee Return Instructions Prepopulated 17
Figure 17 Representative Reports – Event Applications 18
Figure 18 Event Applications Page 19
Figure 19 Bidding Limitation Data 21
Figure 20 Edit Application Button 22
Figure 21 Edit Event Application Page 23
Figure 22 Edit Bid Guarantee Return Button 24
Figure 23 Generate Financial Services Button 25
Figure 24 Financial Services Delivery Instructions Page 26
Figure 25 Cancel Application Button 27
Figure 26 Cancel Application Confirmation 27
Figure 27 Resubmit Application Button 28

CITSS AUCTION AND RESERVE SALE EVENT APPLICATIONS

The Primary Account Representative (PAR) or an Alternate Account Representative (AAR) of eligible entities can submit applications and confirm intent to bid in auctions and reserve sales (events) in CITSS. Once an entity's auction application has been approved, the entity need not complete applications for subsequent events unless there is a material change to the information contained in the approved application. However, the entity must submit a notice of intent to bid at least 30 days prior to each auction and at least 20 days prior to each reserve sale it intends to participate in. Material change to auction application information is described further in the Detailed Auction Requirements and Instructions provided on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Entity information for an approved event application is maintained to allow submittal of notices of intent to bid for future events. The processes to submit an event application and to confirm intent to bid are generally the same. The only difference is that entry of maintained data is not required for submittal of a notice of intent to bid. For simplicity, this User Reference will refer to both an event application and notice of intent to bid as an event application.

Covered entities, opt-in covered entities, and voluntarily associated entities are eligible to participate in auctions. Covered entities and opt-in covered entities are eligible to participate in reserve sales; voluntarily associated entities are not eligible to participate in reserve sales.

Participating in an event consists of submitting an event application, providing a bid guarantee, bidding in the event, and financial settlement. Event applications are submitted in CITSS and Financial Services Delivery Instructions required for providing bid guarantees are obtained from CITSS. Bidding and financial settlement are conducted outside of CITSS. Bidding is conducted in the Markit Auction Platform (Auction Platform) and Financial Statements required for financial settlement are obtained from the Auction Platform. Entities will complete the financial settlement process with the Financial Services Administrator for all allowances awarded in an auction or reserve sale once the event is certified.

For guidance on participating in auctions, refer to the Auction Notice and Detailed Auction Requirements and Instructions provided on the ARB Auction Information webpage at https://www.arb.ca.gov/auction. For guidance on participating in reserve sales, refer to the Reserve Sale Notice and Detailed Reserve Sale Requirements and Instructions on the ARB Reserve Sale Information webpage at https://www.arb.ca.gov/cc/capandtrade/reservesale/reservesale.htm.

To access the Auction Platform, navigate to https://www.wci-auction.org/. An Auction and Reserve Sale Platform User Guide is available on the Resources page in the Auction Platform. Only PARs and AARs of entities that have been qualified bidders in

past events or that have submitted an event application to an upcoming event can establish Auction Platform accounts.

The Auction Tab

Auction and reserve sale event application functionality in CITSS is accessed primarily from the Auction tab on the Account Detail page. To access the Account Detail page for an entity, select the entity name hyperlink in the Name field in the My Accounts pane on the CITSS Home page (Figure 1). Alternatively, select the "Account Detail" button on an entity Account page (Figure 2) to access the Account Detail page. On the Account Detail page, select "Auction" to view the Auction tab (Figure 3).

Figure 1 User Home Page

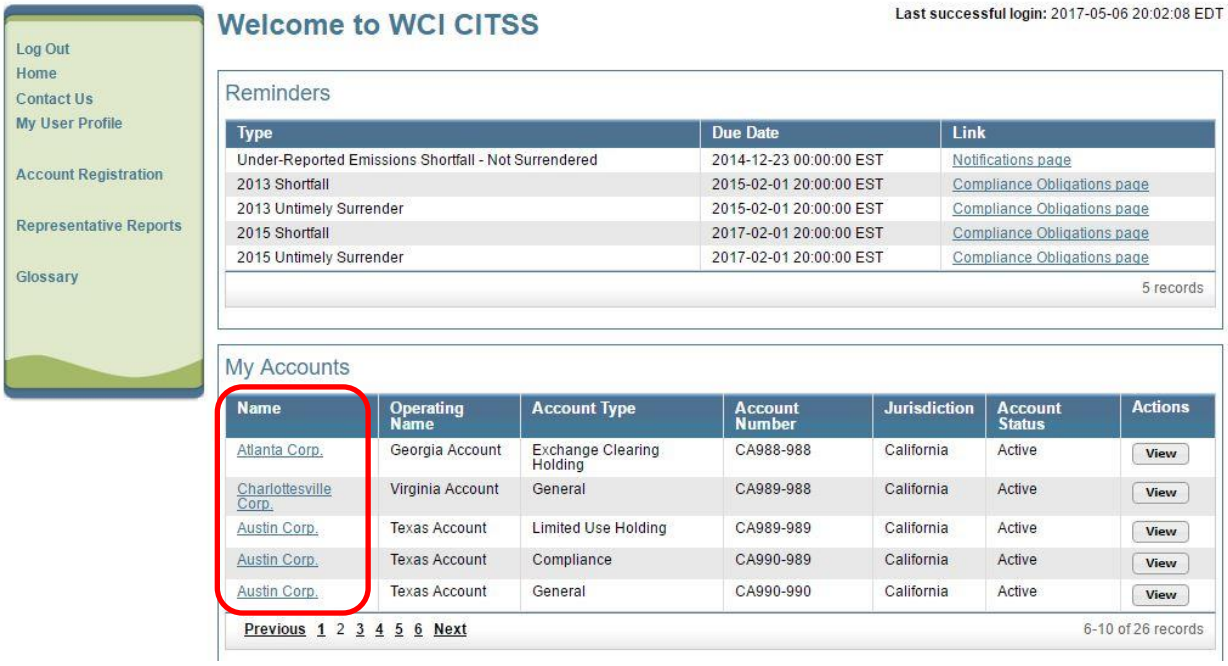


Figure 2 Account Detail Button on Account Page

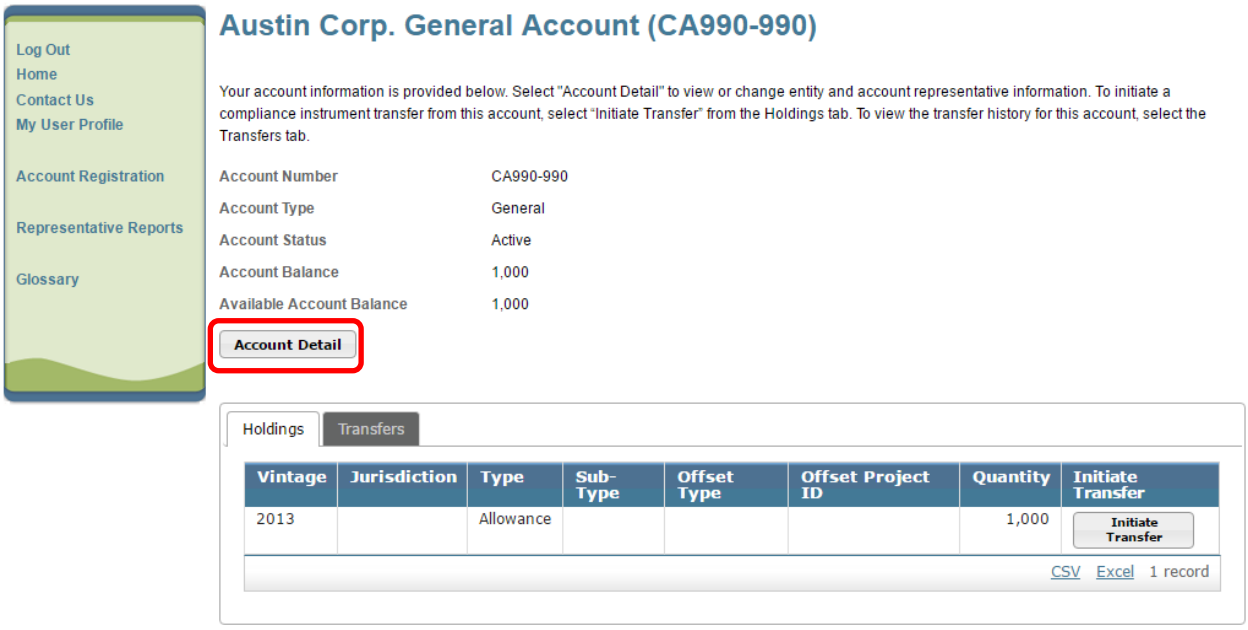
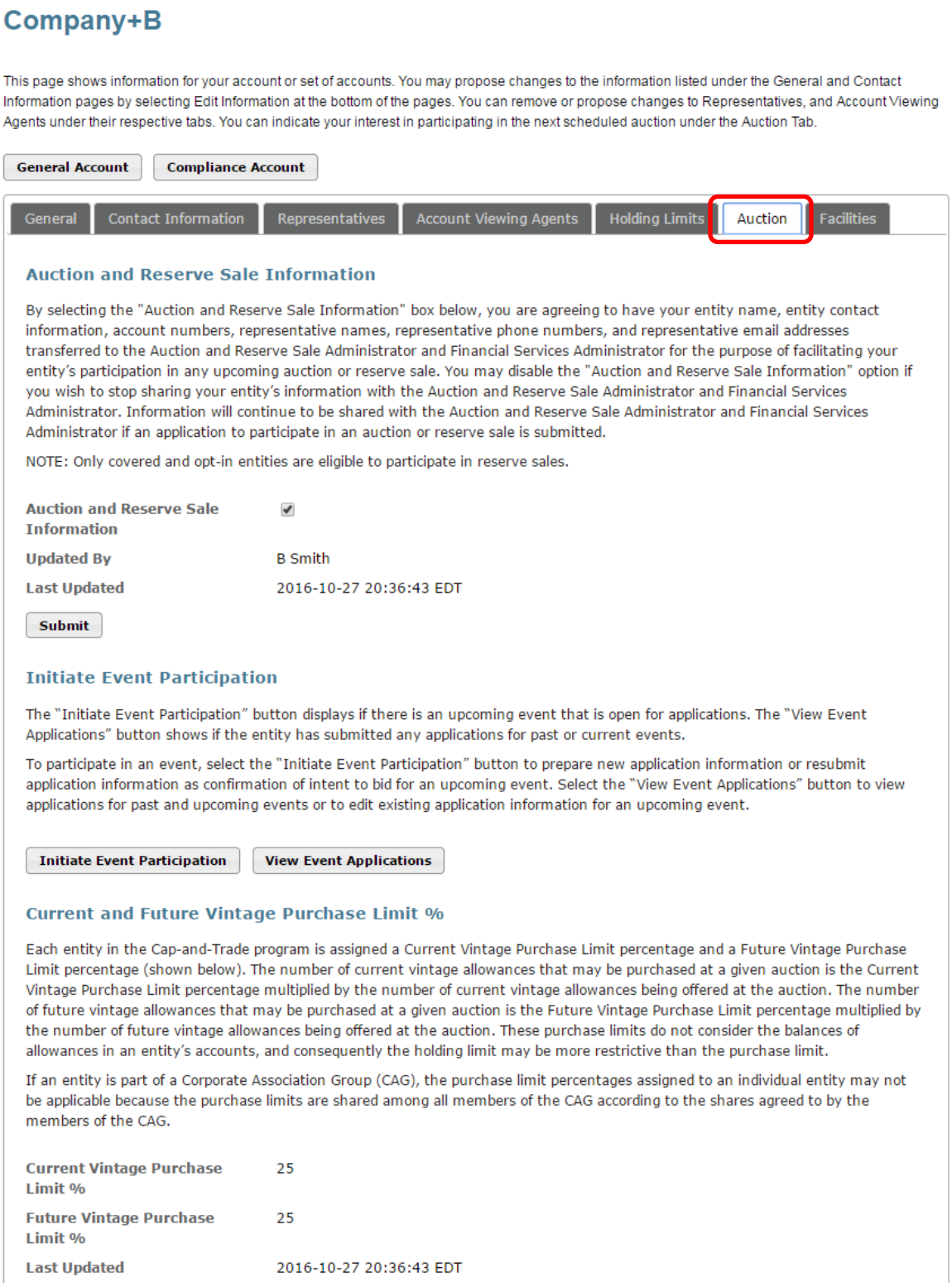


