

CAP-AND-TRADE UTILITY DISCLOSURE FORM

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This form can be used to provide CARB with the information required by section 95914(c)(2)(D) of the Cap-and-Trade Regulation (Regulation).

Section 95914(c)(1) of the Regulation prohibits the disclosure of information related to an entity's auction participation. Section 95914(c)(2) provides a list of limited exceptions to the prohibition. One of the exceptions allows disclosure by privately-owned utilities that are required to do so by a regulatory agency (section 95914(c)(2)(D)), and requires those utilities to report to the Executive Officer within 10 business days of making the disclosure. Entities qualifying for the exception in section 95914(c)(2)(D) may complete this form and return it to the Executive Officer within 10 business days of making the disclosure to satisfy the reporting requirement.

Handwritten and electronic signatures are accepted. If using an electronic signature, this should be done by copying and pasting a scanned version of your signature. A "type-in" name in lieu of an electronic signature cannot be accepted. This form may be e-mailed to CACITSSRegistrar@arb.ca.gov or printed and mailed to the California Air Resources Board at the following address: Attn: California Air Resources Board, CITSS Account-Utility Disclosure, 1001 I Street, 6th Floor, Sacramento, CA 95814.

ENTITY INFORMATION

Complete the Entity Information page only once for each filing, even if reporting multiple disclosures.

ENTITY ACCOUNT INFORMATION

CITSS Entity ID Number:
Legal Name:
Operating Name:

ATTESTATION BY THE ACTIVE PAR OR AN ACTIVE AAR

The attestation language below is provided pursuant to section 95832(d).

By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have read and acknowledge the prohibition of sharing information with other auction participants contained in section 95914(c) of the Cap-and-Trade Regulation. I certify under penalty of perjury under the laws of the State of California that I am authorized to make this submission on behalf of the entity that owns the compliance instruments held in the account. I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information, including the possibility of fine or imprisonment.

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Print Name:	Title:
Signature:	Date:

DISCLOSURE EVENT DETAILS

Complete one Disclosure Event Details page for each disclosure made.

SECTION 1.0: TIMING OF AUCTION INFORMATION DISCLOSURE

Date of Disclosure:
Date of Auction for which information was disclosed:

SECTION 2.0: TYPE OF INFORMATION DISCLOSED

Options provided pursuant to 95914(c)(1). Check the box next to the option(s) that describe the information that was disclosed.

<input type="checkbox"/> Intention to participate or not participate
<input type="checkbox"/> Auction approval status
<input type="checkbox"/> Bidding strategy
<input type="checkbox"/> Bid price or quantity
<input type="checkbox"/> Bid guarantee details

SECTION 3.0: GENERAL DESCRIPTION OF DISCLOSURE (PRESENTATION, REPORT, FILING, ETC.)

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SECTION 4.0: IDENTIFICATION OF STATUTE, RULE, ORDER, DECISION OR RULING REQUIRING THE DISCLOSURE

Regulatory agency requiring the information:
Statutory or legal reference; or order, decision, or ruling:
Proceeding in which disclosure made, if applicable: