# California Environmental Protection Agency

## User Guide - Volume II Account Application and Account Management

# Compliance Instrument Tracking System Service (CITSS)

Please see inside cover. September 2017

#### **Superseded Information**

*This CITSS User Guide Volume II,* released in December 2012, provides guidance on the account application and account management processes conducted in CITSS. Since release of the CITSS User Guides Volumes I-III, the Cap-and-Trade Regulation (Regulation) has been amended and CITSS has been updated to incorporate changes and new functionality.

The account application and management process presented in the *CITSS User Guide Volume II*, Account *Application and Account Management*, describes a registration process in which every covered facility would have an account in CITSS. The application process required that a representative from a company with multiple facilities submit an application that includes entity information, contact information, and designate CITSS representatives for each facility.

Release 3.0 of CITSS altered the application process. Recognizing that an entity (business, company, corporation, etc.) may own several facilities, the application process in CITSS has been revised to allow a representative to submit a single application on behalf of an entity that identifies associated facilities. When approved, the entity will be provided a single account that recognizes the facilities as consolidated under the entity account.

Information in *CITSS User Guide Volume II, Application and Account Management* that describes the account application process has been superseded. Users consulting this User Guide should also refer to *User Reference CITSS Version 3.0*, available on the ARB CITSS Information webpage at:

#### http://www.arb.ca.gov/citss

*User Reference CITSS Version 3.0* does not replace the *CITSS User Guide Volume II*, but rather supplements the information with updated screenshots and guidance for the improved application process released on August 1, 2013.

References to the CARB CITSS Help Desk were updated in September 2017.

#### **Table of Contents**

1.0 User Guide Introduction1
1.1 User Guide Volume II2
1.2 Accessing the CITSS2
1.3 CITSS User Registration and Account Application Process4
1.4 Roles on Accounts6
1.5 Cap-and-Trade Program Participants – Entity Types7
2.0 Account Application Overview
2.1 Account Consolidation8
2.2 Preparing to Complete an Account Application9
3.0 Completing a CITSS Account Application 10
3.1 Accessing the Account Application10
3.2 Covered and Opt-in Entity Account Application13
3.3 General Market Participant - Individual Account Application
3.4 General Market Participant - Organization Account Application
3.5 Completing Account Application Forms and Documentation
3.6 Account Application Approval72
4.0 Account Management73
4.1 Accessing Account Information74
4.2 Entity Detail77

#### Table of Figures

Figure 1 – CITSS Sign in Page	3
Figure 2 – User Registration and Account Application	5
Figure 3 – CITSS User Home Page	. 10
Figure 4 – Account Application: Jurisdiction and Account Type	. 14
Figure 5 – Account Application: Entity Information	. 15
Figure 6 – Option A: Search for a Covered Entity, Covered Source, or Opt-In Entity	. 16
Figure 7 – Option B: Start a New Covered Entity, Covered Source, or Opt-In Entity	. 17
Figure 8 – Account Application: Identifiers	. 19
Figure 9 – Account Application: Contact Information	. 21
Figure 10 – Account Application: Account Representatives (upper portion)	. 23
Figure 11– Account Application: Account Representatives (lower portion)	. 25
Figure 13 – Account Application: Review and Submit	. 27
Figure 13 – Account Application: Terms and Conditions	. 29
Figure 14 – Account Application Submitted	. 31
Figure 15 – Account Application: Jurisdiction and Account Type	. 33
Figure 16 – Account Application: Additional Information	. 35
Figure 17 – Account Application: Contact Information	. 37
Figure 18 – Account Application: Account Representatives	. 39
Figure 19 – Account Application: Account Representatives (lower portion)	. 41
Figure 20 – Account Application: Review and Submit	. 43
Figure 21 – Account Application: Terms and Conditions	. 45
Figure 22 – Account Application Submitted	. 47
Figure 23 – Account Application: Jurisdiction and Account Type	. 49
Figure 24 – Account Application: Additional Information	. 51
Figure 25 – Account Application: Identifiers	. 53
Figure 26 – Account Application: Contact Information	. 55
Figure 27 – Account Application: Account Representatives	. 57
Figure 28 – Account Application: Account Representatives	. 59
Figure 29 – Account Application: Review and Submit	. 61
Figure 30 – Account Application: Terms and Conditions	. 63
Figure 31 – Account Application Submitted	. 65
Figure 32 – Account Application Checklist	. 67
Figure 33 – Account Application with Attestations	. 69
Figure 34 – Corporate Associations and Structure Form	.71
Figure 35 – User Home Page	. 75
Figure 36 – Account Page	. 76
Figure 37 – Entity (Account) Detail – General Information Tab	. 78
Figure 38 – Contact Information Tab	. 79
Figure 39 – Representatives Tab	. 81
Figure 40 – Account Viewing Agents Tab	.83
Figure 41 – Proposed Data Changes Lab	.84
Figure 42 – Changes Requiring Confirmation	.85
Figure 43 – Auction Tab	. 87

#### List of Acronyms

AAR	Alternate Account Representative
ARB	California Air Resources Board
AVA	Account Viewing Agent
CITSS	Compliance Instrument Tracking System Service
D&B	Dun & Bradstreet
DOE	U.S. Department of Energy
DUNS	Data Universal Numbering System number
EIA	U.S. Energy Information Agency
ETS	Emissions Trading System
GHG	greenhouse gas
ID	identification
KYC	Know-Your-Customer
MRR	Mandatory Reporting Regulation
MTCO <sub>2</sub> e	metric tons carbon dioxide equivalent
NAICS	North American Industry Classification System
ORIS	Office of Regulatory Information Systems
PAR	Primary Account Representative
SOS	California Secretary of State
WCI	Western Climate Initiative

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#### **Compliance Instrument Tracking System Service User Guide**

#### **1.0 User Guide Introduction**

The Compliance Instrument Tracking System Service (CITSS) User Guide has been developed to support individuals and entity representatives that are participating in California's Cap-and-Trade Program. The CITSS is a market tracking system that will support the implementation of greenhouse gas (GHG) cap-and-trade programs for California and other jurisdictions.

The CITSS provides accounts for market participants to hold and retire compliance instruments and to participate in transactions of compliance instruments with other account holders. The CITSS will be used to: record ownership of compliance instruments and information related to accounts; enable and record compliance instrument transfers; facilitate compliance verification; and support market oversight through the collection of relevant information.

This CITSS User Guide is organized in volumes specific to the types of activities that users may conduct in the CITSS. As of December 2012, there are three volumes in the CITSS User Guide:

Volume I	User Registration and Profile Management
Volume II	Account Application and Account Management
Volume III	Conducting Transfers in the CITSS

Additional volumes and updated versions will be released as needed.

If you would like to obtain more information about California's Cap-and-Trade Program, including the Cap-and Trade Regulation (Regulation), CITSS, or Cap-and-Trade Auctions, please refer to the following California Air Resources Board (CARB) websites:

- Cap and Trade
- <u>CITSS</u>
- <u>Auction</u>

CARB operates the CITSS Help Desk during normal business hours (8 a.m. to 5 p.m., Pacific Time), Monday through Friday excluding holidays. If you have questions regarding the use of CITSS, contact the CARB CITSS Help Desk by email at: <u>CACITSSHelpdesk@arb.ca.gov</u> or by phone at: 916-324-7659.

#### **1.1 User Guide Volume II**

This volume includes content to support the following activities:

- Applying for Accounts on behalf of the following:
  - Covered or Opt-in Entity
  - General Market Participant Organization
  - General Market Participant Individual
- Managing the Profile Information for an Entity
- Adding and Updating Account Representatives and Account Viewing Agents

#### **1.2 Accessing the CITSS**

You can access the CITSS at <u>https://www.wci-citss.org</u>.

You can also find links to the CITSS on the ARB webpage at:

http://www.arb.ca.gov/citss.

The CITSS Home Page is the point of entry for any action in the CITSS. To begin an account application, you must have an approved CITSS User ID. Using this approved User ID, you will click Login and enter your User ID and Password to gain access to the secure content of the CITSS, including the ability to submit an account application.



#### Figure 1 – CITSS Sign in Page

WCI, Inc.	CITSS	Compliance Instrument racking System Service	English • Français
Login Homo User Registration	Sign In You must Login to the CITSS. In or Registration page. Your password is case-sensitive. Notice: The CITSS is for use by an used without authorized ion. Unaut authorized or unauthorized, const these terms and conditions. Leave * = Required field User ID:	order to Login, you must have a User ID and a password. If you need to create a User ID and pas uthorized users. Use is monitored and/or may be restricted at any time. Confidential information r horized or improper use of this system may result in administrative, civil, and/or criminal penalties itutes consent to monitoring and information retrieval. By accessing this system you are acknowle e this site immediately if you are not an authorized user or do not agree to the conditions in this n	sword, proceed to the User nay not be accessed or 1. Use of this system, adging and consenting to otice.
(	Sign In Forgot password?		

#### **General Guidelines:**

- The CITSS is compatible with the following web browsers: Explorer 7, 8, and 9, Firefox, Safari, Chrome, and Opera, Certain functions will operate with slight differences, depending on the browser.
- As a security measure, delete your browser history if multiple people can access the same computer used to create the CITSS account.
- The CITSS is typically available for access 24 hours a day, 7 days a week (except for periodic maintenance).
- CARB operates the CITSS Help Desk during normal business hours (8 a.m. to 5 p.m., Pacific Time), Monday through Friday excluding holidays. If you have questions regarding the use of CITSS, contact the CARB CITSS Help Desk by email at: <u>CACITSSHelpdesk@arb.ca.gov</u> or by phone at: 916-324-7659.

#### **1.3 CITSS User Registration and Account Application Process**

To participate in California's Cap-and-Trade Program, an individual or entity must have a CITSS account or set of accounts to hold, transfer, and retire compliance instruments. To obtain CITSS account(s), an individual or entity must complete a two-step process: apply for a CITSS User ID and submit an account application. Figure 2 provides an overview of the process.

 Complete User Registration to receive CITSS User IDs. All individuals who will be representatives on an individual or entity's account(s) must complete user registration to receive an approved CITSS User ID. Except for a general market participant applying as an individual, an account must have at least two representatives: the Primary Account Representative (PAR) and an Alternate Account Representative (AAR). Both representatives must complete user registration before an account application can be completed in the CITSS.

To complete user registration, an individual provides information in the CITSS and subsequently submits hard-copy documentation. At the end of the electronic submission, the CITSS provides three forms that must be printed to support submittal of the additional information and required documentation. Every individual requesting CITSS user registration must meet Know-Your-Customer requirements that involve the verification of personally identifiable information. CITSS user registration is subject to review and approval by ARB, and User IDs are only issued to natural persons, not entities. **CITSS User Registration is covered in Volume I of the CITSS User Guide.** 

2. Submit an Account Application. After an individual has been approved as a CITSS User and the User ID is active, that individual will be able to apply for accounts on behalf of an entity or individual that has authorized them to do so. Creating an account to hold compliance instruments in the CITSS includes completing an electronic application in the CITSS and mailing required information and attestations to the California Registrar. After completing the electronic Account Application, the CITSS provides three forms that are printed to support submittal of the additional information and attestations. The forms require the signatures of the PAR, the AAR(s), and an officer or director of the entity. CITSS account applications are subject to review and approval by ARB. Account Application is covered in this volume, Volume II of the CITSS User Guide.







#### **1.4 Roles on Accounts**

When submitting an account application, the individual entering electronic data must identify the account representatives. Therefore, individuals must understand the role they will serve on an entity or individual's accounts. On any CITSS account or set of accounts, the following roles exist:

#### **Primary and Alternate Account Representatives**

Account Representatives are individuals with the authority to represent the entity in the CITSS. The Account Representatives can edit entity information, propose to change representatives, and report the transfer of compliance instruments. Except for individual general market participant accounts, each account must have at least two representatives, the Primary Account Representative (PAR) and one Alternate Account Representative (AAR). Individual general market participant accounts only require a PAR but are allowed to designate AARs if they choose. All accounts may have up to four AARs. The PAR and the AARs must be different individuals and must have active CITSS User IDs.

#### **Account Viewing Agents**

Account Viewing Agents (AVAs) are individuals with the capability to view the entity registration, account holdings, and transfer data in the CITSS. AVAs cannot edit entity information, propose to change representatives, or report the transfer of compliance instruments. Each account may have up to five AVAs. Account viewing agents are added after an account has been approved.

On any one entity's accounts, a user may not be assigned multiple roles. A user may be assigned different roles on different entities' accounts (for instance, a user may be a PAR on one entity's account and be an AVA on an account held by a different entity).

The PARs and at least one AAR must be designated during account application and representatives can be added, removed, or changed after account approval. AVAs can only be added after an application is approved.



#### **1.5 Cap-and-Trade Program Participants – Entity Types**

When applying for an account in the CITSS, there are three entity type selections:

- Covered Entity, Covered Source, and Opt-In Entity
- General Market Participant Organization
- General Market Participant Individual

A **Covered Entity** is defined in the Cap-and-Trade Regulation (Regulation) as an entity within California that has one or more of the processes or operations and has a compliance obligation as specified in subarticle 7 of the Regulation; and that has emitted, produced, imported, manufactured, or delivered in 2009 or any subsequent year more than the applicable threshold level specified in section 95812 (a) of the Regulation. Starting in 2012, major GHG-emitting sources, such as electricity generation (including imports), and large stationary sources that emit more than 25,000 MTCO<sub>2</sub>e per year have to comply with the Cap-and-Trade Program. The program expands in 2015 to include additional sources. **Covered Source** is a term used in other jurisdictions' programs and has been included in the CITSS to support these programs.

An **Opt-in Entity**, also called an **Opt-in Covered Entity** in the Regulation, is an entity that voluntarily elects to participate in the Cap-and-Trade Program and surrender allowances for each metric ton of GHGs it emits. To become an opt-in covered entity, the entity must fall under one of the sectors covered under the Cap-and-Trade Program, must not already be a covered entity, and must request approval from ARB's Executive Officer. Information on becoming an opt-in entity is available on the ARB website under "Regulatory Guidance." An opt-in entity is subject to all reporting, verification, enforcement, and compliance obligations that apply to covered entities.

General Market Participant, or Voluntarily Associated Entity (VAE) - Individual or Organization, as defined in the Regulation, is any entity (organization or an individual) which does not meet the requirements of a Covered Entity or an Opt-in Covered Entity and that intends to purchase, hold, sell, or voluntarily retire compliance instruments. A VAE is not obligated to surrender any allowances or offset credits to ARB in order to comply with the Cap-and-Trade Program. A VAE is referred to in the CITSS as a General Market Participant, and can be any of the following:

- An entity (including an individual) that intends to purchase, hold, sell, clear, or voluntarily retire allowances or offset credits, but is not a covered entity or an opt-in covered entity.
- An entity operating an offset project or early action offset project that is registered with ARB pursuant to the Regulation.
- An entity providing clearing services in which it takes only temporary possession
  of compliance instruments for the purpose of clearing transactions between two
  entities registered with the Cap-and-Trade Program. A qualified entity must be a
  derivatives clearing organization as defined in the Commodities Exchange Act
  (7 U.S.C. § 1a(9)) that is registered with the U.S. Commodity Futures Trading
  Commission pursuant to the Commodities Exchange Act (7 U.S.C. § 7a-1(a)).

#### 2.0 Account Application Overview

Once an individual has an approved CITSS User ID, that individual can apply for compliance instrument accounts in the CITSS on behalf of an entity or individual who has authorized them to do so. The individual completing the online data entry is not required to be a PAR or AAR on the account. Similar to CITSS User registration, the account application involves the submittal of information electronically and completion of additional forms and documentation. The forms are generated from the CITSS and are provided for your convenience to submit the information.

The forms include signed original attestations from the designated AAR and PAR, and if the entity is an organization, from an officer or director of the entity. In addition, the applicant must provide information describing officers and directors, individuals with voting rights, and corporate associations and corporate structure. Upon receipt of complete electronic information and hard-copy documentation, the California Registrar will review the account application. ARB will notify the PAR and AARs for the entity via email if the application was approved or denied, or if further information is required.

Each compliance instrument account or set of accounts is subject to the following requirements:

- The account application must be completed by a person with an active CITSS User ID.
- Entities may designate up to five (5) Account Viewing Agents (AVA) who are authorized to view the information in the account but not take action on the account.
- The account application must designate one Primary Account Representative (PAR) and at least one Alternate Account Representative (AAR). Entities may designate up to four AARs. The PAR and AARs will act on behalf of the legal entity and are the managers of the account(s). An individual applying for an account as a general market participant individual is allowed to act as both the PAR and AAR on their account.

#### **2.1 Account Consolidation**

Per the Regulation, ARB will provide a consolidated set of accounts for entities that have a direct corporate association with one or more additional entities participating in the California Cap-and-Trade Program. If an entity chooses to not be part of a consolidated set of accounts, each such entity must formally request to opt-out of the consolidated account. Guidance and necessary forms related to consolidation of accounts are provided on the ARB Website at: <u>http://www.arb.ca.gov/citss.</u>



#### 2.2 Preparing to Complete an Account Application

The information listed below will be needed to apply for compliance instrument accounts in the CITSS. Program participants are encouraged to gather the listed information and develop necessary documentation to prepare for completing a CITSS account application:

- Legal and operating names of the entity
- Physical and mailing addresses of the entity
- California GHG emissions reporting number (covered and opt-in entities)
- Contact information (telephone numbers and email addresses)
- Incorporation number, date, and place of incorporation (if applicable)
- North American Industry Classification System (NAICS) code
- A business number assigned by a California state agency (e.g., the California Secretary of State) if one has been assigned
- U.S. Federal Tax Employer ID Number
- Data Universal Numbering System (DUNS) number
- User Reference Codes for a Primary Account Representative (PAR) and at least one (1) and up to four (4) Alternate Account Representatives (AAR) (must be approved CITSS users)
- Website address, if any

#### Account Application Forms and Information

To complete a CITSS account application, each applicant will print three (3) forms that are generated in the CITSS after completing the online data entry. The first form provides a checklist and the California Registrar's address for the individual's reference. The second and third forms must be completed and submitted as directed. The forms are:

- 1. Account Application Checklist (for your reference)
- 2. Account Application with Attestation Form (review, sign, and submit)
- 3. Corporate Associations and Structure Form (complete, sign, and submit)

Applicants also need to submit the following information to complete the <u>Corporate</u> <u>Associations and Structure Form</u>. Additional guidance on completing the form and a sample completed form are available on the ARB website.

- Names and addresses of the entity's directors and officers
- Names and contact information for persons controlling over 10 percent of voting rights attached to the outstanding voting securities of the entity
- Description of corporate associations and parent and subsidiary companies.

#### **3.0 Completing a CITSS Account Application**

Applying for CITSS accounts requires individuals with active CITSS User IDs who are submitting an application for themselves or have been authorized to submit an account application on behalf of a covered entity, opt-in covered entity, or a general market participant organization, to access and complete the online portion of the account application in the CITSS system. Forms and documentation must also be completed and submitted. Upon receipt of complete electronic information and hard-copy documentation, the California Registrar will review the documentation before approving or denying the account application. ARB will notify the PAR and AARs for the entity via email if the application was approved or denied, or if further information is required. If approved, the entity's accounts will be established.

#### **3.1 Accessing the Account Application**

To complete the electronic portion of a new CITSS Account Application, you will first log in to the CITSS using your approved User ID and password. You will access the account application from the User Home Page, titled "Welcome to WCI CITSS," shown in Figure 3.

CITSS Users can submit applications on behalf of entities that have authorized them to do so, but the individual submitting the information is not required to be one of the account representatives. If you are submitting an application but will not be a representative on the accounts, the application will show in the "Account Applications" section of your CITSS Home Page while pending, but after approval the accounts will only be shown on the Home Pages of the account representatives.

### STEP 1 On the left navigation menu, click "Account Registration" to access the first page of the account application.

**IMPORTANT:** Before completing an account application for your business or organization, please ensure that an application has not already been submitted by another user.

Figure 3 – CITSS User Home Page

WCI, Inc. Bran Devi		Compliance Instrument Tracking System Service		English • Français •	LOGGED IN AS: cjones12	23
Log Out	Welcome to	WCI CITSS				-
Home Contact Us My User Profile Account Registrat	My Accounts	You	do not have access to any accou	unts.		
Transfer History	>					
WCI, Inc.		Western Climate Initiative, Inc. (WC to provide administrative and implementation of state and provin pro	I, Inc.) is a non-profit corporation technical services to support the cial greenhouse gas emissions I grams.	formed e trading	© 2012 SRA International All rinkh reserved	l, Ina



#### **3.1.1 Account Application: Account Type**

The "Account Application: Jurisdiction and Account Type" screen illustrated in Figure 4 is the first screen of electronic data entry in an account application. The individual completing the data entry will first need to identify the appropriate entity type. The three entity types are determined based on the nature of the entity or individual's participation in the Cap-and-Trade Program. After completing this page, the data entry pages become specific to the entity type.

The entity types include the following:

#### Covered Entity, Covered Source, and Opt-in Entity

Only California Covered Entities and Opt-in Entities will select this option. These entities have compliance obligations, and following application approval will be issued holding accounts and compliance accounts. Publicly owned utilities that do not have a compliance obligation but will be receiving free allowance allocations will also select this option.

#### General Market Participant - Individual

An individual who wishes to participate in the Cap-and-Trade Program through acquiring, holding, trading, and/or retiring compliance instruments will select this option. The individual must reside in the United States.

#### General Market Participant - Organization

Any business entity or organization that wishes to participate in the Cap-and-Trade Program but is not a covered entity or an opt-in entity will select this option. The organization must be located in the United States.

The first part of submitting an account application requires that the individual completing the account application select the appropriate entity type for the entity applying for a CITSS account. It is very important that the correct entity type be selected since the type of accounts established for each entity are dependent in part on the entity type. For instance, compliance accounts and limited use holding accounts can only be established for covered entities. In addition, the application screens are different for each type of entity.

If you have any difficulty determining which type of entity to select, contact the CARB CITSS Help Desk by email at: <u>CACITSSHelpdesk@arb.ca.gov</u> or by phone at: 916-324-7659.

Please move to the appropriate section of this guide for instructions on the electronic data entry for an account application for your specific entity type:

Section 3.2 Covered and Opt-in Entity Account Application

Section 3.3 General Market Participant - Individual Account Application

Section 3.4 General Market Participant - Organization Account Application

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#### **3.2 Covered and Opt-in Entity Account Application**

Section 3.2 is specific to completing the online data entry for an account application for a Covered Entity or Opt-in Entity. If you are completing an account application on behalf of a general market participant (voluntary associated entity), please skip this section and proceed to Section 3.3 for an individual or Section 3.4 for organizations.

All Covered Entities and Opt-in Entities must apply through the CITSS for compliance instrument accounts to be able to hold compliance instruments. Covered Entities and Opt-in Entities should have also completed Cap-and-Trade Program registration through the online registration form on the ARB website by January 31, 2012 and should also have completed CITSS account application by October 1, 2012. Data from the January program registration and emissions reporting conducted pursuant to the Mandatory Reporting Regulation (MRR) has been imported into the CITSS to support account applications. All entities will need to document that the information is correct during the account application process.

#### **Covered Entities and Opt-in Entities must:**

- Complete user registration in the CITSS (account representatives and viewing agents);
- Complete an account application for compliance instrument account(s), meeting all requirements and receiving approval from the California Registrar;
- Report information related to directors and officers, individuals with voting rights and corporate associations through the account application process;
- Report any changes in information such as ownership, representatives, and corporate associations in a timely manner, as specified in the Regulation;
- Report emissions annually under the MRR; and
- Meet their compliance obligations according to regulatory requirements.

#### Notes on Deadlines for Opt-in Entities

The deadlines for Opt-in Entities to complete an opt-in request form are:

- Entities wishing to opt in and receive free allocation of allowances during their first year of participation should submit the form to the Executive Officer by certified mail, to be received by ARB by March 1 of the calendar year preceding the first calendar year the entity wants to participate in the program.
- For entities not intending to receive free allocation of allowances, the information contained in the form must be submitted by November 30 of the calendar year prior to the year it desires to voluntarily participate in the program.

#### **3.2.1 Account Application: Jurisdiction and Account Type**

- **STEP 1** Select California as the Jurisdiction from the drop-down menu. Covered entities and opt-in entities from anywhere in the United States must select California as the jurisdiction.
- STEP 2 Select Covered Entity, Covered Source, or Opt-in Entity from the Entity Type drop-down menu.
- STEP 3 Click on "Continue."

#### Figure 4 – Account Application: Jurisdiction and Account Type

WCI, Inc. Branch Developmen	Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: cjones123			
Log Out Home Contact Us My User Profile	Account Application: Jurisdiction and Account Type Creating an account to hold compliance instruments in the CITSS is a multiple-step process that includes electronic registration and mailing required information and attestations to the Jurisdiction Registrar. An account must have at least two representatives, the Primary Account Representative (PAR) and an Alternate Account Representative (AAR). These individuals must be registered users in the CITSS.			
Account Registration Transfer History	After completing the electronic Account Application, your information will be electronically submitted to the Jurisdiction Registrar. The electronic submission must be supported by printed copies, signed by the PAR and each AAR, and additional documents that are mailed to the Registrar for approval. If you make your request to the Government of Quebec, you must designate a PAR domiciled in Quebec. You will be provided instructions and additional forms to complet the submittal of the electronic account application.			
The Jurisdiction Registrar will approve or deny account applications based upon review of the account application, certificates of representation for the PAR and AAR, and any other documentation required by the account application process. Should you have any questions regarding completing this Account Application, you may contact the CITSS Help Desk. WCI, Inc. CITSS Help Desk: Email: help@wci-citss.org Phone number 1-986, 889-2561				
	Select the appropriate information below to begin the Account Application process. * = Required field Jurisdiction * California			
	Entity type * Select			
WCI, Inc.	Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provide greenhouse gas emissions trading         © 2012 SRA International, Inc. All rinhts reserved			



#### **3.2.2 Account Application: Entity Information**

On the "Account Application: Entity Information" page (Figure 5), the User must select either "Option A: Search for Covered Entity, Covered Source, or Opt-in Entity" or "Option B: Start a New Covered Entity, Covered Source, or Opt-in Entity." Data from the MRR reporting database and the online Cap-and-Trade Program registration completed in January 2012 has been pre-loaded into the CITSS to the greatest degree possible to support Option A.

#### Figure 5 – Account Application: Entity Information

WCI, Inc.	CITSS	ance Instrument I System Service	English • Français • LOGGED IN AS: jjenkins			
Log Out	Account Application	on: Entity Information				
Home Contact Us My User Profile	Compliance Instrument accounts are as: holding account. Users can either search IMPORTANT: Before creating a new a by another user.	ompliance Instrument accounts are associated with an entity such as a facility, business, or organization, each of which would typically have one gener alding account. Users can either search for an preloaded entity record or start a new application for compliance instrument accounts from this page. IPORTANT: Before creating a new account, please ensure that an account for your facility, business, or organization hasn't already been cre y another user.				
Account Registration	Legal Name of Entity					
Transfer History	Enter the legal name that is on record wi your entity, please enter the operating or	inter the legal name that is on record with the California Secretary of State. Legal names can be found at: <u>http://kepler.sos.ca.gov</u> . If this does not apply our entity, please enter the operating or trade name (same value that is requested in the following field).				
	Operating / Trade Name of Entity	perating / Trade Name of Entity				
	Enter the name of the entity that is used for the ARB Mandatory Greenhouse Gas Emission Reporting Regulation (MRR), if applicable. If the legal name are the operating/trade name are the same, enter that name in both fields. If you are unsure of any of the information used for reporting under MRR, please confirm by checking the "Reported Emissions by Facilities" information at:					
	http://www.arb.ca.gov/cc/reporting/ghg-r	ep/ghg-rep.htm				
	Search					
	We may already have your entity registration information preloaded in the CITSS. You can search for entities that have already been preloaded in the using either Legal Name or GHG Identifier (ARB GHG Reporting ID). To check, please enter either your Legal Name or GHG Reporting Identifier in the Option A fields and select Search. The GHG Reporting ID can be up to six digits. For shorter numbers, precede the ID number by zeros to fill the six di field, e.g. 001234.					
	If the search does not locate an existing account for your entity, you should apply for a new account by entering the information under Option B t					
	* = Required field					
	Entity Information					
	Jurisdiction	California				
	Entity Type	Covered Entity, Covered Source, or Opt-in Entity				
	Option A: Search for a Covered	Entity, Covered Source, or Opt-In Entity.				
	Legal Name					
	Operating Name					
	GHG Emissions Reporting ID					
	Search					
	Option B: Start a new Covered	Entity, Covered Source, or Opt-In Entity.				
	Legal Name *	Jenkins Entity				
	Operating Name *	Jenkins Entity				
	Continue Back					

#### **Entity Information – Option A**

To locate an entity, you can enter the legal name, its operating name, or the ARB GHG Emissions Reporting ID number. You can enter a partial entry, and the system will generate a list of potential matches. If you are unsure of any of the information used for reporting under MRR, please confirm it by checking the "Reported Emissions Data" information at: <u>http://www.arb.ca.gov/cc/reporting/ghg-rep/ghg-rep.htm</u>.

- **STEP 1** Enter known entity data and Click on "Search." As an example, "San Diego" is entered into the "Legal Name" field in Figure 6 to generate a list of potential matches. You can use any of the following:
  - The legal name of the entity
  - The operating name of the entity as reported in the MRR
  - The GHG Emissions Reporting ID number
- STEP 2 If a list of potential matches is provided, find the correct entity and click on its legal name. You will automatically be directed to the next page of data entry. You will not be able to update the legal or operating name. If your entity's legal or operating name have changed from that provided in the MRR or January Program Registration, you will need to provide data under Option B and enter the current legal and operating names for your entity.
- STEP 3 Review the prepopulated fields. If the entity selected is incorrect, select the back button at the bottom of the page to move back to the "Entity Information" page.

Figure 6 – Option A: Search for a Covered Entity, Covered Source, or Opt-In Entity

Option A: Search for a Covered	Entity Covered Sour	ce. or Opt-In Entity	
Legal Name	San Diego	ee, or open entry.	
GHG Emissions Reporting ID			
Legal Name		GHG Emissions Reporting ID	
San Diego Gas & Electric Company		3004	
San Diego Gas & Electric Company		101401	
San Diego Gas & Electric Company		100362	
San Diego Gas and Electric Company		5001	
San Diego State University		101399	
			5 re



#### **Entity Information – Option B**

Figure 7 displays the "Account Application: Entity Information" page with Option B circled. Option B was selected with sample information inserted into the required fields as an example. In this example, a "Legal Name" and an "Operating Name" for the entity were entered into the fields.

- **STEP 1** Enter the entity's legal name and the entity's operating name. Enter the name that is used for reporting under MRR, if applicable. If the legal name and the operating name are the same, enter that name in both fields.
- STEP 2 Click on the "Continue" button.

#### Figure 7 – Option B: Start a New Covered Entity, Covered Source, or Opt-In Entity

WCI, Inc.	CITSS Compliance Tracking Syst	: Instrument stem Service	English • Français •	• LOGGED IN AS: jjenkins			
	Account Application:	Entity Information					
Log Out Home Contact Us My User Profile	Compliance Instrument accounts are associat holding account. Users can either search for a IMPORTANT: Before creating a new accou by another user.	Compliance Instrument accounts are associated with an entity such as a facility, business, or organization, each of which would typically have one general holding account. Users can either search for an preloaded entity record or start a new application for compliance instrument accounts from this page. IMPORTANT: Before creating a new account, please ensure that an account for your facility, business, or organization hasn't already been created by another user.					
Account Registration	Legal Name of Entity						
Transfer History	Enter the legal name that is on record with the California Secretary of State. Legal names can be found at: <u>http://kepler.sos.ca.gov</u> . If this does not apply to your entity, please enter the operating or trade name (same value that is requested in the following field).						
	Operating / Trade Name of Entity						
	Enter the name of the entity that is used for the ARB Mandatory Greenhouse Gas Emission Reporting Regulation (MRR), if applicable. If the legal name and the operating/trade name are the same, enter that name in both fields. If you are unsure of any of the information used for reporting under MRR, please confirm by checking the "Reported Emissions by Facilities" information at:						
	http://www.arb.ca.gov/cc/reporting/ghg-rep/gh	ng-rep.htm					
	Search						
	We may already have your entity registration information preloaded in the CITSS. You can search for entities that have already been preloaded in the CITSS using either Legal Name or GHG Identifier (ARB GHG Reporting ID). To check, please enter either your Legal Name or GHG Reporting Identifier in the Option A fields and select Search. The GHG Reporting ID can be up to six digits. For shorter numbers, precede the ID number by zeros to fill the six digit field, e.g. 001234.						
	If the search does not locate an existing account for your entity, you should apply for a new account by entering the information under Option B below.						
	* = Required field						
	Entity Information						
	Jurisdiction Cali	ifornia					
	Entity Type Cov	vered Entity, Covered Source, or Opt-in Entity					
	Option A: Search for a Covered Ent	tity, Covered Source, or Opt-In Entity.					
	Legal Name						
	Operating Name						
	GHG Emissions Reporting ID						
	Search						
	Option B: Start a new Covered Entit	ty, Covered Source, or Opt-In Entity.					
	Legal Name * Jer	nkins Entity					
	Operating Name * Jer	nkins Entity					
	Continue Back						

#### **3.2.3 Account Application: Identifiers**

Figure 8 displays the "Account Application: Identifiers" page. As an example, sample information and IDs have been entered into the required fields. As with user registration, all required fields are identified with an asterisk (\*). This page will be partially complete if the system was able to locate an existing entity under "Option A: Search for a Covered Entity, Covered Source, or Opt-in Entity." In this instance, you will need to verify that each entry is accurate, change any entries that are not accurate, and add any data needed.

- **STEP 1** Select the appropriate NAICS code from the drop-down list. The North American Industry Classification System (NAICS) is used to classify businesses according to a type of economic activity. If your entity's NAICS code is not in the drop-down list, select "other."
- STEP 2 Verify or Enter the GHG Emissions Reporting ID for the Covered or Optin Entity. The number can be up to six digits in length.
- **STEP 3** Enter the ID Number for this entity that was provided by the incorporating agency (if the entity is incorporated). This is a required field; if the entity is not incorporated or is a public agency, enter a zero in this field.
- **STEP 4** Enter the incorporation state, country, and date in the appropriate fields, if applicable (if the entity is incorporated). These are required fields; if the entity is not incorporated or is a public agency, then enter California as the State, United States as the country and the current date in the date field.
- **STEP 5** Enter the Federal Tax Employer Identification Number. All entities must enter this number, which is used by the Internal Revenue Service.
- STEP 6 Enter the ORIS Identifier if assigned. The U.S. Energy Information Agency (EIA) of the U.S. Department of Energy (DOE) assigns an ORIS (Office of Regulatory Information Systems) identifier to electricity generating units (i.e., primarily facilities with a Standard Industrial Classification code of 4911). Information about ORIS ID numbers is available at: www.eia.doe.gov.
- STEP 7 Enter the ID Number assigned to the entity by the Secretary of State (SOS). If a business entity is a California corporation; nonprofit; association; limited liability company; or a general, limited, or limited liability partnership the entity is required to register with the California SOS business office. Although not required by the CITSS, providing this number will assist the California Registrar and will support a rapid review of your application.
- **STEP 8** Enter the entity's Data Universal Numbering System (DUNS) Number. The DUNS number is a nine-digit number, issued by Dun & Bradstreet (D&B), assigned to each business location in the D&B database, having a unique, separate, and distinct operation for the purpose of identifying them.

You will not enter the Numéro d'entreprise du Québec, which is provided in the CITSS to support other programs in other jurisdictions.

#### STEP 9 Click on the "Continue" button.

#### Figure 8 – Account Application: Identifiers

WCI, Inc.	CITSS :	ompliance Instrument English • Français • LOGGED IN AS: jjenkins acking System Service
 Log Out	Account Applica	ation: Identifiers
Home Contact Us My User Profile	The North American Industry Class Additional identifiers include the O	sification System (NAICS) code and an ARB GHG Emissions Reporting ID are used to identify and/or classify each entity. ffice of Regulatory Information Systems (ORIS) identifier and the Data Universal Numbering System (DUNS) number.
Account Registration	ARB GHG Reporting ID If your entity has reported emission same as that in MRR. The GHG R	ns in the ARB Mandatory Reporting Regulation (MRR), the ARB GHG Emissions Reporting ID used in the CITSS is the eporting ID can be up to six digits in length. For shorter numbers, precede the ID number with zeros to fill the six digit field,
Transfer History	e.g. 001234. If you do not have a ( If you have not historically reported	3HG Reporting ID you may enter all zeros in the field. 3 emissions under MRR or you are an opt-in entity, leave this field blank.
	NAICS Code	
	The NAICS code is typically same NAICS code, you can look up your	as that used in MRR. If you have not historically reported emissions under MRR, are an opt-in entity, or are unsure of your rentity's six digit NAICS code at <u>http://www.census.gov/eos/www/naics.</u>
	* = Required field	
	Entity Information	
	Jurisdiction	California
	Entity Type	Covered Entity, Covered Source, or Opt-in Entity
	Legal Name	Jenkins Entity
	Operating Name	Jenkins Entity
	Identifiers and Desistration	- Cadea
	Identifiers and Registration	* Codes
	NAICS Code	311 Food Manufacturing
	Entity Identification	
	GHG Emissions Reporting ID	* 2222222
	ID Number Assigned by	* 222222222
	Incorporating Agency	
	Incorporation Province or State	* Select
	Date of Incorporation	* 28 June 2012 X
	U.S. Federal Tax Employer	* 22-222222
	ORIS Number	
	Numéro d'entreprise du Québec	
	ID Number Assigned by the California Secretary of State	22222222
	DUNS Number	222222222
	Continue Back	

#### **3.2.4 Account Application: Contact Information**

The "Account Application: Contact Information" page (Figure 9) contains the fields for entity information, including Physical Address, Mailing Address, and Entity Contact Information. Sample entity information has been entered into the required fields in Figure 9. If a covered entity was identified during your initial search for an entity, information will be pre-populated. Verify all information, change any errors, and enter any missing data.

- **STEP 1** Enter or verify the physical address for the covered entity. Please use the same physical address of the entity used for reporting under the MRR.
- **STEP 2** Enter or verify the proper mailing address for receiving information specific to the Cap-and-Trade Program, the CITSS, and the entity's CITSS accounts. You can select the option of using the physical address as the mailing address by clicking on the box prior to the Mailing Address fields.
- **STEP 3** Enter the entity contact information for general communication and to reach account representatives regarding questions on the CITSS accounts.
- **STEP 4** Enter a phone number for a person or department that should be contacted. Enter only numbers for phone numbers, with no spaces or dashes (-).
- STEP 5 Enter a mobile phone number and fax number, if available.
- STEP 6 Enter an email address that can be associated with general communication related to the CITSS. Official notifications for account actions will NOT be sent to this email address unless it is also associated with an account representative.
- STEP 7 Click on "Continue."





#### Figure 9 – Account Application: Contact Information

	Account Application: Contact Information				
Log Out					
Home	* = Required field				
Contact Us					
My User Profile	Entity Information				
Account Registration	Jurisdiction		California		
	Entity Type		Covered Entity, Covered S	ource, or Opt-in Entity	
Transfer History	Legal Name		Jenkins Entity		
	Operating Name		Jenkins Entity		
	Physical Address				
	If applicable, please use the same	physic	cal address of the entity use	d for reporting under MRR.	
	Address Line 1	*	123 Mainstreet		
	Address Line 2				
	City	*	AnyTown		
	Province or State	*	Select	•	
	Postcode or Zip Code	*	12345		
	Country	*	United States 💌		
	Mailing Address Enter the address that you would li	ke ma	il correspondence sent to.		
	Is the mailing address the same as the physical address?				
	Address Line 1	*			
	Address Line 2				
	City	*			
	Province or State	*	Select	V	
	Postcode or Zip Code	*			
	Country	*	Select 💌		
	Entity Contact Information				
	Enter any additional contact inform	ation I	here for the entity.		
	Telephone	*	9164445555		
	Telephone Extension		12		
	Mobile phone		9192365874		
	Facsimile Number		9167412589		
	E-mail Address	*	jjenkins@example.com		
	Website Address		vww.example.com/12345		
	Continue Back				

#### **3.2.5 Account Application: Account Representatives**

The "Account Application: Account Representatives" page (Figure 10) includes a summary of data entered to this point in the application process and an area for data entry of account representatives.

**Once you have reached this page, the data entered will be saved**. You can move back to prior pages without losing any data. You can also change or add new data as needed. You can exit the CITSS and return to complete the account application at a later time. Any account applications that have not been completed will show in the home page of the individual who entered the application under the "Account Applications" section.

Near the top of this page are four navigation buttons: Entity Data, Contact Information, Representatives, and Review and Submit. The text below each button, with the exception of the "Review and Submit" button, indicates the steps you have completed (green text) and the information you still need to complete (red text). You can use these navigation buttons to move among the pages to enter or revise the information. Figure 10 displays the upper portion of the "Account Application: Account Representatives" page with the navigation buttons. At this point in the account application, the "Representatives" button has red text below it indicating "PAR Required" and "AAR Required." This information is needed to complete the account application.



#### *Figure 10* – Account Application: Account Representatives (upper portion)

	Account Application: Account Representatives			
Out				
e	Account representatives are individuals with the authority to represent the entity in the CITSS and can edit entity information, propose to change			
act Us	representatives, and report the transfer of compliance instruments. Each account must have at least two representatives, the Primary Account Representative (PAR) and the Alternate Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR			
ser Prome	and between one and four additional AARs. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account			
unt Registration	after the account application has been submitted and approved by the Jurisdiction Registrar.			
untricgistrution	You must designate the account representatives below An account representative is identified by their unique User Reference Code obtained during the account representatives to the sentence of the terminative sentence of terminative se			
ransfer History	Individual registration. To ensure that the correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the Review and Submit screen.			
	Note Regarding General Market Participants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional			
	account access and security, an individual account holder may optionally designate AARs.			
	Call your Jurisdiction Help Desk for questions regarding designating account representatives.			
	*= Required field			
	Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four huben below are bettly Data. Contact information, Benzesnetatives, and Benjew and Submit The DTSP will automatically nonrese to each page.			
	Upon reaching this screen, you have the ability to which between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (I) as you complete the information on each page.			
	Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS Will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (🗸) as you complete the information on each page. At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been			
	Upon reaching this screen, you have the ability to which between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (I) as you complete the information on each page. At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar.			
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<	Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data. Constant Information, Representatives, and Review and Submit The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (I) as you complete the information on each page. At this point, you may exit the account application point documentation and submit the completed application to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar and exit was acceed upon the application. The CITSS will show complete application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the applicatic has been submitted to the Regis			
<	Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data. Constant Information, Representatives, and Review and Submit The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status (<) as you complete the information on each page. At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. Once the application has been submitted to the Registrar. Once the applicatic submitted to the Registrar.			
<	Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Ethilty Data. Contact Information, Representatives, and Review and Submit The CITSS will show completed status ( <b>v</b> ) as you complete information on each page. At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the completed application to the Registrar. This allows you to return at a later time to enter additional information, print documentation, and submit the application to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been submitted to the Registrar. Once the application has been application and submit the CITS will allow application has been as a submitted to the Registrar. Once the application has been as a submitted to the Registrar. Once the application has been as a submitted to the Registrar. Once the application has been as a submitted to the Registrar. Once the application has been as a submitted to the Registrar. Once the application has been as a submitted to the Registrar. Once the application has been as a submitted to the Registrar. Once the application has been as a submitted to			

#### **Designating Account Representatives and an Alternate Contact**

Figure 11 displays the lower portion of the Account Representatives page, where the individual entering data will designate the PAR and AARs. The PAR and AARs are the individuals with the authority to purchase, transfer, and sell compliance instruments on behalf of the entity, and to manage the entity's accounts. A PAR and one (1) AAR must be designated for each entity during account application. An entity may designate up to four (4) AARs. Individual general market participants are allowed to act as both the PAR and the AAR on their account or designate up to 4 AARs.

All designated account representatives must be approved CITSS Users. To enter the information for representatives, the person entering data in the CITSS will need the User Reference Codes for each representative.

At this point in the account application, the individual entering data can also identify an additional point of contact for the entity that is not one of the account representatives. These are not required fields, but it may be helpful to have another individual to contact in the event that there is a question or issue and the CITSS staff is unable to reach the account representatives. No confidential information will be conveyed to the alternate contact, and no emails related to compliance instruments transactions will be sent to this email address.

- STEP 1 Designate the PAR for the account(s). Select yourself as the PAR or a different registered CITSS User by selecting the appropriate button. The person completing the application is not required to be either the PAR or the AAR. If you have identified another CITSS User as the PAR, enter the 12-digit User Reference Code in the appropriate field.
- STEP 2 Designate the AARs for the account(s) and enter the 12-digit User Reference Codes in the appropriate field. If you are not designated as the PAR you can select yourself as one of the AARs by selecting the first AAR button. If designating a different registered CITSS user(s) as the AAR(s), select the second button. Individual account holders that do not want to designate additional AARs select the second button but do not enter any User Reference Codes.

### STEP 3 Enter the name, position, phone numbers, and email address of the additional account contact in the appropriate fields.

#### STEP 4 Click on "Continue" to proceed.

If an error code is displayed stating that one of the User Reference Codes entered could not be verified, it may be that the individual's user registration has not been approved yet or that a typographical error was entered in the User Reference Code field. If you are having any difficulty completing the representatives entry, contact the CARB CITSS Help Desk by email: <u>CACITSSHelpdesk@arb.ca.gov</u> or phone: 916-324-7659.

**NOTE:** An entity can also add or change representatives and can designate up to five (5) Account Viewing Agents after the account application has been approved.

#### Figure 11– Account Application: Account Representatives (lower portion)

	SS Compliance Instrument Tracking System Service	English • Français • LOGGED IN AS: pplants
Account Representat	tives	
Primary Account Represe	entative (Required)	
Current Representative	<no current="" representative=""></no>	
Assign Primary Account		
I am the Primary Account	unt Representative (PAR).	
C Select a different regis	stered user as the Primary Account Representative (F	AR). Enter the User ID Application Reference Code below.
User ID Application Refere Code for PAR	ence	
Alternate Account Repres	sentative(s)	
Current Representative(s)	) <no current="" representative=""></no>	
Assign Alternate Account Representative C I am one of the Alterna C I am ont an Alternate A	t ate Account Representatives (AAR). Account Representative, or Lam an individual account	cholder and do not wish to add an Alternate Account Representative
Add additional Alternate A	Account Representative (AAR) by entering the User	ID Application Reference Codes below.
User ID Application Refere Code for AAR #1	ence JKDF7RV6JSHR	
User ID Application Refere Code for AAR #2	ence	
User ID Application Refere Code for AAR #3	ence	
User ID Application Refere Code for AAR #4	ence	
Alternate Contact Pe	rson - Optional	
If desired, you may also de contact for any secure actio	esignate an additional point of contact for this accoun ons, such as transfers or changes in representatives	t or set of accounts. The PAR and AARs will remain the primary points of , related to this account.
Contact First Name		
Contact Last Name		
Contact Position		
Contact Telephone		
Contact Mobile Number		
Contact Email Address		

Continue

#### 3.2.6 Account Application: Review and Submit

The "Account Application: Review and Submit" page (Figure 12) displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. After the PAR and AAR have been added, the status will indicate that the representative information was successfully added and that the account registration is in progress, and it will display a "CITSS Entity ID." This unique entity ID number can be used to identify the application while in progress and will be associated with the entity's account(s) following approval. This page also summarizes the information entered in the entity's account application. Review the information entered to ensure that it is correct.

- STEP 1 Review the data. If there is a need to make any edits, select the appropriate navigation buttons (Entity Data, Contact Information, or Representatives) and correct the information. NOTE: If you navigate to another page and make changes, you will need to click on "Continue" at the bottom of the page where you have entered changes for those changes to be saved.
- STEP 2 When the data entry is complete, return to the Review and Submit page by either clicking "Continue" on all prior pages or clicking on the "Review and Submit" button at the top of any page.
- STEP 3 Click the "Submit Application" button located at the bottom of the page.



#### Figure 12 – Account Application: Review and Submit

ct Us Profile	esstully added.	
Registration in Progress	Comment	2012-10-09
istory Upon reaching this screen, you have the four buttons below, are Entity Data, Co	he ability to switch between the key pages required ntact Information, Representatives, and Review an	to complete account registration. The pages, represented by the d Submit. The CITSS will automatically progress to each page,
but the buttons allow you to go back or you complete the information on each	skip forward as may be needed to complete or co page.	rrect information. The CITSS will show completed status ( $\checkmark$ ) as
At this point, you may exit the account a	application process and your information will be sa	ved, but not submitted to the Registrar. This allows you to return
submitted to the Registrar, it cannot be	nation, print documentation, and submit the comple modified until the Registrar has acted upon the ap	ated application to the Registrar, Once the application has been oplication.
Entity Data >	Contact Information > Rep	resentatives > Review and Submit
✓ Required Data Complete	✓ Required Data Complete	✓ PAR ✓ AAR
This screen summarizes the informati	on entered to create an account.	
CITSS Entity ID	CA1021	
Legal Name	Perry Plants Power	
Jurisdiction	California	
Entity Type	Covered Entity, Covered Source, or Opt-in Entity	
NAICS Code	000000 Other or Not in This List	
Created by	Perry Plants	
Date Created	2012-10-09	
Entity Identification	100.000	
GHG Emissions Reporting ID ID Number Assigned by the	123456	
California Secretary of State		
U.S. Federal Tax Employer Identification Number (EIN)	123456	
ID Number Assigned by	123456	
Incorporation Province or State	California	
Incorporation Country	United States	
Date of Incorporation	2012-10-09	
ORIS Number	123456	
Numéro d'entreprise du Québec	123456	
Physical Address		
Address Line 1	123 Main St	
Address Line 2		
City Drowinson of State	Any Town	
Postcode or Zip Code	12345-6789	
Country	United States	
Mailing Address	100 10-10	
Address Line 1 Address Line 2	123 main St	
City	Any Town	
Province or State Postcode or Zin Code	California 12345-6789	
Country	United States	
Entity Contact Information		
Telephone	1234567890	
Telephone Extension Mobile phone		
Facsimile Number		
E-mail Address	penyplants@sra-dev.com	
AAGNONG WUNG 622		
Account Representatives		
Primary Account Representative	Perry Plants, Union Pacific	
Alternate Account	Jerry Jenkins, Union Pacific	
Representative(s)	1999 1999 1999 1999 1999 1999 1999 199	
Alternate Contact Person - Op	tional	
Contact First Name		
Contact Position		
Contact Telephone		
Contact Mobile Number Contact Email Address		
Control Lindia And C22		

#### 3.2.7 Account Application: Terms and Conditions

The "Account Application: Terms and Conditions" page (Figure 13) contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

#### STEP 1 Read the Terms and Conditions statement on this page.

**STEP 2** To accept the Terms and Conditions, re-enter your password in the Password field. This entry is required, and you will not be able to submit the application without re-entering your password.

#### STEP 3 Click the "Submit Application" button.

At this point, the online submittal of information for an account application for a covered entity or opt-in entity has been completed.



WCI, Inc.	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: jjenkins		
Log Out	Account Application: Terms and Conditions		
Home Contact Us My User Profile	Please read the following terms and conditions, enter your password and click Submit Application to submit your application for review.		
Account Registration	By clicking the Submit Application button, 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 the State of California and its courts for purposes of enforcement of the laws, rules and regulations, including but not limited to those 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.		
	Password * •••••• Submit Application Cancel		

#### *Figure 13* – Account Application: Terms and Conditions

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**Email** - An email confirmation will be sent to the user and the assigned account representative(s) indicating that the account application was successfully submitted.

#### 3.2.8 Account Application Submitted

The "Account Application Submitted" page (Figure 14) will be displayed after the Terms and Conditions have been accepted and indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. The "Account Application Submitted" page includes the 6-character Entity Code (e.g., CA-1000) specific to your submitted account application (circled on Figure 14).

To complete the account application, the required forms that are accessed from the navigation buttons on this page need to be printed, completed, and submitted to the California Registrar. The address is provided on the Account Application Checklist

Figure 14 highlights the navigation buttons that access the forms - the (1) Account Application Checklist, (2) Account Application with Attestations Form, and (3) Corporate Associations and Structure Form. The Account Application Checklist provides a summary of the information that must be completed and the address of the California Registrar. The Account Application with Attestations Form and the Corporate Associations and Structure Form must be completed, signed, and mailed to the California Registrar along with any additional documentation used to provide the information described on the Corporate Associations and Structure Form. Each account applicant, regardless of entity type, must provide the information contained in, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar.

**REMINDER:** The individual who completed the online portion of the account application will be able to return to the CITSS to print these forms if you exit the CITSS at this time. Guidance to help you complete the Corporate Associations and Structure Form and blank copies of these forms are available on the ARB website. DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS account application.

- STEP 1 Click on each Form Button. Each form opens in a new browser tab.
- **STEP 2 Print each Form and then return to the Account Application Submitted page** by navigating back to the original browser tab where the Registration Submitted page is displayed. You can do this by either closing the tab that displays the form or clicking on the tab for the Registration Submitted page.
- STEP 3 Continue until all forms have been printed.


# Figure 14 – Account Application Submitted

WCI, Inc.	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: jjenkins							
Log Out Home	Account Application Submitted							
Contact Us	Account application submitted successfully. An e-mail confirmation has been sent for your submitted application.							
	Your application for an account has been electronically submitted to the Jurisdiction Registrar. Your application has been assigned CITSS Entity ID CA1000. Please keep this number in a safe place as it is the unique identifier of your account application.							
Account Registration	You have successfully submitted your Account Application online to the CITSS, but you aren't finished yet.							
Transfer History	Creating a compliance instrument account in the CITSS is a multiple-step process that includes both electronic submission and mailing of required information to the Jurisdiction Registrar. The forms below are provided for your convenience to submit the information. Print and mail the Account Application Checklist, the completed Account Application with Attestations Form and the completed Corporate Associations and Structure Form to the Jurisdiction Registrar. You must provide original signatures on the Account Application with Attestations Form and the completed Corporate Associations and Structure Form. If you do not want to use the forms that are provided for your convenience, you may submit the required information in a letter, with signatures, and mail to the address provided in the Account Application will be denied. The following buttons open a new browser window or tab with the forms that must be printed and mailed to the Jurisdiction Registrar. Print each of these forms using your browser print function. After printing, you should close the window / tab (not your browser) to return to this page.							
	1. Account Application       2. Account Application with       3. Corporate Associations         Checklist       Attestations Form       3. Structure Form							
	Should you have any questions regarding your Account Application, you may contact the CITSS Help Dack for your Jurisdiction							
	Snourd you have any questions regarding your Account Application, you may contact the CITSS Help Desk for your Junsdiction. California Help Desk: Email: CACITSSHelpDesk@arb.ca.gov Phone number: 916-324-7659							
	Upon review of the submitted materials, the Jurisdiction Registrar will send an email to the email address you have registered in CITSS notifying you of approval, denial, or pending status of your account application.							

Instructions to assist you as you complete the required forms are provided in Section 3.5 of this volume of the User Guide. Please move forward to <u>Section 3.5</u> now.

# 3.3 General Market Participant - Individual Account Application

Section 3.3 is specific to the data entry required to complete an account application for individuals who will act as general market participants.

#### **General Market Participants:**

- Must complete user registration in the CITSS (account representatives and viewing agents);
- Must complete an account application for compliance instrument account(s), meeting all requirements and receiving approval from the California Registrar;
- Must report any changes in information such as representatives, and corporate associations in a timely manner, as specified in the Regulation;
- May hold compliance instruments in a holding account; and
- May transfer compliance instruments according to all established policies and procedures.



#### **3.3.1 Account Application: Jurisdiction and Account Type**

- **STEP 1** Select California as the Jurisdiction from the drop-down menu. General Market Participants are applying to participate in California's program and therefore select California.
- **STEP 2** Select the Entity Type from the drop-down menu. Individuals applying for an account for their own use, not on behalf of an organization, select general market participant individual.
- STEP 3 Click on "Continue."

#### Figure 15 – Account Application: Jurisdiction and Account Type

WCI, Inc.	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: jjenkins
WCI, Inc Log Out Home My User Profile Account Registration	Comparison Comparison Service  Control of System Service  Control of Service  Control of Service  Control of Service Control of Service  Control of Service
	Continue Covered Entity, Covered Source, or Opt-in Entity General Market Participant - Individual General Market Participant - Organization

#### **3.3.2 Account Application: Additional Information**

The "Account Application: Additional Information" page shown in Figure 16 is specific to a General Market Participant – Individual account application.

- **STEP 1** Select the appropriate button to identify the use of the compliance instrument account. "Commercial use" is selected if the account will be used in the course of business activities, such as activity conducted by an independent broker.
- "Personal use" should be selected if you intend to acquire, transfer, and/or retire compliance instruments as an individual for your own investment or other purposes.
- **STEP 2** Select a classification for yourself from the available options. The classification should be related to the purpose for the compliance accounts for which you are applying. Offset Project Verifiers are ineligible for compliance accounts.
- STEP 3 If you select "Other," you must enter more detail in the data field below the button.
- STEP 4 Click on "Continue."



# Figure 16 – Account Application: Additional Information

WCI, Inc. Branch Developmen		iance Instrument g System Service	English • Français •	LOGGED IN AS: cjones123
Log Out Home Contact Us My User Profile	Account Application	n be opened for a facility, business, organization, or count for your facility, business, organization, or natu	natural person who are not co ral person hasn't already beer	vered entities. Before creating a i created by another user.
	Entity Information Jurisdiction Entity Type What is the purpose of this accou © Commercial use @ Personal use	California General Market Participant - Individual nt7 *		
	How would you classify yourself? Authorized Project Designee GHG Reporting Verifier Individual - member of the put Individual Proket Offset Project Operator Offset Project Verifier Other (Please specify)	* ilid		
WCI, Inc.	Continue Back Western Clim to provie implementatio	Ite Initiative, Inc. (WCI, Inc.) is a non-profit corporation le administrative and technical services to support th n of state and provincial greenhouse gas emissions programs.	n formed ne trading	RIDAE © 2012 SRA International, Inc. All noths received

#### **3.3.3 Account Application: Contact Information**

The "Account Application: Contact Information" page (Figure 17) will be pre-populated with the information provided during User Registration. In the example, the CITSS User has selected the option to have the mailing address the same as the physical address during User Registration, and that is repeated in the account application.

- **STEP 1** Review the pre-populated data. Enter any changes necessary for the account(s).
- STEP 2 Enter or verify the physical address for the individual.
- **STEP 2** Enter or verify the proper mailing address for receiving information specific to the Cap-and-Trade Program, the CITSS, and the individual's CITSS accounts. You can select the option of using the physical address as the mailing address by clicking on the box prior to the Mailing Address fields.
- **STEP 3** Enter additional contact information for general communication and to reach account representatives regarding questions on the CITSS accounts.
- **STEP 4** Enter a phone number for a person or department that should be contacted. Enter only numbers for phone numbers, with no spaces or dashes (-).
- STEP 5 Enter a mobile phone number and fax number, if available.
- **STEP 6** Enter an email address that can be associated with general communication related to the CITSS. The pre-populated email will be the one associated with the individual during user registration. If the email is changed from the pre-populated one, official notifications for account actions will not be sent to that email address unless it is also associated with an account representative.
- STEP 7 Click on "Continue."



# *Figure 17* – Account Application: Contact Information

* = Required field Entity Information Jurisdiction Entity Type Legal Name	California General Market Participant - Individual	
Entity Information Jurisdiction Entity Type Legal Name	California General Market Participant - Individual	
Entity Information Jurisdiction Entity Type Legal Name	California General Market Participant - Individual	
Entity Information Jurisdiction Entity Type Legal Name	California General Market Participant - Individual	
Jurisdiction Entity Type Legal Name	California General Market Participant - Individual	
Legal Name	General Market Participant - Individual	
Logarnano	Chris Jones	
	Chills Joines	
Physical Address		
If applicable, please use the sa	ame physical address of the entity used for reporting under MRR.	
Address Line 1	* 100 Main Street	
Address Line 2		
City	* Anytown	
Province or State	* California	
Postcode or Zip Code	* 90000	
Country	* United States V	
Mailing Address		
Enter the address that you wou	uld like mail correspondence sent to.	
Is the mailing address the sar as the physical address?	me 📄	
Address Line 1	* 200 Industry Way	
Address Line 2		
City	* Downtown	
Province or State	* California 👻	
Postcode or Zip Code	* 91000	
Country	* United States -	
Entity Contact Informatio	on	
Enter any additional contact info	ormation here for the entity.	
Telephone	* 9163247659	
Telephone Extension		
Mobile phone	9163247600	
Facsimile Number		
E-mail Address	* cjones@email.com	
Website Address		
Continue Back		
	Address Line 2 City Province or State Postcode or Zip Code Country Mailing Address Enter the address that you wo Is the mailing address the sa as the physical address Address Line 1 Address Line 2 City Province or State Postcode or Zip Code Country Entity Contact Information Enter any additional contact inf Telephone Telephone Extension Mobile phone Facsimile Number E-mail Address Website Address	Address Line 2   City *   Province or State *   California •   Postcode or Zip Code 90000   Country *   United States •

#### **3.3.4 Account Application: Account Representatives**

The "Account Application: Account Representatives" page (Figure 18) includes a summary of data entered to this point in the application process and an area for data entry of account representatives.

**Once you have reached this page, the data entered will be saved**. You can move back to prior pages without losing any data. You can also change or add new data as needed. You can exit the CITSS and return to complete the account application at a later time. Any account applications that have not been completed will show in the home page of the individual who entered the application under the "Account Applications" section.

Near the top of this page are four navigation buttons: Entity Data, Contact Information, Representatives, and Review and Submit. The text below each button, with the exception of the "Review and Submit" button, indicates the steps you have completed (green text) and the information you still need to complete (red text). You can use these navigation buttons to move among the pages to enter or revise the information. Figure 18 displays the upper portion of the "Account Application: Account Representatives" page with the navigation buttons. At this point in the account application, the "Representatives" button has red text below it, indicating "PAR Required". This information is needed to complete the account application.



### *Figure 18* – Account Application: Account Representatives

Branch Developmen		iance Instrument g System Service	E	nglish • Français	LOGGED IN AS: cjones123				
Log Out	Account Application	on: Account Repr	resentative	S					
Home Contact Us My User Profile Account Registration Transfer History	Account representatives are individuals representatives, and report the transfer Representative (PAR) and the Alternate and between one and four additional A after the account application has been You must designate the account represe individual registration. To ensure that the Review and Submit screen. Note Regarding General Market Particip account access and security, an individ Call your Jurisdiction Help Desk for que	with the authority to represent the of compliance instruments. Each a Account Representative (ARA). The RS. Account Veiwing Agents (AVAs submitted and approved by the Juri entatives below. An account repres e correct User Reference Code ha boards - Individuals: Individual accou ual account holder may optionally estions regarding designating acco	entity in the CITSS and account must have at I PAR and the AARs m ), with limited view onl sdiction Registrar. sentative is identified b s been entered, you sl int holders are only re- designate AARs. unt representatives.	can edit entity inform east two representativ uust be different indivic y access to your accor y their unique User R hould review the name quired to designate the	ation, propose to change es, the Primary Account tuals. You must designate one PAR unts, can be assigned to an account sference Code obtained during es of the PAR and the AAR on the emselves as a PAR. For additional				
	Upon reaching this screen, you have the ability to switch between the key pages required to complete account registration. The pages, represented by the four buttons below, are Entity Data, Contact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, but the buttons allow you to go back or skip forward as may be needed to complete or correct information. The CITSS will show completed status ( $\checkmark$ ) as you complete the information on each page. At this point, you may exit the account application process and your information will be saved, but not submitted to the Registrar. This allows you to return								
	submitted to the Registrar, it connect to	moaned unur me Registral has ac	teo upon the application						
<	Entity Data >	Contact Information	> Represer	itatives >	Review and Submit				
	Entity Information Jurisdiction Entity Type Legal Name	California General Market Participant - Indivi Chris Jones	idual						
	Account Representatives         Primary Account Representative (Required)         Current Representative <no current="" representative="">         Assign Primary Account Representative       I am the Primary Account Representative (PAR).         © Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.</no>								
	User ID Application Reference Code for PAR								
	Alternate Account Representative(s)								
	Current Representative(s) Assign Alternate Account Representative	<no current="" representative=""> <ul> <li>I am one of the Alternate Acco</li> <li>I am not an Alternate Account an Alternate Account Representat</li> </ul></no>	unt Representatives (/ Representative, or I ar ive.	AAR). n an individual accour	t holder and do not wish to add				
	Add additional Alternate Account Repr	esentative (AAR) by entering the L	Jser ID Application Re	ference Codes below	ι.				
	User ID Application Reference								
	User ID Application Reference								
	Code for AAR #2 User ID Application Reference								
	Code for AAR #3								
	Code for AAR #4								
	Alternate Contact Person - Option If desired, you may also designate an ad contact for any secure actions, such as the	onal ditional point of contact for this acc ransfers or changes in representati	ount or set of accounts ives, related to this acc	s. The PAR and AARs to count.	will remain the primary points of				
	Contact First Name								
	Contact Last Name								
	Contact Position								
	Contact Telephone								
	Contact Mobile Number								
	Contact Email Address								
	Continue								
WCI, Inc.	Western Climate to provide implementation	e Initiative, Inc. (WCI, Inc.) is a non- administrative and technical servic of state and provincial greenhouse programs.	profit corporation forme ces to support the gas emissions tradir	ed Ig	© 2012 SRA International, Inc. All rights reserved				

#### **Designating Account Representatives and an Alternate Contact**

Figure 19 again displays the Account Representatives page where the individual entering data will designate the PAR and AARs. The PAR and AARs are the individuals with the authority to purchase, transfer, and sell compliance instruments on behalf of the entity, and to manage the entity's accounts. Individual general market participants are allowed to act as both the PAR and the AAR on their account. The individual may designate up to four (4) AARs.

All designated account representatives must be approved CITSS Users. To enter the information for representatives, the individual will need the User Reference Codes for each representative.

At this point in the account application, the individual entering data can also identify an additional point of contact for the entity that is not one of the account representatives. These are not required fields, but it may be helpful to have another individual to contact in the event that there is a question or issue and the CITSS staff is unable to reach the account representatives. No confidential information will be conveyed to the alternate contact, and no emails related to compliance instruments transactions will be sent to this email address.

- **STEP 1 Designate the PAR for the account(s).** Select yourself as the PAR by selecting the appropriate button.
- STEP 2 Individuals account holders that do not want to designate additional AARs select the second button but do not enter any User Reference Codes. If desired, designate one or more AARs for the account(s) and enter the 12-digit User Reference Codes in the appropriate field.
- STEP 3 Enter the name, position, phone numbers, and email address of the additional account contact in the appropriate fields.

#### STEP 4 Click on "Continue" to proceed.

If an error code is displayed stating that one of the User Reference Codes entered could not be verified, it may be that the individual's user registration has not been approved yet or that a typographical error was entered in the User Reference Code field. If you are having any difficulty completing the representatives entry, contact the CARB CITSS Help Desk by email: <u>CACITSSHelpdesk@arb.ca.gov</u> or phone at: 916-324-7659.

**NOTE:** An individual can also add or change representatives after the account application has been approved. An entity can designate up to five (5) Account Viewing Agents (AVA) after an account application has been approved.



### *Figure 19* – Account Application: Account Representatives (lower portion)

WCI, Inc. Branch Developmen		liance Instrument English • Français • LOGGED IN AS: cjones123 Ig System Service							
on Out	Account Application	on: Account Representatives							
ome contact Us ly User Profile	Account representatives are individuals representatives, and report the transfer Representative (PAR) and the Alternate and between one and four additional A after the account application has been	s with the authority to represent the entity in the CiTSS and can edit entity information, propose to change r of compliance instruments. Each account must have at least two representatives, the Primary Account A Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR ARS. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account submitted and approved by the Jurisdiction Registrar.							
ransfer History	You must designate the account repres individual registration. To ensure that th Review and Submit screen.	You must designate the account representatives below. An account representative is identified by their unique User Reference Code obtained during individual registration. To ensure that the correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the Deview red by the traces.							
	Note Regarding General Market Partici account access and security, an individ	pants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional dual account holder may optionally designate AARs.							
	Call your Jurisdiction Help Desk for qu	estions regarding designating account representatives.							
	Upon reaching this screen, you have th four buttons below, are Entity Data, Con but the buttons allow you to go back or you complete the information on each µ At this point, you may exit the account a at a later time to enter additional inform submitted to the Registrar, it cannot be	e ability to switch between the key pages required to complete account registration. The pages, represented by the ntact Information, Representatives, and Review and Submit. The CITSS will automatically progress to each page, skip forward as may be needed to complete or correct information. The CITSS will show completed status (*) as page. application process and your information will be saved, but not submitted to the Registrar. This allows you to return nation, print documentation, and submit the completed application to the Registrar. Once the application has been modified until the Registrar has acted upon the application.							
	Entity Data >	Contact Information > Representatives > Review and Submit							
	✓ Required Data Complete	✓ Required Data Complete PAR Required							
	Entity Information								
	Jurisdiction	California							
	Entity Type	General Market Participant - Individual							
	Legai Name	Crins Jones							
	Account Representatives								
	Primary Account Representative (Req	uired)							
	Current Representative	<no current="" representative=""></no>							
	Representative	I am the Primary Account Representative (PAR). Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.							
	User ID Application Reference Code for PAR								
	Alternate Account Representative(s)								
	Current Representative(s)	<no current="" representative=""></no>							
	Assign Alternate Account Representative	I am one of the Alternate Account Representatives (AAR). a [am not an Alternate Account Representative, or I am an individual account holder and do not wish to add] an Alternate Account Representative]							
	Add additional Alternate Account Repr	resentative (AAR) by entering the User ID Application Reference Codes below.							
	User ID Application Reference Code for AAR #1								
	User ID Application Reference								
	User ID Application Reference								
	User ID Application Reference Code for AAR #4								
	Alternate Contact Person - On	tional							
	If desired, you may also designate an a contact for any secure actions, such as	additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of transfers or changes in representatives, related to this account.							
	Contact First Name	Francis							
	Contact Last Name	Smith							
	Contact Position	Adminstrative Assistant							
	Contact Telephone	9161112222							
	Contact Mobile Number								
	Contact Email Address								
	Continue								
	Western Clima	ate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed							

#### 3.3.5 Account Application: Review and Submit

The "Account Application: Review and Submit" page (Figure 20) displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. After the PAR has been added, the status will indicate that the representative information was successfully added and that the account registration is in progress, and it will display a "CITSS Entity ID." This unique entity ID number can be used to identify the application while in progress and will be associated with the entity's account(s) following approval. This page also summarizes the information entered to ensure that it is correct.

- STEP 1 Review the data. If there is a need to make any edits, select the appropriate navigation buttons (Entity Data, Contact Information, or Representatives) and correct the information. NOTE: If you navigate to another page and make changes, you will need to click on "Continue" at the bottom of the page where you have entered changes for those changes to be saved.
- STEP 2 When the data entry is complete, return to the Review and Submit page by either clicking "Continue" on all prior pages or clicking on the "Review and Submit" button at the top of any page.
- STEP 3 Click the "Submit Application" button located at the bottom of the page.