Figure 3 Auction Tab



Company+B

This page shows information for your account or set of accounts. You may propose changes to the information listed under the General and Contact Information pages by selecting Edit Information at the bottom of the pages. You can remove or propose changes to Representatives, and Account Viewing Agents under their respective tabs. You can indicate your interest in participating in the next scheduled auction under the Auction Tab.

General Account | Compliance Account

General | Contact Information | Representatives | Account Viewing Agents | Holding Limits | Auction | Facilities

Auction and Reserve Sale Information

By selecting the "Auction and Reserve Sale Information" box below, you are agreeing to have your entity name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating your entity's participation in any upcoming auction or reserve sale. You may disable the "Auction and Reserve Sale Information" option if you wish to stop sharing your entity's information with the Auction and Reserve Sale Administrator and Financial Services Administrator. Information will continue to be shared with the Auction and Reserve Sale Administrator and Financial Services Administrator if an application to participate in an auction or reserve sale is submitted.

NOTE: Only covered and opt-in entities are eligible to participate in reserve sales.

Auction and Reserve Sale Information	☑
Updated By	B Smith
Last Updated	2016-10-27 20:36:43 EDT

Submit

Initiate Event Participation

The "Initiate Event Participation" button displays if there is an upcoming event that is open for applications. The "View Event Applications" button shows if the entity has submitted any applications for past or current events.

To participate in an event, select the "Initiate Event Participation" button to prepare new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Select the "View Event Applications" button to view applications for past and upcoming events or to edit existing application information for an upcoming event.

Initiate Event Participation | View Event Applications

Current and Future Vintage Purchase Limit %

Each entity in the Cap-and-Trade program is assigned a Current Vintage Purchase Limit percentage and a Future Vintage Purchase Limit percentage (shown below). The number of current vintage allowances that may be purchased at a given auction is the Current Vintage Purchase Limit percentage multiplied by the number of current vintage allowances being offered at the auction. The number of future vintage allowances that may be purchased at a given auction is the Future Vintage Purchase Limit percentage multiplied by the number of future vintage allowances being offered at the auction. These purchase limits do not consider the balances of allowances in an entity's accounts, and consequently the holding limit may be more restrictive than the purchase limit.

If an entity is part of a Corporate Association Group (CAG), the purchase limit percentages assigned to an individual entity may not be applicable because the purchase limits are shared among all members of the CAG according to the shares agreed to by the members of the CAG.

Current Vintage Purchase Limit %	25
Future Vintage Purchase Limit %	25
Last Updated	2016-10-27 20:36:43 EDT

The Auction tab, shown in Figure 3, has three sections: Auction and Reserve Sale Information, Initiate Event Participation, and Current and Future Vintage Purchase Limit %.

Auction and Reserve Sale Information

The Auction and Reserve Sale Information section provides an opportunity for a PAR or AAR to select the "Auction and Reserve Sale Information" box. Selecting the box indicates the entity's consent to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating the entity's participation in any upcoming auction or reserve sale.

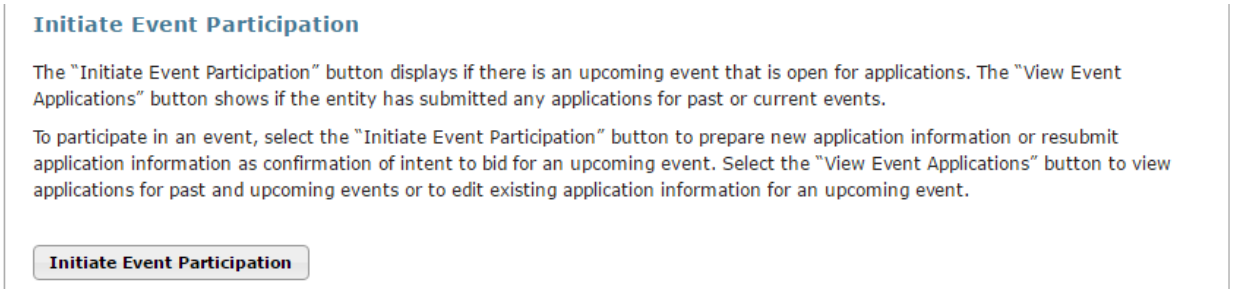
Note that selecting the "Auction and Reserve Sale Information" box is not required to submit an event application. Further, submission of an event application by a PAR or AAR indicates the entity's consent to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator.

The "Auction and Reserve Sale Information" box is included in CITSS 8.0 as a means to facilitate transfer of entity and representative information to the Financial Services Administrator. For this reason, it is recommended that event applicants select the box. In a future release of CITSS, the box will be removed and entity and representative information for event applications will be provided to the Financial Services Administrator based solely on the submittal of an event application.

Initiate Event Participation

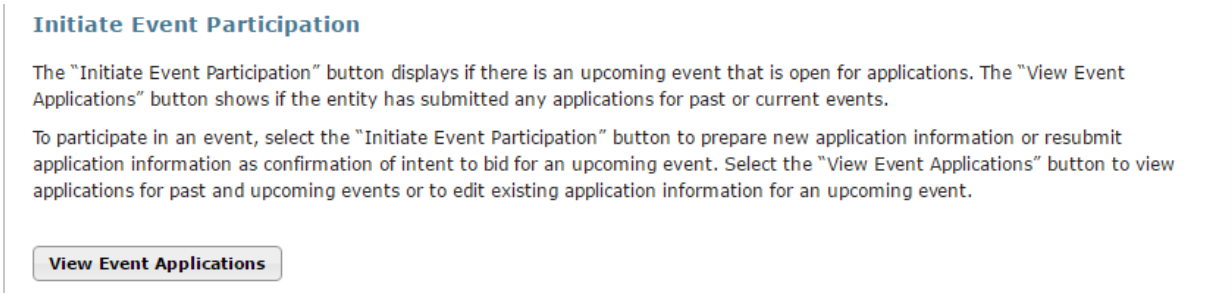
Entity representatives (PARs and AARs) can create event applications and view existing event applications using the buttons in the Initiate Event Participation section of the Auction tab. The "Initiate Event Participation" button will only display if there is an upcoming event that is open for applications (Figure 4). Select the "Initiate Event Participation" button to access the Create Event Application/Confirm Existing Data for Event page. This page is discussed in detail in the Creating an Event Application section of this User Reference.

Figure 4 Initiate Event Participation



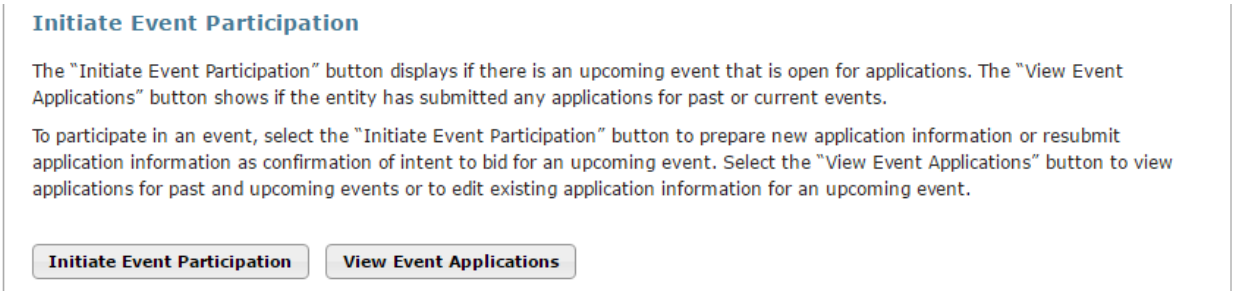
The "View Event Applications" button will only display if the entity has submitted any applications for past or current events (Figure 5). Select the "View Event Applications" button to access the Event Applications page. This page is discussed in the Reviewing and Editing an Event Application section of this guide.

Figure 5 View Event Applications



Both buttons will display if there is an upcoming event that is open for applications and the entity has submitted any applications for past or current events (Figure 6).

Figure 6 Initiate Event Participation and View Event Applications



Current and Future Vintage Purchase Limit %

The Auction tab also includes information about the current vintage purchase limit percentage and future vintage purchase limit percentage assigned to the entity based on the entity type. The current vintage purchase limit displayed is applicable to the Current Auction and the future vintage purchase limit displayed is applicable to the Advance Auction.

Per the Cap-and-Trade Regulation, covered entities, opt-in covered entities, and electrical distribution utilities are assigned a purchase limit of 25 percent of allowances offered in the Current Auction and 25 percent of allowances offered in the Advance Auction. Voluntarily associated entities are assigned a purchase limit of 4 percent of allowances offered in the Current Auction and 4 percent of allowances offered in the Advance Auction. If an entity is part of a corporate association group (CAG), the purchase limit percentages displayed on this tab may not be applicable because the purchase limit is divided among all members of the CAG. The purchase limit distribution for each member of the CAG is presented on the Corporate Associates tab on the Account Detail page.

Creating an Event Application for the First Time in CITSS

Select the “Initiate Event Participation” button on the Auction tab to access the Create Event Application/Confirm Existing Data for Event page (Figure 7).

Figure 7 Create Event Application/Confirm Existing Data for Event Page

Create Event Application/Confirm Existing Data for Event

This page allows a representative to submit new application information or resubmit application information as confirmation of intent to bid for an upcoming event. Required fields are indicated by asterisks. Fields will be prepopulated with information from the most recently approved application. A representative may select one or a combination of forms of bid guarantee. If cash bid guarantee is selected, the representative must complete the "Bid Guarantee Return Instructions - Cash Bid Guarantee" pane. If a physical bid guarantee (any form other than cash) is selected, the representative must complete the "Bid Guarantee Return Instructions - Physical Bid Guarantee" pane.

Bid Guarantee Attestation Submit

Event Application Information

CITSS Entity ID		CA990
Legal Name		Austin Corp.
Operating Name		Texas Account
Event	*	-- Select --

Forms of Bid Guarantee

Currency * USD

Please select one or more forms of bid guarantee:

Cash ☐

Letter of Credit ☐

Bond ☐

Back To Top

Attestation

Section 95912(d)(4)(E) of the California Cap-and-Trade Regulation requires entities to submit an attestation disclosing the existence and status of any ongoing investigation or an investigation that has occurred within the last ten years with respect to any alleged violation of any rule, regulation, or law associated with any commodity, securities, environmental, or financial market for the entity participating in the auction, and all other entities with whom the entity has a corporate association, direct corporate association, or indirect corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. The attestation must be updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity will have submitted and/or updated the required attestation to ARB by the deadline to apply to participate in this auction. An Auction Application Attestation Disclosure Form is available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity has no updates to the disclosures since the most recent auction application attestation was submitted.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application or confirmation of intent to bid to a reserve sale.

Attestation Response * -- Select --

Back To Top

Confirm and Submit

Selecting the "Confirm" button submits event application information for the selected event. By selecting the "Confirm" button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

Password *

Cancel Confirm

This page has six panes corresponding to the categories of information required in the event application: Event Application Information, Forms of Bid Guarantee, Bid Guarantee Return Instructions – Cash Bid Guarantee, Bid Guarantee Return Instructions – Physical Bid Guarantee, Attestation, and Confirm and Submit.

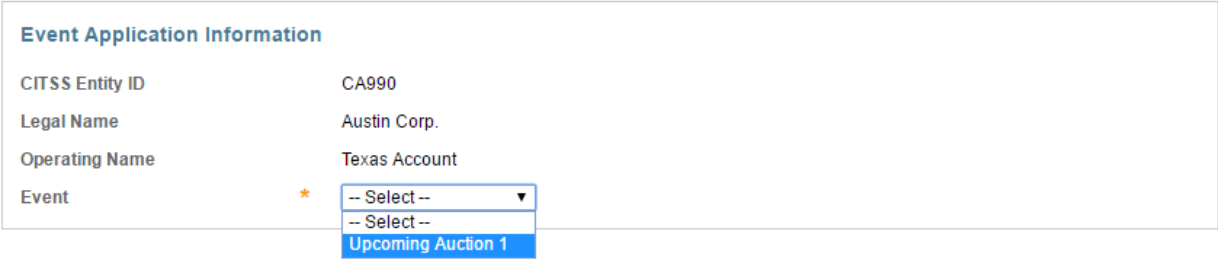
Note that in Figure 7 the two Bid Guarantee Return Instructions panes are not displayed. If the user has JavaScript enabled in the web browser, these panes will only be displayed as required based on the selections made in the Forms of Bid Guarantee pane. If the user does not have JavaScript enabled, the Bid Guarantee Return Instructions panes will display by default.

Required fields are indicated by asterisks (*) and tooltips are indicated by question marks (?). Tooltips are provided to assist users with the required entries and are activated by hovering the mouse cursor over the question mark (?). Select the links above the Event Application Information pane to quickly navigate to each pane. Select the "Back To Top" link at the bottom of each pane to return to the top of the page.

Event Application Information

The Event Application Information pane displays the CITSS Entity ID, Legal Name, Operating Name, and an Event dropdown menu (Figure 8). Use the Event dropdown menu to select the event for which the entity is submitting an application.

Figure 8 Event Application Information Pane



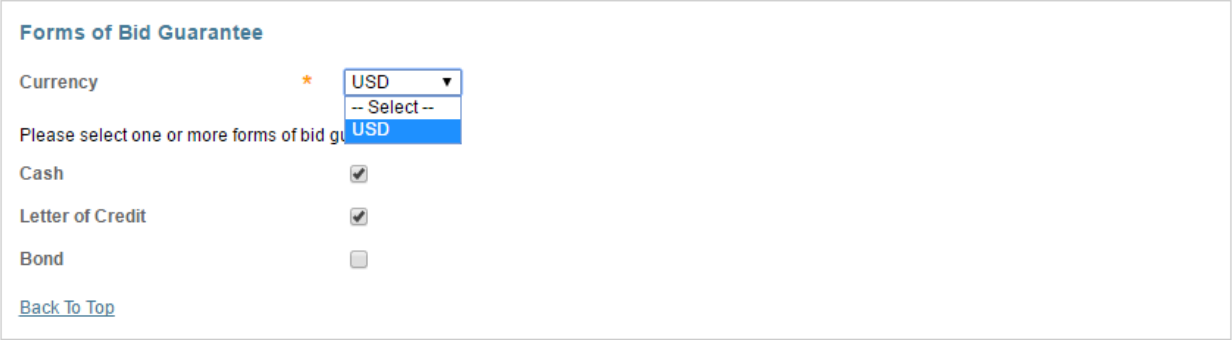
The Event dropdown menu will only display events that the entity is eligible to participate in during the open application period. For more information on event application periods, refer to event notices and to the Auction and Reserve Sale Activities Summary of Expected Dates on the ARB Auction Information webpage (https://www.arb.ca.gov/auction) and Reserve Sale Information webpage (https://www.arb.ca.gov/cc/capandtrade/reservesale/reservesale.htm).

Forms of Bid Guarantee and Currency Selection

In the Forms of Bid Guarantee pane (Figure 9), select the currency in which the entity's bid guarantee will be submitted and the form, or forms, of bid guarantee to be

submitted. Entities registered in the California Cap-and-Trade Program can only select United States Dollars (USD) in the Currency dropdown menu.

Figure 9 Forms of Bid Guarantee Pane



Select one or a combination of the allowable forms of bid guarantee to be submitted. Refer to the Detailed Auction Requirements and Instructions on the ARB Auction Information webpage (https://www.arb.ca.gov/auction) for guidance on submitting bid guarantees.

If cash is selected as a form of bid guarantee, instructions must be provided in the Bid Guarantee Return Instructions – Cash Bid Guarantee pane for return of funds via wire transfer. If a physical form of bid guarantee is selected, instructions must be provided in the Bid Guarantee Return Instructions – Physical Bid Guarantee pane for return of the bid guarantee.

Bid Guarantee Return Instructions - Cash Bid Guarantee

The Bid Guarantee Return Instructions – Cash Bid Guarantee pane is illustrated in Figure 10.

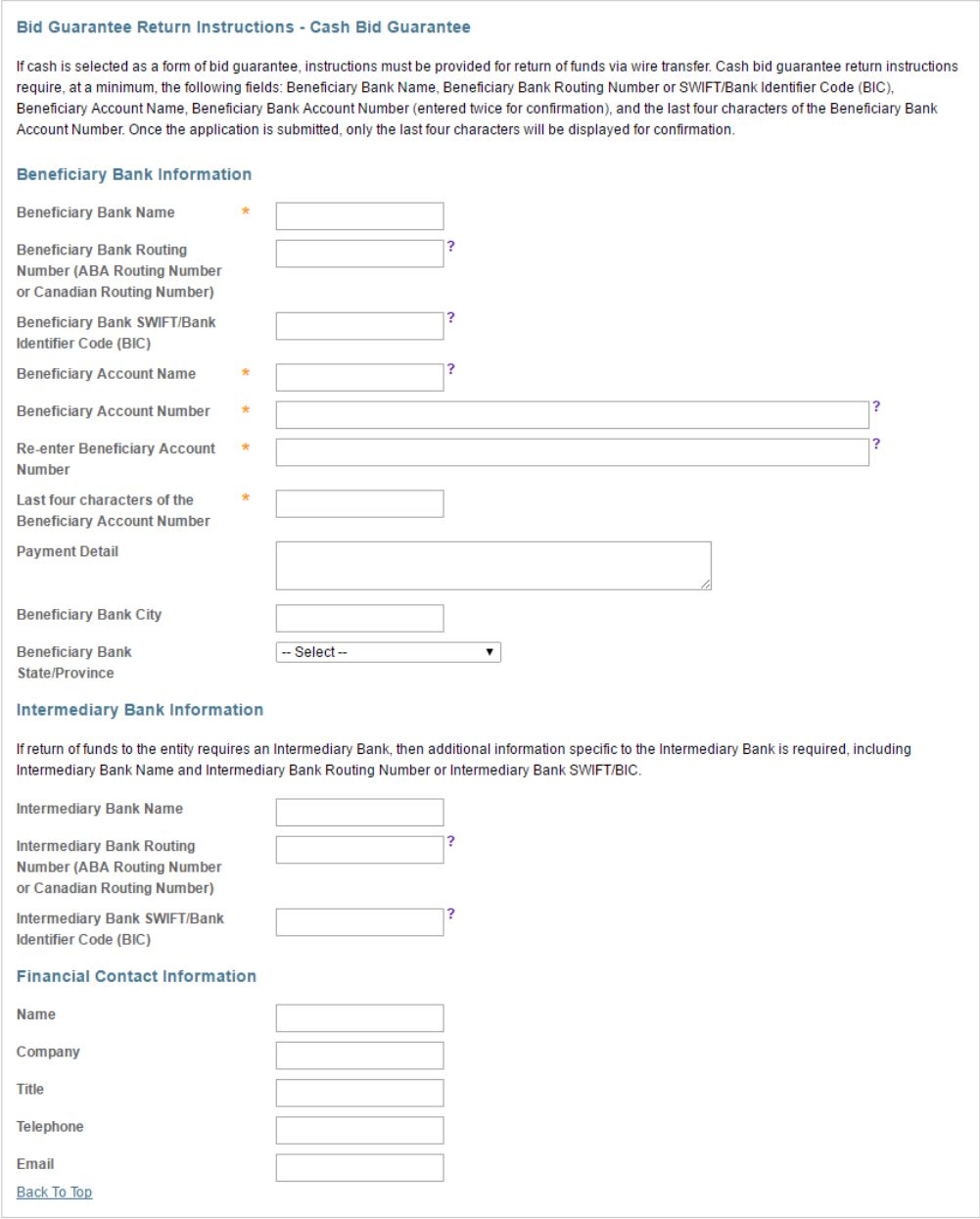
Cash bid guarantee return instructions require, at a minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation. If return of funds to the entity requires an Intermediary Bank, then additional information specific to the Intermediary Bank is required, including Intermediary Bank Name and Intermediary Bank Routing Number or Intermediary Bank SWIFT/BIC.

A SWIFT/BIC should be provided for international transfer of funds. If the Beneficiary Bank and the Financial Services Administrator returning funds are in the same country, a SWIFT/BIC is not required.

Use the Beneficiary Account Name field to enter identifying information such as Entity Legal Name to assist the Beneficiary Bank in identifying the wire transfer.

Note that if the “Cash” box in the Forms of Bid Guarantee pane is deselected, any fields that were completed in the Bid Guarantee Return Instructions – Cash Bid Guarantee pane will be cleared. Upon reselecting the “Cash” box, the cash bid guarantee return instructions will be blank.

Figure 10 Bid Guarantee Return Instructions – Cash Bid Guarantee Pane



Bid Guarantee Return Instructions - Cash Bid Guarantee

If cash is selected as a form of bid guarantee, instructions must be provided for return of funds via wire transfer. Cash bid guarantee return instructions require, at a minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation.

Beneficiary Bank Information

Beneficiary Bank Name *

Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number) ?

Beneficiary Bank SWIFT/Bank Identifier Code (BIC) ?

Beneficiary Account Name * ?

Beneficiary Account Number * ?

Re-enter Beneficiary Account Number * ?

Last four characters of the Beneficiary Account Number *

Payment Detail

Beneficiary Bank City

Beneficiary Bank State/Province -- Select --

Intermediary Bank Information

If return of funds to the entity requires an Intermediary Bank, then additional information specific to the Intermediary Bank is required, including Intermediary Bank Name and Intermediary Bank Routing Number or Intermediary Bank SWIFT/BIC.

Intermediary Bank Name

Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number) ?

Intermediary Bank SWIFT/Bank Identifier Code (BIC) ?

Financial Contact Information

Name

Company

Title

Telephone

Email

Back To Top

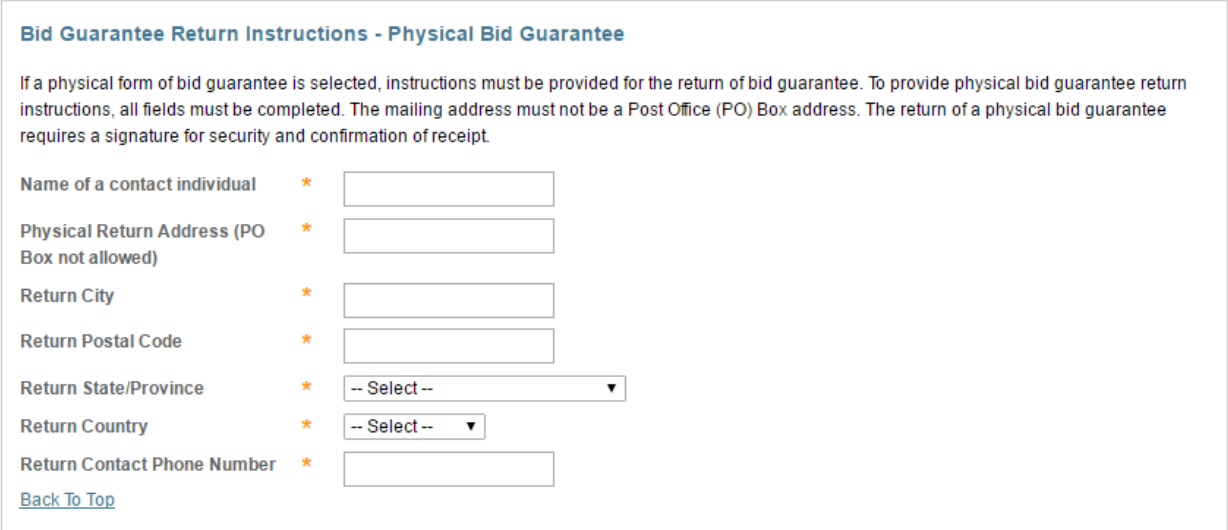
Bid Guarantee Return Instructions - Physical Bid Guarantee

The Bid Guarantee Return Instructions - Physical Bid Guarantee pane is illustrated in Figure 11.

To provide physical bid guarantee return instructions, all fields must be completed. Post Office (PO) Box addresses are not acceptable for a physical return address because the return of a physical bid guarantee requires a signature for security and confirmation of receipt.

Note that if the “Letter of Credit” or “Bond” box in the Forms of Bid Guarantee pane is deselected, any fields that were completed in the Bid Guarantee Return Instructions – Physical Bid Guarantee pane will be cleared. Upon reselecting the “Letter of Credit” or “Bond” box, the physical bid guarantee return instructions will be blank.

Figure 11 Bid Guarantee Return Instructions – Physical Bid Guarantee Pane



Attestation

In the Attestation pane, select “Yes” or “No” in response to the attestation requirement presented (Figure 12).

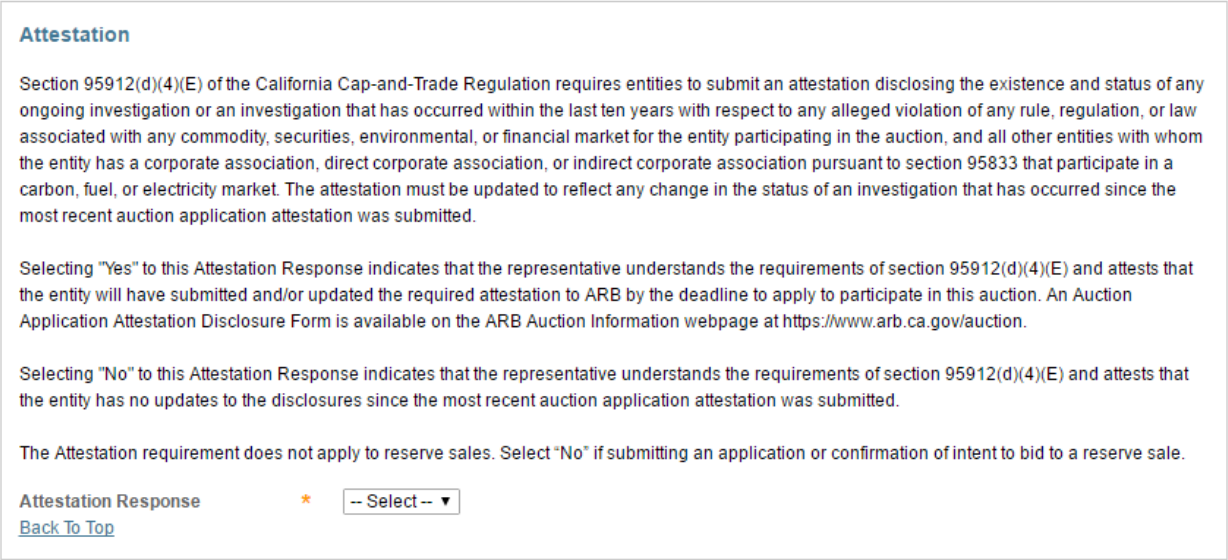
In addition to the attestation response in the Attestation pane, California entities must ensure that a proper Auction Attestation Disclosure has been submitted for the application to be considered complete. A California entity must submit an Auction Attestation Disclosure for the first auction that the entity participates in after November 2014. Additionally, the entity is required to disclose updates to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted.

A “Yes” answer in the Attestation pane indicates that you understand the Regulatory requirements and that you will submit or update the required attestation to ARB by the deadline to apply for the auction. A “No” answer in the Attestation pane indicates that you understand the Regulatory requirements and that you have no updates to the disclosures since the most recent auction application attestation was submitted.

A disclosure can be submitted using the Auction Application Attestation Disclosure Form available from the ARB Auction Information webpage. For further guidance on the Attestation, refer to the Detailed Auction Requirements and Instructions on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

The Attestation requirement does not apply to reserve sales. Select “No” if submitting an application to a reserve sale.

Figure 12 Attestation Pane (California Entities)



Attestation

Section 95912(d)(4)(E) of the California Cap-and-Trade Regulation requires entities to submit an attestation disclosing the existence and status of any ongoing investigation or an investigation that has occurred within the last ten years with respect to any alleged violation of any rule, regulation, or law associated with any commodity, securities, environmental, or financial market for the entity participating in the auction, and all other entities with whom the entity has a corporate association, direct corporate association, or indirect corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. The attestation must be updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity will have submitted and/or updated the required attestation to ARB by the deadline to apply to participate in this auction. An Auction Application Attestation Disclosure Form is available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity has no updates to the disclosures since the most recent auction application attestation was submitted.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application or confirmation of intent to bid to a reserve sale.

