

CAP-AND-TRADE PROGRAM OPT-IN REQUEST FORM

PART I: ENTITY INFORMATION AND OPT-IN YEAR

Opt-In Year:	
Entity Legal Name:	Entity Operating Name:
CARB GHG Reporting ID:	Website Address:
Physical Address:	City/State/Zip Code:

PART II: CONTACT INFORMATION

Contact Person:	
Contact Telephone Number:	Contact Email Address:
Mailing Address:	City/State/Zip Code:

PART III: ENTITY ACTIVITY

NAICS Code:	Activity 1:	Activity 2:
NAICS Code:	Activity 1:	Activity 2:
NAICS Code:	Activity 1:	Activity 2:

PART IV: SIGNATURE

Submitting this information to the California Air Resources Board's (CARB) Executive Officer constitutes a request to become an opt-in covered entity within the Cap-and-Trade Program (Program). An opt-in covered entity is subject to all reporting and verification requirements, compliance obligations, and other requirements of covered entities from the date of opt-in until the entity fully exits the Program. Upon approval by CARB, a new opt-in covered entity must complete registration and maintain an account in the Compliance Instrument Tracking System Service.

By signing this form, I attest that I am a legal representative of the entity named in Part I, which is requesting to become an opt-in covered entity within the Cap-and-Trade Program, and that all information contained in this form is true, accurate, and complete.

Printed Name:	Title:
Signature:	Date:

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BACKGROUND

Section 95813 of the [Cap-and-Trade Regulation \(Regulation\)](#) describes the requirements for entities that elect to voluntarily opt-in to the Cap-and-Trade Program. Pursuant to section 95813(a), an entity that meets the requirements of section 95811 but does not exceed the applicable inclusion threshold in section 95812 may elect to voluntarily opt-in to the Program.

An entity must request approval from CARB's Executive Officer to voluntarily participate in the Program as an opt-in covered entity. CARB requests that any entity seeking to opt-in to the Program submit the information contained in this form to CARB.

SUBMITTING COMPLETED OPT-IN REQUEST FORMS

The deadlines for an entity to request to opt-in to the Program are as follows:

- Deadline for an entity not previously covered by the Program: Pursuant to section 95813(b), the deadline for an entity to request to opt-in to the Program is March 1 of the calendar year immediately preceding the first year in which it voluntarily elects to be subject to a compliance obligation.
- Deadline for an entity previously covered by the Program: Pursuant to section 95813(h), the deadline for a previously covered entity to request to opt-in to the Program if the entity's annual emissions drop below the inclusion thresholds set forth in section 95812 for each year of an entire compliance period is June 1 of the first year of the new compliance period immediately after the one in which the entity dropped below the inclusion thresholds.

Complete the information on the form, then either add an electronic signature to the form or print, sign, and scan the form. Submit the signed form via email to Allocation@arb.ca.gov.

If you choose to submit a hard copy version of the form, mail it to: California Air Resources Board, Opt-In Request, Climate Change Program Evaluation Branch, 6th Floor, 1001 "I" Street, Sacramento, CA 95814.

This Opt-In Request Form is available at CARB's Cap-and-Trade Program Guidance and Forms website:

<https://ww2.arb.ca.gov/our-work/programs/cap-and-trade-program/cap-and-trade-program-guidance-and-forms>

RESCINDING AN OPT-IN REQUEST FORM

Pursuant to section 95813(c), an entity that submits an opt-in request may rescind its request by October 1 of the calendar year prior to the first year in which it had voluntarily elected to be subject to the Program. To rescind an opt-in request, submit a letter by the October 1 deadline to Allocation@arb.ca.gov or via hard copy to California Air Resources Board, Opt-In Request, Climate Change Program Evaluation Branch, 6th Floor, 1001 "I" Street, Sacramento, CA 95814.

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INSTRUCTIONS

PART I: ENTITY INFORMATION AND OPT-IN YEAR

- Enter the opt-in year that the entity requests to opt-in to the Program. The opt-in year for a facility is the first year for which the facility will incur a compliance obligation.
- Enter the legal name and operating name of the entity requesting to opt-in to the Program. The legal name is that on record with the California Secretary of State. For the operating name, enter the name of the entity that is used to report pursuant to the Regulation for the Mandatory Reporting of Greenhouse Gas Emissions (MRR), if any.
- Enter the CARB GHG Reporting ID for the entity. This is the ID number used to report pursuant to MRR. If the entity does not yet have an CARB GHG Reporting ID, leave this field blank.
- Enter the website address for the entity, if any.
- Enter the physical address for the entity.

PART II: CONTACT INFORMATION

- Enter the name, email address, phone number, and mailing address of the person completing this form on behalf of the entity.

PART III: ENTITY ACTIVITY

- Enter the six-digit NAICS code(s) under which the entity operates. The North American Industry Classification System (NAICS) code is the standard used by federal statistical agencies to classify business establishments. NAICS codes and associated industrial activities for which CARB has assessed emissions leakage risk can be found in Table 8-1 of the Regulation. If the entity conducts multiple activities that fall under different NAICS codes, enter additional six-digit NAICS codes as appropriate. Descriptions of six-digit NAICS codes can be found at <https://www.census.gov/eos/www/naics>.
- Enter the activities conducted by the entity under each NAICS code. NAICS codes and associated industrial activities for which CARB has assessed emissions leakage risk of leakage can be found in Table 8-1 of the Regulation. Only enter an activity if it is listed in Table 8-1. If the entity does not conduct an activity listed in Table 8-1, leave the activity fields blank.

PART IV: SIGNATURE

Sign and date the form to attest that all information contained in this form is true, accurate, and complete. Provide the signing individual's printed name and title, and then sign and date the form. An electronic signature is acceptable pursuant to section 95803 of the Regulation and will have the same legal effect as if it were submitted in hardcopy form certified by a handwritten signature. For example, it is acceptable to sign the form by copying and pasting a scanned version of a signature.