# Figure 20 – Account Application: Review and Submit

Developme		ng System Service			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		
Log Out	Account Applicati	on: Review and s	Subm	t			
Home Contact Us	Representative information succession	cessfully added.					
My User Profile	Status		Comment		Created	Date	
Account Registration	Registration in Progress				2012-12-1	12	
Fransfer History	Upon reaching this screen, you have t	he ability to switch between the key	/ pages requ	ired to complete acco	unt registrati	on. The pages, represented by the	
	tour buttons below, are Entity Data, Co but the buttons allow you to go back o you complete the information on each	ontact Information, Representatives r skip forward as may be needed to nage	s, and Revie complete c	v and Submit. The CII r correct information.	The CITSS will autor	matically progress to each page, ill show completed status (🖌) as	
	At this point you may exit the account	page.	mation will b	e saved but not subm	itted to the R	enistrar This allows you to return	
	at a later time to enter additional inform submitted to the Registrar, it cannot b	nation, print documentation, and s e modified until the Registrar has a	ubmit the co acted upon t	mpleted application to ne application.	the Registra	ar. Once the application has been	
C	Entity Data 2	Contact Information	-	Representatives		Review and Submit	
	<ul> <li>Required Data Complete</li> </ul>	<ul> <li>Required Data Complete</li> </ul>		✓ PAR			
	This screen summarizes the informat	ion entered to create an account.					
	CITSS Entity ID	CA1018					
	Legal Name	Chris Jones					
	Jurisdiction	California					
	Entity Type	General Market Participant - Ind	ividual				
	Purpose	Personal use					
	Individual Type Individual Type (Other)	Individual - member of the publi	ic				
	Entity Status	Registration in Progress					
	Created by	Chris Jones					
	Date Created	2012-12-12					
	Physical Address						
	Address Line 1	100 Main Street					
	Address Line 2						
	City	Anytown					
	Province or State	California					
	Postcode or Zip Code	90000					
	Country	United States					
	Mailing Address						
	Address Line 1	200 Industry Way					
	Address Line 2						
	City	Downtown					
	Province or State	California					
	Postcode or Zip Code	91000					
	Country	United States					
	Entity Contact Information						
	Telephone Telephone Extension	9163247659					
	Mobile phone	9163247600					
	F-mail Address	ciones@email.com					
	Website Address	geneel@entail.com					
	Account Representatives						
	Primary Account Popresentative	Chris Jones APC Corporation					
	Alternate Account Representative	chilo ouroot corrected					
	Alternate Account Representative (s)	<no current="" representative=""></no>					
	Alternate Contact Borcon On	tional					
	Contact First Name	Francia					
	Contact FIRST Name	Francis					
	Contact Last warfie	Administrative Assistant					
	Contact Telephone	9161112222					
	Contact Mobile Number						
_	Contact Email Address						
<	Submit Application Cance	el Application					
	Western Clim	ate Initiative. Inc. (WCI. Inc.) is a n	on-profit cor	poration formed			

#### 3.3.6 Account Application: Terms and Conditions

The "Account Application: Terms and Conditions" page (Figure 21) contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

#### STEP 1 Read the Terms and Conditions statement on this page.

- **STEP 2** To accept the Terms and Conditions, re-enter your password in the Password field. This entry is required, and you will not be able to submit the application without re-entering your password.
- STEP 3 Click the "Submit Application" button.

At this point, the online submittal of information for an account application for a General Market Participant – Individual has been completed.



# *Figure 21* – Account Application: Terms and Conditions

WCI, Inc. Branch Development	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: cjones123
 Log Out Home Contact Us My User Profile	Account Application: Terms and Conditions Please read the following terms and conditions, enter your password and click Submit Application to submit your application for review. * = Required field By clicking the Submit Application button, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ABB are true, accurate, and complete. Longent to the juristicities of the State of California and its courts for oursess of enforcement of the
Transfer History	Submited to Arts are due, actually and complete. Toolsering the paradictor of the state of california and its counts of public sections 95800 et sect, and I am aware that there are significant papellic nor submitting failse statements and information. Password Submit Application Cancel

WCI, Inc.	Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and providi greenhouse gas emissions trading programs.	© 2012 SRA International, Inc. All rights reserved

**Email** - An email confirmation will be sent to the CITSS User submitting the account application and the assigned account representative(s) indicating that the account application was successfully submitted.

#### **3.3.7 Account Application Submitted**

The "Account Application Submitted" page (Figure 22) will be displayed after the Terms and Conditions have been accepted and indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. The "Account Application Submitted" page includes the 6-character Entity ID (e.g., CA-1001) specific to your submitted account application (circled on Figure 22).

To complete the account application, the required forms that are accessed from the navigation buttons on this page need to be printed, completed, and submitted to the California Registrar. The address is provided on the Account Application Checklist.

Figure 22 highlights the navigation buttons that access the forms - the (1) Account Application Checklist, (2) Account Application with Attestations Form, and (3) Corporate Associations and Structure Form. The Account Application Checklist provides a summary of the information that must be completed and the address of the California Registrar. The Account Application with Attestations Form and the Corporate Associations and Structure Form must be completed, signed, and mailed to the California Registrar along with any additional documentation used to provide the information described on the Corporate Associations and Structure Form. Each account applicant, regardless of entity type, must provide the information contained in, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar.

# **REMINDER:** The individual who completed the online portion of the account application will be able to return to the CITSS to print these forms if you exit the CITSS at this time.

Guidance to help you complete the Corporate Associations and Structure Form and blank copies of these forms are available on the ARB website. DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS account application.

- STEP 1 Click on each Form Button. Each form opens in a new browser tab.
- **STEP 2 Print each Form and then return to the Account Application Submitted page** by navigating back to the original browser tab where the Registration Submitted page is displayed. You can do this by either closing the tab that displays the form or clicking on the tab for the Registration Submitted page.
- STEP 3 Continue until all forms have been printed.



# Figure 22 – Account Application Submitted

WCI, Inc. Branch Development	CITS	Compliance Instrument Tracking System Service		English • Français • LOGGED IN A	AS: cjones123		
Log Out Home	Account	Application Submi	tted				
Contact Us My User Profile	Account appli Your application for Please keep this nu	cation submitted successfully. An e-main r an account has been electronically sub mber in a safe place as it is the unique	I confirmation has been sent for your sub omitted to the Jurisdiction Registrar. You identifier of your account application.	omitted application. Ir application has been assigned CITSS Entit	y ID CA1018.		
Account Registration	You have successfu Creating a compliant to the Jurisdiction R completed Account provide original sign forms that are provid Account Application documents, your ac	Ily submitted your Account Application noe instrument account in the CITSS is lagistrar. The forms below are provided Application with Attestations Form and natures on the Account Application with ded for your convenience, you may sub o Cheditat. If the information provided in Cheditat. If the information provided in a conta socileation will be denied.	online to the CITSS, but you aren't finisi a multiple-step process that includes bot for your convenience to submit the infor the completed Corporate Associations a Attestations Form and the Corporate As mit the required information in a letter, v is inaccurate or incomplete, or the Jurisd	hed yet. th electronic submission and mailing of requi mation. Print and mail the Account Applicati and Structure Form to the Jurisdiction Registra sociations and Structure Form. If you do not this signatures, and mail to the address provi iction Registrar cannot verify receipt of all ha	red information on Chedklist, the r. You must want to use the ded in the rd copy		
downeers, your account approximation with be denied. The following buttons The following							
	Should you have an WCI, Inc. CITSS He Email: help@wci-ci Phone number: 1-8	Checklist ny questions regarding your Account Ap Ip Desk: tss.org e0.682-7661	Attestations Form	Structure Form			
	Upon review of the s approval, denial, or	submitted materials, the Jurisdiction Re pending status of your account applica	gistrar will send an email to the email a tion.	ddress you have registered in CITSS notifyin;	g you of		
	Impor	tant Reminder: Yo	u must print, comp	lete, sign, and mail ir	n the		
	Account	Application Checl	klist, the Account A	opplication with Attes	tations		
	Form a	nd the Corporate A	Associations and S	tructure Form, or ren	nit the		
	same	required information	on in a letter, in ord	er to obtain a compli	ance		
		instrur	nent account in the	OITSS.			
WCI, Inc.		Western Climate Initiative, Inc. ( to provide administrative implementation of state and pr	NCI, Inc.) is a non-profit corporation form and technical services to support the ovincial greenhouse gas emissions tradir	ned ng ¢a	RIDGE DI2 SRA International, Inc.		

Instructions to assist you as you complete the required forms are provided in Section 3.5 of this volume of the User Guide. Please move forward to <u>Section 3.5</u> now.

# 3.4 General Market Participant - Organization Account Application

Section 3.4 is specific to the data entry required to complete an account application for organizations that will act as general market participants.

#### **General Market Participants:**

- Must complete user registration in the CITSS (Account Representatives and Account Viewing Agents);
- Must complete an account application for a compliance instrument account, meeting all requirements and receiving approval from the California Registrar;
- Must report information related to directors and officers, individuals with voting rights and corporate associations through the account application process;
- Must report any changes in information such as ownership, representatives, and corporate associations in a timely manner, as specified in the Regulation;
- May hold compliance instruments in a holding account; and
- May transfer compliance instruments according to all established policies and procedures.

#### NOTES:

If the entity applying for accounts will be an **exchange clearing service provider**, the entity must apply as a general market participant organization and select **Clearing Service Provider** on the second data entry screen (see Figure 24) to be eligible to receive an exchange clearing account. **An exchange clearing service provider** is an entity that will only take temporary possession of compliance instruments for the purpose of clearing transactions between two entities registered with the Cap-and-Trade Program. Per the Regulation, a qualified entity must be a derivatives clearing organization as defined in the Commodities Exchange Act (7 U.S.C. § 1a(9)) that is registered with the U.S. Commodity Futures Trading Commission pursuant to the Commodities Exchange Act (7 U.S.C. § 7a-1(a)). Exchange clearing service providers receive *Exchange Clearing Service Accounts* only and do not receive *General Accounts*.



#### **3.4.1 Account Application: Jurisdiction and Account Type**

- **STEP 1** Select California as the Jurisdiction from the drop-down menu. General Market Participants are applying to participate in California's program and therefore select California.
- **STEP 2** Select the Entity Type from the drop-down menu.
- STEP 3 Click on "Continue."

#### Figure 23 – Account Application: Jurisdiction and Account Type

WCI, Inc. Branch Develop	ment CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: cjones123
Log Out Home Contact Us My User Profile Account Registration Transfer History	<section-header><text><text><text><text><text><text><text></text></text></text></text></text></text></text></section-header>
WCl, Inc.	Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.         © 2012 SRA International, Inc. All right reserved

#### 3.4.2 Account Application: Additional Information

On the "Account Application: Additional Information" page that is specific to General Market Participants that are Organizations (Figure 24), the user must provide a legal name and identify the type of organization.

# STEP 1 Enter the Legal Name of the organization as listed on official documents such as Secretary of State business documents.

- **STEP 2** Select the appropriate button to identify the type of organization. Multiple entries are not allowed. If more than one entry describes your organization, choose the most descriptive. For instance, a nonprofit corporation would choose Non-profit, not Corporation. If the entity applying for accounts will be an exchange clearing service provider, the entity must select Clearing Service Provider to be eligible to receive an exchange clearing account.
- STEP 3 If you select "Other," you must enter more detail in the data field below the button.
- STEP 4 Click on "Continue."



# Figure 24 – Account Application: Additional Information

WCI, Inc Branch Development	CITSS	Compliance Instrument Tracking System Service		English • Français	LOGGED IN AS: cjones123	
Log Out	Account App	lication: Additional	Information			
Home Contact Us My User Profile	General Market Participan creating a new account, p another user.	it accounts can be opened for a facili lease ensure that an account for your	ty, business, organization, or n facility, business, organization	atural person who are not n, or natural person hasn't	covered entities. Before already been created by	
Account Registration	* = Required field					
Transfer History	Entity Information Jurisdiction	California				
	Entity Type Legal Name of Organi	General Market Particip	pant - Organization			
	California Non F	Profit A				
	Operating Name * California Non F	Profit A				
	Type of Organization	*				
	<ul> <li>Authorized Projet</li> <li>Brokerage/Investr</li> </ul>	ct Designee ment Firm				
	Charitable Trust	Provider				
	Corporation Early Action Offse	et Program				
	Early Action Offse General Partnersi Government	et Project Operator hip				
	<ul> <li>Limited Partnersh</li> <li>Non Government</li> </ul>	nip al Organization				
Mon-Profit      Offset Project Operator      Offset Project Registry						
	<ul> <li>Verification Body</li> <li>Other (Please spectrum)</li> </ul>	ecify below)				
	Continue Back					
WCI, Inc.	in	Western Climate Initiative, Inc. (WCI formed to provide administrative and polementation of state and provincial	, Inc.) is a non-profit corporatio technical services to support to oreenhouse cas emissions trac	he dina	C 2012 SRA International. Inc.	

