

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

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Section 95914(c)(3) of the Cap and Trade Regulation (Regulation) requires that any entity participating in an auction that has retained the services of a Cap-and-Trade Consultant or Advisor regarding auction 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 will inform the Consultant or Advisor of the prohibition of sharing information to other auction participants and ensure the advisor has read and acknowledged the prohibition under penalty of perjury; and

Section 95914(c)(3) also requires the Consultant or Advisor to 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 Consultant or Advisor may use this form to satisfy the disclosure requirement in section 95914(c)(3) by completing this form and submitting the original to CARB at the address on the back of this form no later than 15 days prior to the auction for which the Consultant or Advisor provides such a service.

**SECTION 1.0: CONSULTANT OR ADVISOR INFORMATION**

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

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

Section 2.0 allows disclosure for up to four entities that are being advised. To disclose more entities, you may make copies of Page 2 Section 2.0 and complete the tables as needed.

Entity's Legal Name:	Entity Operating Name:
CITSS Entity ID #:	
Description of Advisory Services:	
Advisor providing services from (date) to (date):	

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Entity's Legal Name:	Entity's Operating Name:
CITSS Entity's ID #:	
Description of Advisory Services:	
Advisor providing services from (date) to (date):	

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**ATTESTATION**

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:

Per section 95914 of the Regulation, this information must be received at least 15 days prior to the referenced auction. Electronic signatures are 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, you may copy and paste the scanned version of a signature. Typed-in names are not accepted in the signature field. Signed and completed forms may be emailed to the [CACITSSRegistrar@arb.ca.gov](mailto:CACITSSRegistrar@arb.ca.gov). If you have questions, visit the CARB website or contact the CARB Cap-and-Trade Hotline at 916-322-7072 for assistance.

This form can also be mailed to:

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