

**CAP-AND-TRADE AUCTION APPLICATION: AUCTION APPLICATION ATTESTATION
DISCLOSURE**

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Section 95912(d)(4)(D) of the Cap-and-Trade Regulation requires that each auction application include 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. Section 95912(d)(4)(D) also applies this disclosure requirement to all other entities with whom the auction applicant has a direct corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. Further, the attestation must be updated before each auction to reflect any change in the status of an investigation since the most recent auction application attestation was submitted. Additional information on this requirement is included in the CARB Instructional Guidance, available at: <http://www.arb.ca.gov/cc/capandtrade/guidance/attestationguidance.pdf>.

An auction applicant may use this form to fulfill the regulatory requirement to submit the required attestation disclosure and updates to previously submitted attestations.

This form may be e-mailed to CACITSSRegistrar@arb.ca.gov and must be received by the auction application deadline. Alternatively, the original may be submitted to CARB by mail and must be postmarked by the auction application deadline.

SECTION 1.0: AUCTION APPLICANT INFORMATION

CITSS Entity ID #:	
Entity Legal Name:	Entity Operating Name:
Auction for which this Disclosure is Submitted:	Representative Completing this Form:

SECTION 2.0: IDENTIFICATION OF TYPE OF DISCLOSURE BEING SUBMITTED

Check the applicable box, then complete the next section as indicated below the selected disclosure.

The entity referenced in Section 1 has new disclosures to submit. Complete Section 3.0, Signature, and Submit.	<input type="checkbox"/>
The entity referenced in Section 1 has required updates to submit to disclosures that were previously submitted. Complete Section 3.0, Signature, and Submit.	<input type="checkbox"/>
The entity referenced in Section 1 has previously submitted all required disclosures and there are no updates required. Complete Section 3.0, Signature, and Submit.	<input type="checkbox"/>
The entity referenced in Section 1 has applied to auction for the first time, or for the first time since 2014, and is required to submit new disclosures. Complete Section 3.0, Signature, and Submit.	<input type="checkbox"/>

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ATTESTATION

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 listed in Section 1 of this form. I certify that I have disclosed, to the best of my knowledge based on the best information available to me at the time of this disclosure, 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 which I represent, and all other entities with whom the entity has a direct corporate association pursuant to section 95833 that participate in a carbon, fuel, or electricity market. I further certify that this attestation has been updated to reflect any change in the status of an investigation that has occurred since the most recent auction application attestation was submitted, or that there are no changes in the status of previously disclosed information.

Print Name:	Signature:
Representative Role (PAR/AAR):	Date:

Per section 95912 of the Cap-and-Trade Regulation, this information must be submitted by no later than the deadline for submitting an application for the auction for which this attestation disclosure is being submitted, as listed in the Schedule provided in the Auction Notice.

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. Typing the Account Representative name in the signature field is not accepted. A signed and completed auction application attestation may be emailed to the 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.

You may also mail this completed form to the address below. Mailed forms must be postmarked by no later than the deadline as listed in the Schedule provided in the Auction Notice.

California Air Resources Board (CARB)
Attn: Climate Change Program Evaluation Branch
1001 I Street, 6th Floor
Sacramento, CA 95814