Attestation Response * -- Select --

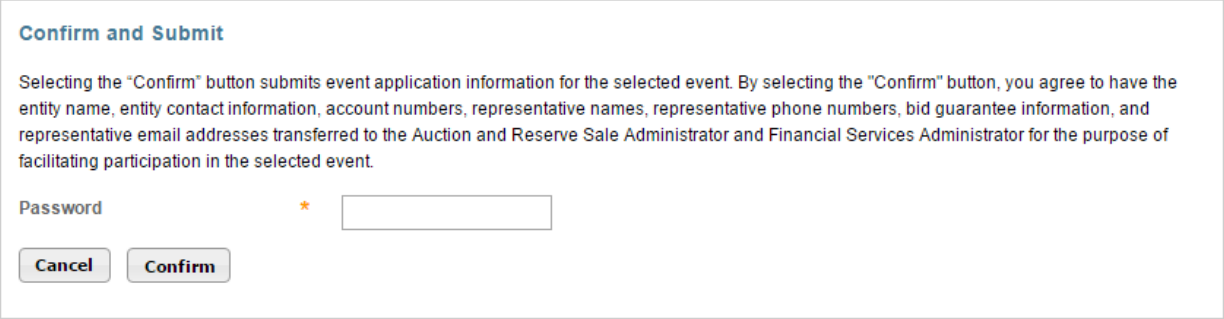
Back To Top

Confirm and Submit

To submit the event application, enter your CITSS password in the Confirm and Submit pane and select the “Confirm” button (Figure 13). By selecting the "Confirm" button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

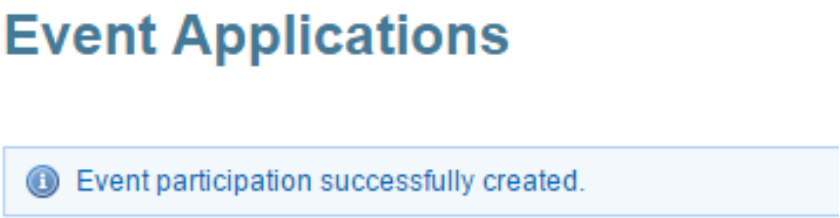
Select the “Cancel” button to cancel the event application. Any information that had been entered in the application will be cleared and you will be returned to the Auction tab.

Figure 13 Confirm and Submit Pane



After submitting an event application, the Event Applications page will be displayed with a message stating: “Event participation successfully created.” This message indicates that the event application has been submitted (Figure 14).

Figure 14 Event Participation Successfully Created



Creating Subsequent Event Applications

CITSS will maintain entity information from the entity’s most recently approved event application for each event type (i.e., auction and reserve sale) and prepopulate subsequent event applications using that information for the same event type. However, if the entity has only submitted applications to one event type (e.g., auctions), the entity’s first event application to the other event type (e.g., reserve sale) will be prepopulated with application information from the entity’s most recently approved event application, even though it is not the same event type.

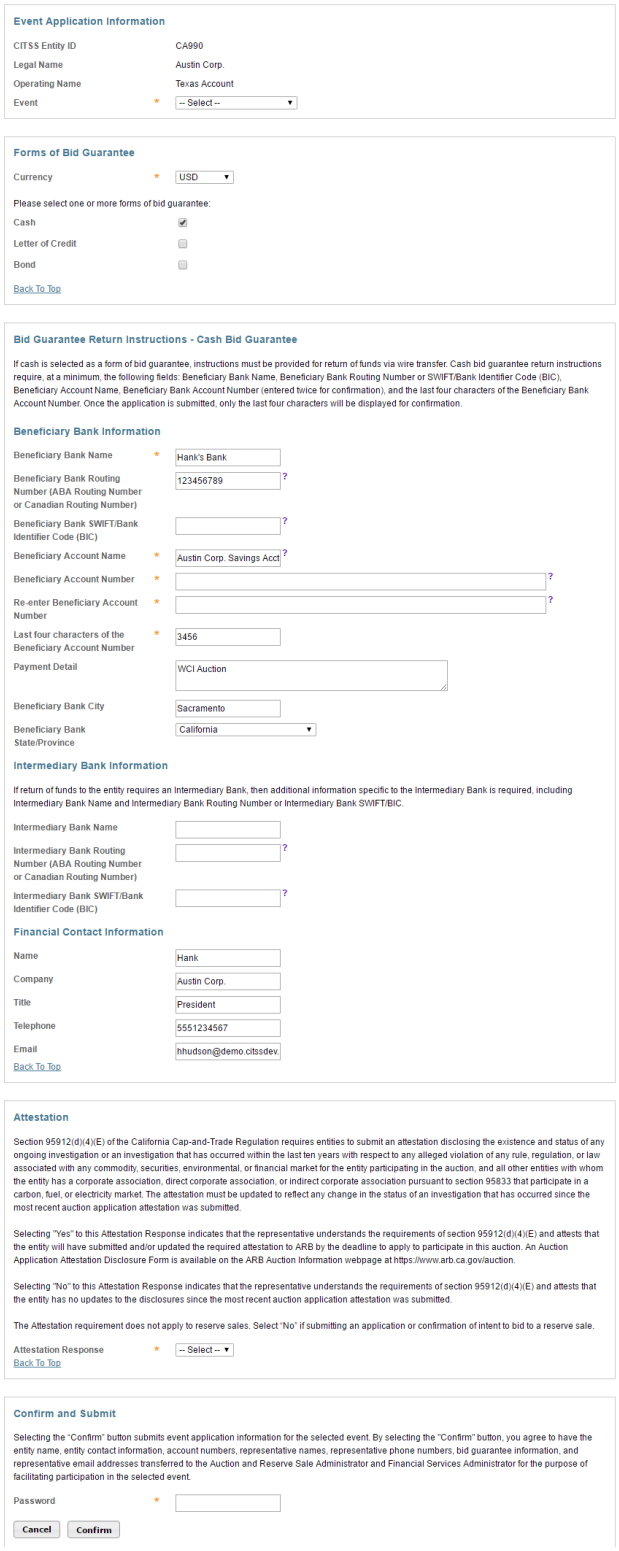
If the entity’s bid guarantee return instructions have not changed from the instructions provided in the most recently approved event application, the PAR or AAR will only

need to complete the Event selection, Attestation response, enter his or her password, and select the “Confirm” button to submit the event application.

A prepopulated event application is illustrated in Figure 15. In this example, the entity’s most recently approved event application information included cash bid guarantee return instructions. When an event application is prepopulated with cash bid guarantee return instructions, the Beneficiary Account Number and Re-enter Beneficiary Account Number fields will be blank (Figure 16). CITSS does not store beneficiary account numbers once they have been transmitted to the Financial Services Administrator and the event is closed.

The Last four characters of the Beneficiary Account Number field will be prepopulated with the last four characters of the account number that the Financial Services Administrator has on file from the most recently approved event application. When submitting an event application that has been prepopulated, leave the Beneficiary Account Number field blank if there is no change in the account number from what was previously submitted. If the account number needs to be updated, enter the new information in the Beneficiary Account Number field. If a new Beneficiary Account Number is entered, re-enter the account number in the Re-enter Beneficiary Account Number field, and update the last four characters of the account number in the last four characters of the Beneficiary Account Number field.

Figure 15 Event Application Prepopulated



Event Application Information

CITSS Entity ID: CA990
Legal Name: Austin Corp.
Operating Name: Texas Account
Event *: -- Select --

Forms of Bid Guarantee

Currency *: USD

Please select one or more forms of bid guarantee:

Cash: ☑
Letter of Credit: ☐
Bond: ☐

Back To Top

Bid Guarantee Return Instructions - Cash Bid Guarantee

If cash is selected as a form of bid guarantee, instructions must be provided for return of funds via wire transfer. Cash bid guarantee return instructions require, at a minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation.

Beneficiary Bank Information

Beneficiary Bank Name *: Hank's Bank
Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number): 123456789 ?
Beneficiary Bank SWIFT/Bank Identifier Code (BIC): ?
Beneficiary Account Name *: Austin Corp. Savings Acct ?
Beneficiary Account Number *: ?
Re-enter Beneficiary Account Number *: ?
Last four characters of the Beneficiary Account Number *: 3456
Payment Detail: WCI Auction
Beneficiary Bank City: Sacramento
Beneficiary Bank State/Province: California

Intermediary Bank Information

If return of funds to the entity requires an Intermediary Bank, then additional information specific to the Intermediary Bank is required, including Intermediary Bank Name and Intermediary Bank Routing Number or Intermediary Bank SWIFT/BIC.

Intermediary Bank Name:
Intermediary Bank Routing Number (ABA Routing Number or Canadian Routing Number): ?
Intermediary Bank SWIFT/Bank Identifier Code (BIC): ?

Financial Contact Information

Name: Hank
Company: Austin Corp.
Title: President
Telephone: 5551234567
Email: hhudson@demo.citssdev.

Back To Top

Attestation

Section 95912(d)(4)(E) of the California Cap-and-Trade Regulation requires entities to submit an attestation disclosing the existence and status of any ongoing investigation or an investigation that has occurred within the last ten years with respect to any alleged violation of any rule, regulation, or law associated with any commodity, securities, environmental, or financial market for the entity participating in the auction, and all other entities with whom the entity has a corporate association, direct corporate association, or indirect corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. The attestation must be updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity will have submitted and/or updated the required attestation to ARB by the deadline to apply to participate in this auction. An Auction Application Attestation Disclosure Form is available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity has no updates to the disclosures since the most recent auction application attestation was submitted.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application or confirmation of intent to bid to a reserve sale.

