

## CAP-AND-TRADE CONSULTANT OR ADVISOR IDENTIFICATION OF BID ADVISOR RELATIONSHIPS FORM

ISD/CCPEB-133 (REV. 02/2022) PAGE 1 OF 3

### BID ADVISOR FORM INSTRUCTIONS

A registered entity is required to disclose when it retains the services of a Cap-and-Trade Consultant or Advisor pursuant to section 95923 of the [Cap-and-Trade Regulation](#). For Cap-and-Trade Consultants and Advisors, there are additional self-disclosure requirements that may apply if these individuals provide services regarding bidding strategy pursuant to section 95914(c)(3)(C). This type of Cap-and-Trade Consultant or Advisor will be referred within this form as a “Bid Advisor.”

This form can be used by a Bid Advisor to meet the disclosure requirements of section 95914(c)(3)(C). You may complete and attach as many Addendums as required to disclose every entity which receives bid strategy advice and services. If multiple Addendums are completed, the Addendums must be accompanied with a signed attestation that is provided in Section 3.0 of this form. For electronic submissions, additional Addendums should be sent with this completed form in the same email. For hardcopy mail, this form and additional Addendums should be submitted in the same envelope.

### AUCTION OR RESERVE SALE PARTICIPANT (REGISTERED ENTITY) REQUIREMENTS

A registered entity is required to disclose Cap-and-Trade Consultants or Advisors within 30 days of entering into a contract or when there is a change to the information already disclosed pursuant to section 95923. An entity may complete these disclosures using the [Corporate Associations and Structure Disclosure Form #3](#). Furthermore, section 95914(c)(3) of the Cap-and-Trade Regulation (Regulation) requires that any entity participating in an auction or reserve sale that has retained the services of a Cap-and-Trade Consultant or Advisor (Consultant or Advisor) regarding auction or reserve sale bidding strategy must complete the following:

- The entity must ensure against the Consultant or Advisor transferring information to other auction participants or coordinating the bidding strategy among participants;

The entity must inform the Consultant or Advisor of the prohibition of sharing information to other auction or reserve sale participants and ensure the advisor has read and acknowledged the prohibition under penalty of perjury.

### BID ADVISOR REQUIREMENTS

Section 95914(c)(3) requires a Cap-and-Trade Consultant or Advisor to separately provide CARB with the following information:

- Names of the entity(ies) participating in the Cap-and-Trade Program that are being advised;
- Description of advisory services being performed; and
- Assurance under penalty of perjury that the Consultant or Advisor is not transferring to or otherwise sharing information with other auction participants.

To inform CARB of an advisor relationship, the Bid Advisor may use this form to satisfy the disclosure requirement in section 95914(c)(3) by completing this form at least 15 days prior to the auction or reserve sale for which the Bid Advisor provides such services.

### SECTION 1.0: BID ADVISOR INFORMATION

Legal Name of Advisor:	Legal Name of Employer:
Bid Advisor Address:	Bid Advisor's Telephone:
Bid Advisor's Email:	

**CAP-AND-TRADE CONSULTANT OR ADVISOR IDENTIFICATION OF BID ADVISOR  
RELATIONSHIPS FORM**

**SECTION 2.0: ENTITY INFORMATION AND ADVISORY SERVICES**

If you are a Bid Advisor providing services to more than one registered entity, complete the relevant number of Addendums, and indicate the total number of pages in Section 3.0 Attestation of this form.

**Addendum #1**

Entity's Legal Name: (in CITSS)	Entity Operating Name: (in CITSS)	
CITSS Entity ID #: (if known)		
Description of Advisory Services. Select the box(es) that apply:		
<input type="checkbox"/> Bidding Strategy	<input type="checkbox"/> Bid Guarantee	<input type="checkbox"/> Bid Pricing or Quantity
Other (Describe):		
Date of Services: From: _____ To: _____		

**SECTION 3.0 ATTESTATION**

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 typed-in name in lieu of an electronic signature cannot be accepted.

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 also certify under penalty of perjury under the laws of the state of California that I am not transferring to or otherwise sharing information with other Cap-and-Trade auction participants. I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to CARB 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.

Print Name:
Signature:
Date:

**CAP-AND-TRADE CONSULTANT OR ADVISOR IDENTIFICATION OF BID ADVISOR  
RELATIONSHIPS FORM**

ISD/CCPEB-133 (REV. 02/2022) PAGE 3 OF 3

Total Entities Advised: # \_\_\_\_\_

If advising more than 1 entity, see [Addendum](#) To Bid Advisor Form.

**SECTION 4.0. TOTAL ADDENDUMS INCLUDED: #**

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The total Addendums submitted should match the total entities advised.

Per Section 95914(c)(3)(D) of the Cap-and-Trade Regulation, this information must be received at least 15 days prior to the referenced auction. This form may be submitted to CARB at [CACITSSRegistrar@arb.ca.gov](mailto:CACITSSRegistrar@arb.ca.gov), or you may mail the form and completed addendums to the address below:

California CARB  
Attn: Climate Change Program Evaluation Branch  
CITSS Entity Account Management  
1001 I Street, 6th Floor  
Sacramento, CA 95814