Attestation Response *: -- Select --

Back To Top

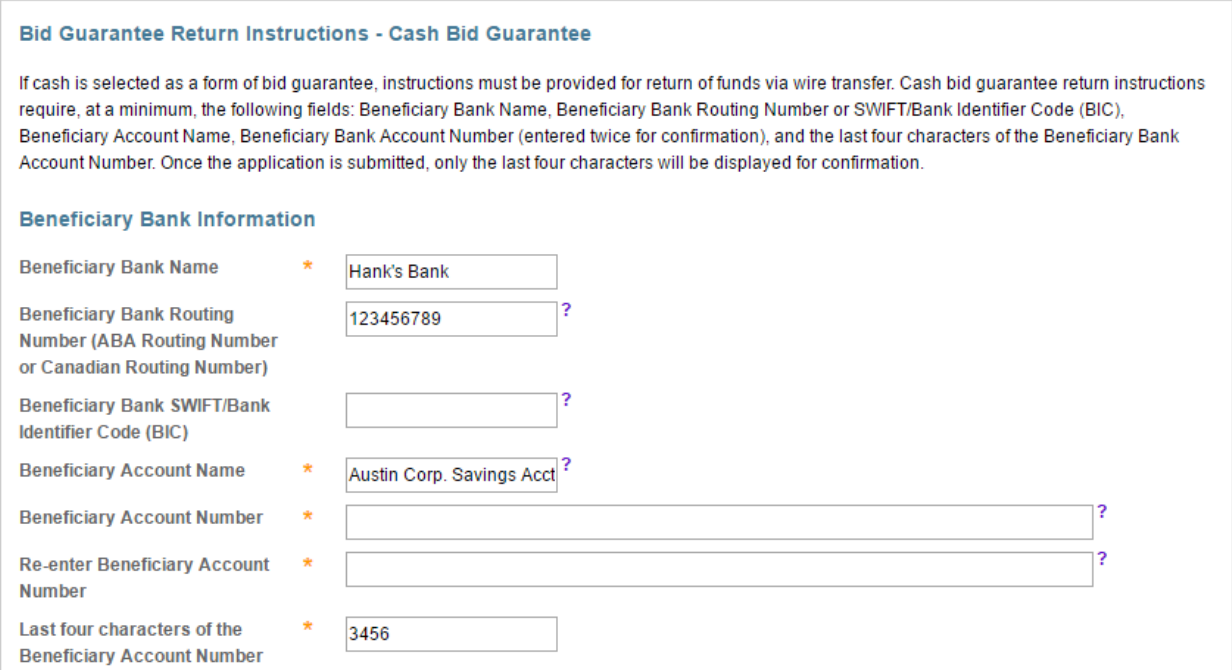
Confirm and Submit

Selecting the "Confirm" button submits event application information for the selected event. By selecting the "Confirm" button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

Password *:

Cancel | Confirm

Figure 16 Cash Bid Guarantee Return Instructions Prepopulated



Bid Guarantee Return Instructions - Cash Bid Guarantee

If cash is selected as a form of bid guarantee, instructions must be provided for return of funds via wire transfer. Cash bid guarantee return instructions require, at a minimum, the following fields: Beneficiary Bank Name, Beneficiary Bank Routing Number or SWIFT/Bank Identifier Code (BIC), Beneficiary Account Name, Beneficiary Bank Account Number (entered twice for confirmation), and the last four characters of the Beneficiary Bank Account Number. Once the application is submitted, only the last four characters will be displayed for confirmation.

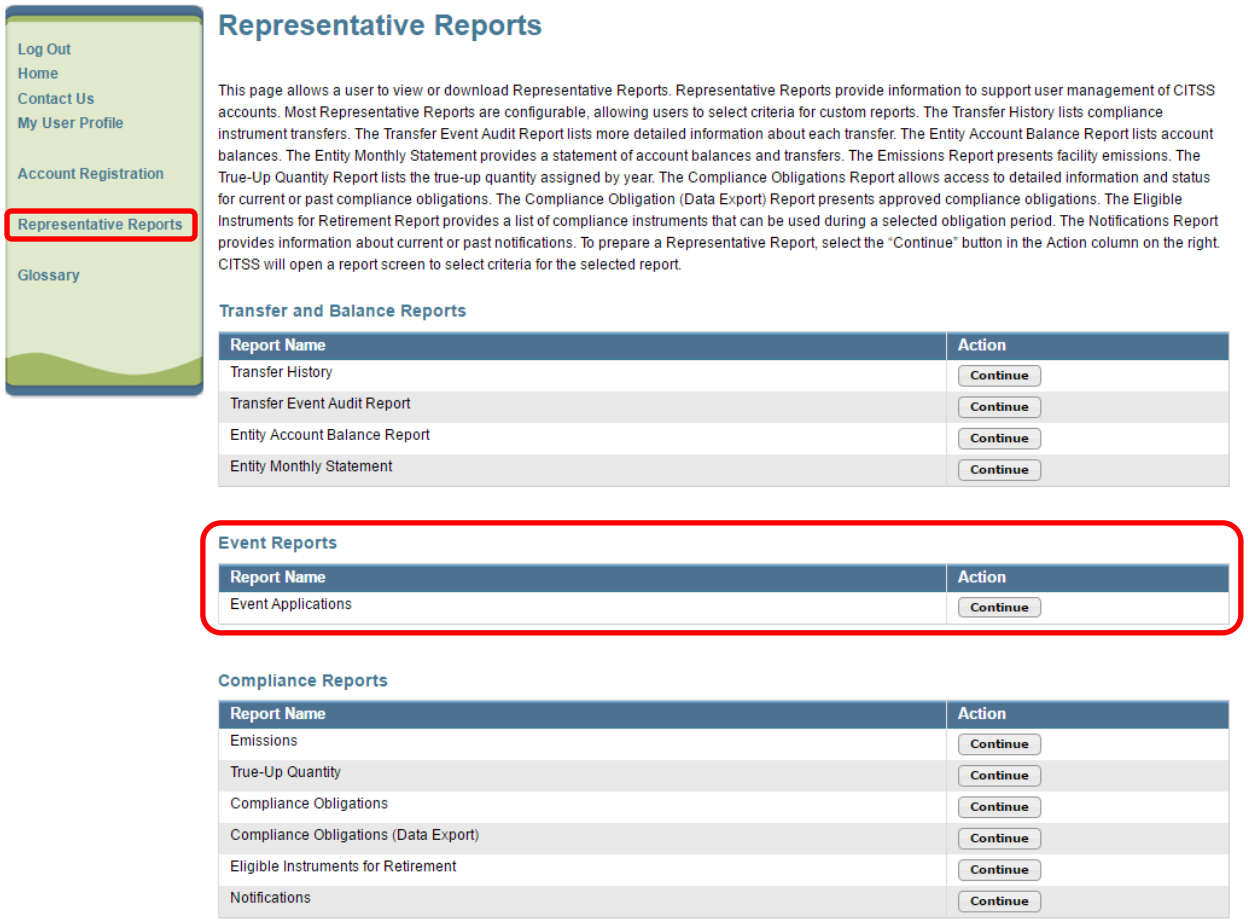
Beneficiary Bank Information

Beneficiary Bank Name	*	Hank's Bank
Beneficiary Bank Routing Number (ABA Routing Number or Canadian Routing Number)		123456789 ?
Beneficiary Bank SWIFT/Bank Identifier Code (BIC)		?
Beneficiary Account Name	*	Austin Corp. Savings Acct ?
Beneficiary Account Number	*	?
Re-enter Beneficiary Account Number	*	?
Last four characters of the Beneficiary Account Number	*	3456

Reviewing and Editing an Event Application

Current and past event applications can be accessed on the Event Applications page. To access the Event Applications page, select “Representative Reports” on the Main Menu, and then under the Event Reports section select the “Continue” button for Event Applications (Figure 17). The Event Applications page can also be accessed by selecting the “View Event Applications” button on the Auction tab on the Account Detail page (Figure 5).

Figure 17 Representative Reports – Event Applications



Event Applications Page

The Event Applications page allows a representative to view event applications for current or past auctions and reserve sales (Figure 18). Select the "Current" tab to view event applications for current events. Select the "Past" tab to view event applications for past events. Events move from the "Current" tab to the "Past" tab once the bidding window for the event has closed.

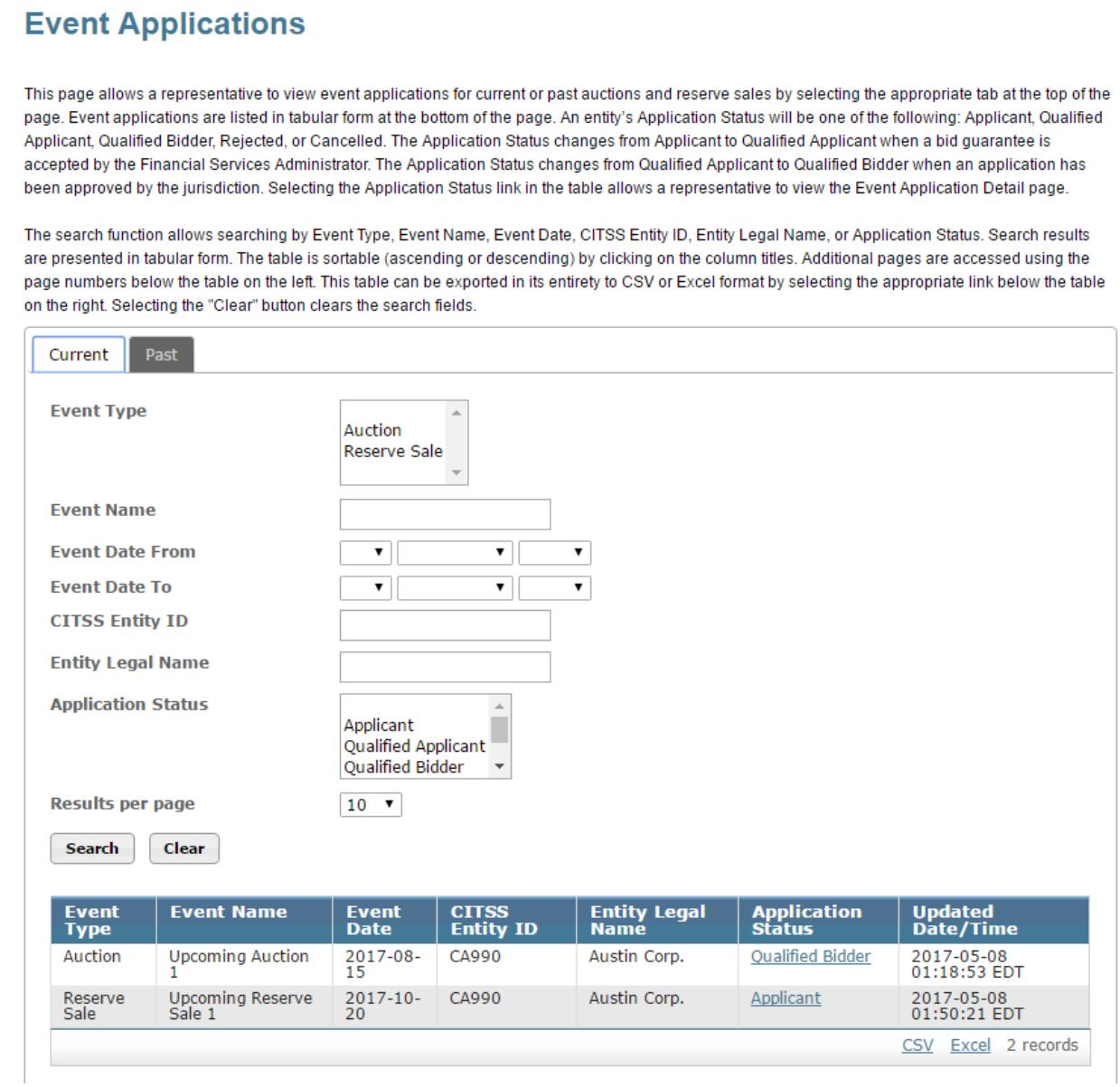
Event applications are listed in tabular form at the bottom of the page. To filter the list of event applications in the table, select an Event Type from the selection box, enter an Event Name, Event Date, CITSS Entity ID, Entity Legal Name, and/or select an Application Status from the selection box, and select the "Search" button. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left.

Select the “Clear” button to remove the search filters and display all event applications in the table.

Select the “CSV” or “Excel” link to export the table in its entirety to CSV or Excel format.

Select the Application Status link in the table to view the Event Application Detail page.

Figure 18 Event Applications Page



Event Applications

This page allows a representative to view event applications for current or past auctions and reserve sales by selecting the appropriate tab at the top of the page. Event applications are listed in tabular form at the bottom of the page. An entity's Application Status will be one of the following: Applicant, Qualified Applicant, Qualified Bidder, Rejected, or Cancelled. The Application Status changes from Applicant to Qualified Applicant when a bid guarantee is accepted by the Financial Services Administrator. The Application Status changes from Qualified Applicant to Qualified Bidder when an application has been approved by the jurisdiction. Selecting the Application Status link in the table allows a representative to view the Event Application Detail page.

The search function allows searching by Event Type, Event Name, Event Date, CITSS Entity ID, Entity Legal Name, or Application Status. Search results are presented in tabular form. The table is sortable (ascending or descending) by clicking on the column titles. Additional pages are accessed using the page numbers below the table on the left. This table can be exported in its entirety to CSV or Excel format by selecting the appropriate link below the table on the right. Selecting the "Clear" button clears the search fields.

Current | Past

Event Type: Auction, Reserve Sale

Event Name

Event Date From

Event Date To

CITSS Entity ID

Entity Legal Name

Application Status: Applicant, Qualified Applicant, Qualified Bidder

Results per page: 10

Search | Clear

Event Type	Event Name	Event Date	CITSS Entity ID	Entity Legal Name	Application Status	Updated Date/Time
Auction	Upcoming Auction 1	2017-08-15	CA990	Austin Corp.	Qualified Bidder	2017-05-08 01:18:53 EDT
Reserve Sale	Upcoming Reserve Sale 1	2017-10-20	CA990	Austin Corp.	Applicant	2017-05-08 01:50:21 EDT

CSV Excel 2 records

Application Status and Email Notifications

An entity's Application Status will be one of the following:

- **Applicant:** the application has been submitted by a PAR or AAR.
- **Qualified Applicant:** a bid guarantee has been accepted by the Financial Services Administrator.
- **Qualified Bidder:** the application has been approved by the jurisdiction.
- **Rejected:** the application has been rejected by the jurisdiction.
- **Cancelled:** the application has been cancelled by a PAR or AAR.

The PAR and all AARs will receive an email from CITSS with the subject line "CITSS Event Application Update" when there is a change to the application status.

The PAR and all AARs will receive an email from CITSS with the subject line "CITSS Event Financial Services Information Update" when there is an update to the entity's financial services account number or bid guarantee information. Note that the PAR and AARs will receive this email when there is a change to Qualified Applicant because this status is associated with the acceptance of a bid guarantee by the Financial Services Administrator.

Event Application Detail Page

The Event Application Detail page presents the event application information, forms of bid guarantee, bidding limitation data, bid guarantee return instructions, attestation response, and event application status history for the selected application.

Bidding Limitation Data

The bidding limitation data presented on the Event Application Detail page includes the bid guarantee value, holding limits applicable to the Current Auction and Advance Auction, and purchase limits applicable to the Current Auction and Advance Auction (Figure 19).

Figure 19 Bidding Limitation Data

Forms of Bid Guarantee

Currency	USD
Form(s) of Bid Guarantee to be Submitted	Cash

Bidding Limitation Data

Cash Bid Guarantee Value	$10,000,000.00
Physical Bid Guarantee Value	
Total Bid Guarantee	$10,000,000.00
Holding Limit Current Vintage Allowances	2782750
Holding Limit Future Vintage Allowances	2557500
Purchase Limit Current Auction	37500
Purchase Limit Future Auction	62500

The bid guarantee values displayed will reflect the bid guarantees that have been accepted by the Financial Services Administrator.

The holding limit is the maximum number of allowances that may be held by an entity or jointly held by a group of entities with a direct corporate association. The holding limit applicable to the Current Auction is the current year holding limit. The holding limit applicable to the Advance Auction is the future year holding limit corresponding to the vintage of allowances offered in the Advance Auction.

For an entity with one or more direct corporate associations, the entity holding limit is the maximum number of allowances the entity may hold based on the allocation of the holding limit among associated entities. For the current year holding limit, the maximum number of allowances an entity can hold at one time equals the holding limit plus the limited exemption. For allowances to be counted towards an entity's limited exemption, they must be held in the entity's compliance account. The Holding Limits tab on the Account Detail page provides the entity current year holding limit, the limited exemption applicable to the current year holding limit, and future year holding limits by vintage. The total allowances an entity can obtain and remain in compliance with an entity holding limit is provided as "Available" in the Entity Holding Limit sections. The

total allowances an entity can obtain to take full advantage of the limited exemption and remain in compliance with the entity holding limit is provided as “Available” in the Limited Exemption section.

The “Holding Limit Current Vintage Allowances” displayed on the Event Application Detail page is equal to the “Available” entity holding limit plus “Available” limited exemption in the Current Year Holding Limit section on the Holding Limits tab.

The “Holding Limit Future Vintage Allowances” displayed on the Event Application Detail page is equal to the “Available” entity holding limit for the future year corresponding to the vintage of allowances offered in the Advance Auction in the Future Year Holding Limits section on the Holding Limits tab.

The holding limits applicable to an event will be based on CITSS account balances and limited exemption data available in CITSS at approximately 9:00 AM PT / 12:00 PM (Noon) ET the day prior to the event. Prior to this time, the holding limit data displayed on the Event Application Detail page will reflect CITSS account balances in real time. After this time, the holding limit data displayed on the Event Application Detail page will remain static.

Refer to the Auction Examples available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction for further guidance on how bidding limitations apply to an auction.

Editing an Event Application

Event applications can be edited before the application period has closed. An “Edit Application” button is available at the top of the Event Application Detail page during the application period (Figure 20). Select the “Edit Application” button to access the Edit Event Application page (Figure 21). Make any necessary edits to the application information, enter your password, and select the “Resubmit” button at the bottom of the page. This will submit the edited event application.

Figure 20 Edit Application Button

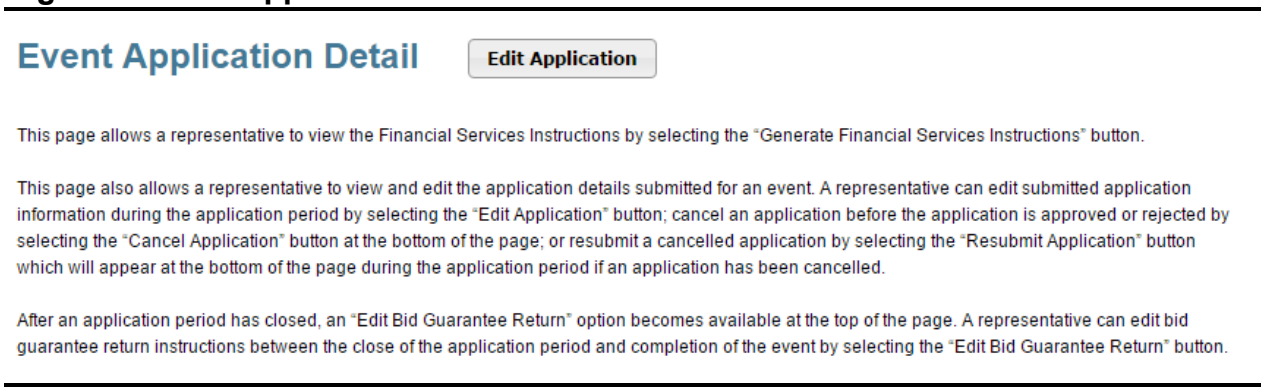


Figure 21 Edit Event Application Page

Edit Event Application

This page allows a representative to edit an event application. The representative may update the form of bid guarantee to be submitted, return instructions for the bid guarantee, and the responses to the attestation and material change questions. After entering updates, select the "Resubmit" button.

Bid Guarantee Bid Guarantee Physical Attestation Submit

Event Application Information

CITSS Entity ID	CA990
Legal Name	Austin Corp.
Operating Name	Texas Account
Event Name	Upcoming Auction 1

Forms of Bid Guarantee

Currency * USD

Please select one or more forms of bid guarantee:

Cash ☐

Letter of Credit ☑

Bond ☐

Back To Top

Bid Guarantee Return Instructions - Physical Bid Guarantee

If a physical form of bid guarantee is selected, instructions must be provided for return of the bid guarantee. To provide physical bid guarantee return instructions, all fields must be completed. The mailing address cannot be a Post Office (PO) Box address. The return of a physical bid guarantee requires a signature for security and confirmation of receipt.

Name of a contact individual	*	Hank
Physical Return Address (PO Box not allowed)	*	123 Street
Return City	*	Sacramento
Return Postal Code	*	95811
Return State/Province	*	California
Return Country	*	United States
Return Contact Phone Number	*	5551234567

Back To Top

Attestation

Section 95912(d)(4)(E) of the California Cap-and-Trade Regulation requires entities to submit an attestation disclosing the existence and status of any ongoing investigation or an investigation that has occurred within the last ten years with respect to any alleged violation of any rule, regulation, or law associated with any commodity, securities, environmental, or financial market for the entity participating in the auction, and all other entities with whom the entity has a corporate association, direct corporate association, or indirect corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. The attestation must be updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted.

Selecting "Yes" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity will have submitted and/or updated the required attestation to ARB by the deadline to apply to participate in this auction. An Auction Application Attestation Disclosure Form is available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction.

Selecting "No" to this Attestation Response indicates that the representative understands the requirements of section 95912(d)(4)(E) and attests that the entity has no updates to the disclosures since the most recent auction application attestation was submitted.

The Attestation requirement does not apply to reserve sales. Select "No" if submitting an application or confirmation of intent to bid to a reserve sale.

Attestation Response * Yes

Back To Top

Selecting the "Resubmit" button submits event application information for the selected event. By selecting the "Resubmit" button, you agree to have the entity name, entity contact information, account numbers, representative names, representative phone numbers, bid guarantee information, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in the selected event.

Password *

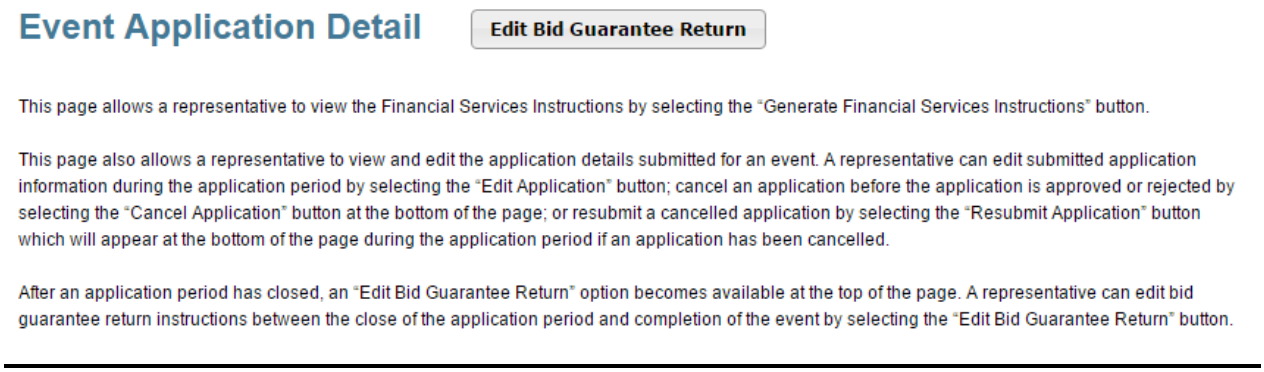
Cancel Resubmit

Editing Bid Guarantee Return Instructions

Bid guarantee return instructions can be edited before or after the application period has closed. To edit bid guarantee return instructions before the application period has closed, follow the process to edit the event application as described above.

After the application period has closed, an “Edit Bid Guarantee Return” button will appear at the top of the Event Application Detail page (Figure 22). Select the “Edit Bid Guarantee Return” button to access the Edit Bid Guarantee Return page. The Edit Bid Guarantee Return page resembles the Edit Event Application page, but only allows the forms of bid guarantee and bid guarantee return instructions fields to be edited. Make any necessary edits to the forms of bid guarantee and bid guarantee return instructions, enter your password, and select the “Resubmit” button at the bottom of the page. This will submit the edited bid guarantee return instructions.

Figure 22 Edit Bid Guarantee Return Button



Financial Services Delivery Instructions

The Financial Services Delivery Instructions include the information needed to submit a bid guarantee, including the Financial Services Account Number, which must be referenced when submitting a bid guarantee to the Financial Services Administrator, as well as wiring instructions for submitting cash by wire transfer and mailing instructions for submitting physical bid guarantee instruments.

Select the “Generate Financial Services Instructions” button on the Event Application Detail page (Figure 23) to access the Auction and Reserve Sale Financial Services Delivery Instructions page (Figure 24).

Figure 23 Generate Financial Services Button

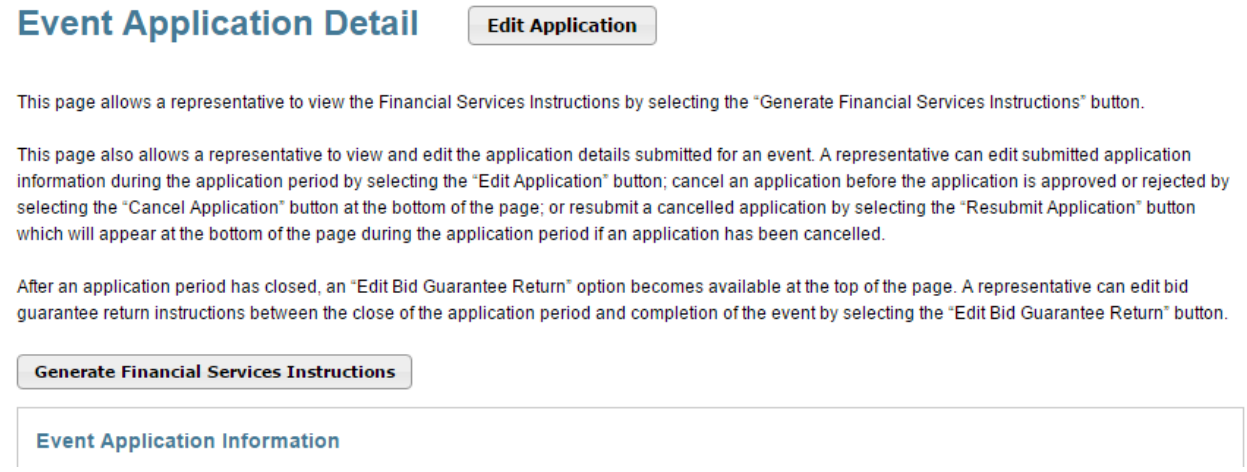


Figure 24 Financial Services Delivery Instructions Page

Auction and Reserve Sale Financial Services Delivery Instructions

The Financial Services Delivery Instructions provide information needed to submit a bid guarantee and submit payment for allowances awarded following an event. The instructions include wiring instructions for submitting cash by wire transfer and instructions for submitting a physical bid guarantee. The entity's Financial Services Account Number will be populated in both the Financial Services Account Number field and the Port field once the Financial Services Administrator has established or verified the entity's account.

Bid Guarantee

Financial Services Account Name	Austin Corp.
Financial Services Account Number	
Total Bid Guarantee	
Currency	USD

Instructions for Wiring USD

Bank Name	Deutsche Bank Trust Company Americas
Routing Number	021001033 - New York NY
SWIFT/Bank Identifier Code (for financial institutions outside US)	BKTRUS33
City	New York
State/Province	New York
DDA Number	01419647
Beneficiary	Trust And Agency Services
Payment Details	WCI Auction
Port	

Mailing Instructions for Physical Bid Guarantee

Payable to	Deutsche Bank National Trust Company

Mailing Address

Name	Auction and Reserve Sale Financial Services Administrator
C/O	C/O Deutsche Bank Trust Company Americas
Address 1	60 Wall Street, 16th Floor
Address 2	Mail Stop: NYC60-1630
City	New York
State/Province	New York
Postal Code	10005-2836

Directions

Please include your CITSS Entity Legal Name or Individual Name if a General Market Participant, Individual, and Financial Services Account Number when mailing the bid guarantee forms. For questions on bid guarantee submittal or the financial settlement process, please contact Deutsche Bank National Trust Company at db.wcisupport@db.com. For additional contact information, please see the Auction Notice.

Note that the Financial Services Account Number and Port fields will be blank until the Financial Services Administrator has established or verified the entity's financial services account. The PAR and all AARs will receive an email from CITSS with the subject line "CITSS Event Financial Services Information Update" when the financial services account number becomes available on this page.

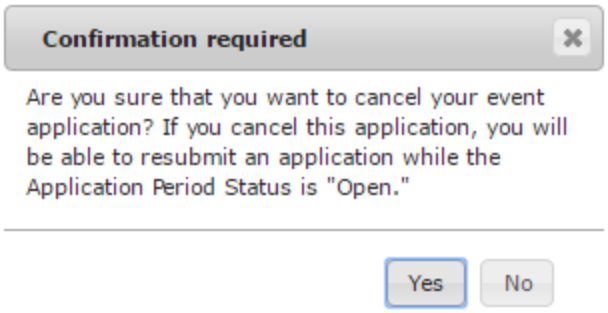
Refer to the Auction Notice and Detailed Auction Requirements and Instructions available on the ARB Auction Information webpage at https://www.arb.ca.gov/auction for further guidance on submitting a bid guarantee.

Cancelling an Event Application

Event applications can be cancelled by the PAR or an AAR before the application has been approved or rejected. Select the "Cancel Application" button at the bottom of the Event Application Detail page to cancel the event application (Figure 25). A confirmation pop-up message will be presented after selecting the "Cancel Application" button (Figure 26). Select "Yes" to cancel the application; select "No" to return to the Event Application Detail page without cancelling the application.

Figure 25 Cancel Application Button

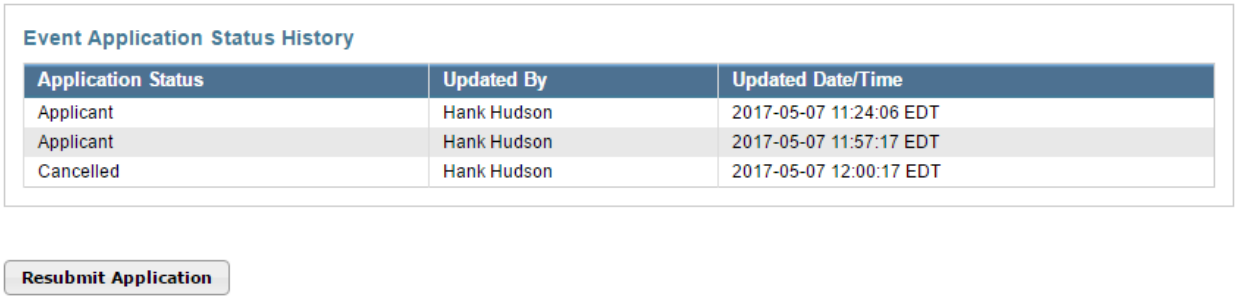
Figure 26 Cancel Application Confirmation



Resubmitting an Event Application

If an application has been cancelled and the application period is still open, a “Resubmit Application” button will appear at the bottom of the Event Application Detail page (Figure 27). Select the “Resubmit Application” button to resubmit the event application. This will resubmit the application information displayed on the Event Application Detail page, without allowing the user to edit the information.

Figure 27 Resubmit Application Button



Event Application Status History

Application Status	Updated By	Updated Date/Time
Applicant	Hank Hudson	2017-05-07 11:24:06 EDT
Applicant	Hank Hudson	2017-05-07 11:57:17 EDT
Cancelled	Hank Hudson	2017-05-07 12:00:17 EDT

Resubmit Application

Editing and Resubmitting an Event Application

To edit a cancelled application prior to resubmitting it during the application period, select the “Edit Application” button at the top of the Event Application Detail page (Figure 20). The Edit Event Application page will be displayed (Figure 21). Make any necessary edits to the application information, and then select the “Resubmit” button at the bottom of the Edit Event Application page. This will resubmit the application with the edited application information.