#### **3.4.3 Account Application: Identifiers**

The "Account Application: Identifiers" page for a General Market Participant -Organization (Figure 25) requires that information used to identify the organization be entered. As with User ID registration, all required fields are identified with an asterisk (\*). In the figure, sample information and IDs were entered into the fields.

- **STEP 1** Enter the ID Number for this entity that was provided by the incorporating agency (if the entity is incorporated). This is a required field; if the entity is not incorporated or is a public agency, enter a zero in this field.
- **STEP 2** Enter the incorporation state, country, and date in the appropriate fields, if applicable (if the entity is incorporated). These are required fields; if the entity is not incorporated or is a public agency then enter California as the State, United States as the country and the current date in the date field.
- **STEP 3** Enter the Federal Tax Employer Identification Number. All entities must enter this number, which is used by the Internal Revenue Service.
- **STEP 4** Enter the ORIS Identifier if assigned. The U.S. Energy Information Agency (EIA) of the U.S. Department of Energy (DOE) assigns an ORIS (Office of Regulatory Information Systems) identifier to electricity generating units (i.e., primarily facilities with a Standard Industrial Classification code of 4911). Information about ORIS ID numbers is available at: <u>www.eia.doe.gov</u>.
- STEP 5 Enter the ID Number assigned to the entity by the Secretary of State (SOS). If a business entity is a California corporation; nonprofit; association; limited liability company; or a general, limited, or limited liability partnership the entity is required to register with the California SOS business office. Although not required by the CITSS, providing this number will assist the California Registrar and will support a rapid review of your application.
- **STEP 6** Enter the entity's Data Universal Numbering System (DUNS) Number. The DUNS number is a nine-digit number, issued by Dun & Bradstreet (D&B), assigned to each business location in the D&B database, having a unique, separate, and distinct operation for the purpose of identifying them.

You will not enter the Numéro d'entreprise du Québec, which is provided in the CITSS to support other programs in other jurisdictions.

#### STEP 7 Click on the "Continue" button.



# Figure 25 – Account Application: Identifiers

WCI, Inc. Branch Development	CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: cjones 123
Log Out Home	Account Application: Identifiers
Contact Us My User Profile Account Registration	Entity Information       Jurisdiction     California       Entity Type     General Market Participant - Organization       Legal Name     California Non Profit A
Transfer History	Operating Name California Non Profit A Identifiers and Registration Codes
	Entity Identification ID Number Assigned by Incorporating Agency Incorporation Province or State
	Incorporation Country * - Select
	Identification Number (EIN) ORIS Number Numéro d'entreprise du Québec
	ID Number Assigned by the California Secretary of State DUNS Number
	Continue Back
WCI, Inc.	to provide administrative and technical services to support the RIDGE implementation of state and provincial greenhouse gas emissions trading programs. All rights reserved

#### **3.4.4 Account Application: Contact Information**

The "Account Application: Contact Information" page (Figure 26) includes address and contact information for the entity. Sample information has been entered in the figure.

#### STEP 1 Enter the physical address for the entity.

- **STEP 2** Enter the proper mailing address for receiving information specific to the Cap-and-Trade Program, the CITSS, and the entity's CITSS accounts. You can select the option of using the physical address as the mailing address by clicking on the box prior to the Mailing Address fields.
- **STEP 3** Enter the entity contact information for general communication and to reach account representatives regarding questions on the CITSS accounts.
- **STEP 4** Enter a phone number for a person or department that should be contacted. Enter only numbers for phone numbers, with no spaces or dashes (-).
- STEP 5 Enter a mobile phone number and fax number, if available.
- STEP 6 Enter an email address that can be associated with general communication related to the CITSS. Official notifications for account actions will NOT be sent to this email address unless it is also associated with an account representative.
- STEP 7 Click on "Continue."



# *Figure 26* – Account Application: Contact Information

WCI, Inc. Branch Developme	"CITSS 🗄	ompliance Instrument cking System Service	English • Français • LOGGED IN AS: cjones12	23
Log Out Home	Account Applica * = Required field	tion: Contact Inform	nation	
Contact Us My User Profile Account Registration Transfer History	Entity Information Jurisdiction Entity Type Legal Name Operating Name	California General Market Participant - Orgar California Non Profit A California Non Profit A	nization	
	If applicable, please use the same Address Line 1	<ul> <li>physical address of the entity used for re</li> <li>100 Charity Way</li> </ul>	eporting under MRR.	
	City Province or State Postcode or Zip Code	Anytown     California     90000	•	
	Country Mailing Address Enter the address that you would li	* United States 👻		
	Is the mailing address the same as the physical address? Address Line 1 Address Line 2	* PO Box 200		
	City Province or State Postcode or Zip Code	Anytown     California     90000-200	•	
	Country Entity Contact Information Enter any additional contact informa	<ul> <li>United States          <ul> <li>ation here for the entity.</li> </ul> </li> </ul>		
	Telephone Telephone Extension Mobile phone	* 9162002000		
	Facsimile Number E-mail Address Website Address	* nonprofita@email.com		
	Continue Back	limate Initiative, Inc. (WCI, Inc.) is a non-p	profit corporation formed	
WCI, Inc.	to pr implement	rovide administrative and technical servic tation of state and provincial greenhouse programs.	ces to support the gas emissions trading © 2012 SRA International All rinhts reserved	

#### **3.4.5 Account Application: Account Representatives**

The "Account Application: Account Representatives" page (Figure 27) includes a summary of data entered to this point in the application process and an area for data entry of account representatives.

**Once you have reached this page, the data entered will be saved**. You can move back to prior pages without losing any data. You can also change or add new data as needed. You can exit the CITSS and return to complete the account application at a later time. Any account applications that have not been completed will show in the home page of the individual who entered the application under the "Account Applications" section.

Near the top of this page are four navigation buttons: Entity Data, Contact Information, Representatives, and Review and Submit. The text below each button, with the exception of the "Review and Submit" button, indicates the steps you have completed (green text) and the information you still need to complete (red text). You can use these navigation buttons to move among the pages to enter or revise the information. Figure 28 displays the upper portion of the "Account Application: Account Representatives" page with the navigation buttons. At this point in the account application, the "Representatives" button has red text below it indicating "PAR Required" and "AAR Required." This information is needed to complete the account application.



### *Figure 27* – Account Application: Account Representatives

<section-header><section-header><text><text><text><text><text><text></text></text></text></text></text></text></section-header></section-header>	WCI, Inc. Branch		liance Instrument English • Français • LOGGED IN AS: cjones123	
<text><text><text><text><text><text><text></text></text></text></text></text></text></text>		Account Applicatio		
<text><text><text><text><text><text><text></text></text></text></text></text></text></text>	Log Out	Account Applicatio	on: Account Representatives	
<text><text><text><text><text><text></text></text></text></text></text></text>	Home	Account representatives are individuals	s with the authority to represent the entity in the CITSS and can edit entity information, propose to change	
<text><text><text><text><text><text></text></text></text></text></text></text>	Contact Us	representatives, and report the transfer	r of compliance instruments. Each account must have at least two representatives, the Primary Account	
<text><text><text><text><text><text></text></text></text></text></text></text>	my oser prome	and between one and four additional A	a Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR ARs. Account Viewing Agents (AVAs), with limited view only access to your accounts, can be assigned to an account	i
<text><text><text><text><text><text></text></text></text></text></text></text>	Account Registration	after the account application has been s	submitted and approved by the Jurisdiction Registrar.	
<text><text><text><text><text></text></text></text></text></text>	Transfer History	You must designate the account repres individual registration. To ensure that th Review and Submit screen	sentatives below. An account representative is identified by their unique User Reference Code obtained during he correct User Reference Code has been entered, you should review the names of the PAR and the AAR on the	
<text><text><text><text></text></text></text></text>		Note Regarding General Market Particip account access and security, an individ	pants - Individuals: Individual account holders are only required to designate themselves as a PAR. For additional Jual account holder may optionally designate AARs.	
<text><text><form></form></text></text>		Call your Jurisdiction Help Desk for que	estions regarding designating account representatives.	
<text><text><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></text></text>		* = Required field		
<form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>	(	Upon reaching this screen, you have the four buttons below, are Entity Data, Con but the buttons allow you to go back or a you complete the information on each or At this point screate with the account age at a treat free to enter additional inform submitted to the Registrar, it cannot be	he ability to switch between the key pages required to complete account registration. The pages, represented by the ntact information. Representatives, and Review and Submit. The CITSS will automatically progress to each page, skip forward as may be needed to complete or correct information. The CITSS will show completed status ( <b>v</b> ) as nace polication process and your information will be saved, but not submitted to the Registrar. The "Hows you to refurn nation, print documentation, and submit the completed application to the Registrar. Once the application is been modified until the Registrar has acted upon the application.	
<form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>		Entity Data >	Contact Information > Representatives > Review and Submit	)
<text><text><text><text></text></text></text></text>		Required Data Complete	Required Data Complete     PAR Required	<b>*</b>
<form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>			AAR Required	
<form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>				
<form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>		Entity Information		
<form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>		Jurisdiction	California	
<form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>		Enuty Type	California Non Profit A	
<form><form><form><form><form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form></form>		Operating Name	California Non Profit A	
<form><form><form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form></form></form>		Account Representatives		
<form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form>		Primary Account Representative (Rec	nuired)	
<form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form>		Current Poprocentative	<no corresponditions<="" current="" td=""><td></td></no>	
<form><form><form><form><form><form><form></form></form></form></form></form></form></form>		Assign Primary Account	Lam the Primary Account Depresentative (PAD)	
<form><form><form><form><form><form><form><form><form><form></form></form></form></form></form></form></form></form></form></form>		Representative	<ul> <li>Select a different registerinative (PAR).</li> <li>Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.</li> </ul>	
<form><form><form><form><form><form><form><form>  Alexade Account Representative   Carrier of an and and and and and and and and and</form></form></form></form></form></form></form></form>		User ID Application Reference Code for PAR		
<form><form><form><form><form><form><form>     Current Representative</form></form></form></form></form></form></form>		Alternate Account Representative(s)		
<form><form><form><form><form><form>     Assign attender account</form></form></form></form></form></form>		Current Representative(s)	<no current="" representative=""></no>	
<form><form><form><form><form><form><form></form></form></form></form></form></form></form>		Assign Alternate Account	I am one of the Alternate Account Representatives (AAR).	
<form><form>          Ad additional Alternate Account Representative (AAR) by ending the User ID Application Reference</form></form>		Representative	I am not an Alternate Account Representative, or I am an individual account holder and do not wish to add an Alternate Account Representative.	
User ID Application Reference Code for ARR #2         User ID Application Reference Code for ARR #3         User ID Application Reference Code for ARR #4         Attennate Contact Person - Optional         If desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.         Contact Pirst Name		Add additional Alternate Account Rep	oresentative (AAR) by entering the User ID Application Reference Codes below	
Code for AR #1		User ID Application Reference *		
User ID Application Reference Code for AAR #3         User ID Application Reference Code for AAR #3         User ID Application Reference Code for AAR #4         Alternate Contact Person - Optional         Idesired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.         Contact First Name Contact Last Name Contact Constitution         Contact Telephone Contact Telephone Contact Mobile Numbers Contact Email Address         Contact Email Address and proving administrative and technical services to support the proving administrative and technical services to support the proving administratis and proving administrative a		Code for AAR #1		
User ID Application Reference Code for AAR #3         User ID Application Reference Code for AAR #4         Alternate Contact Person - Optional         It desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.         Contact First Name         Contact First Name         Contact Telephone         Contact Telephone         Contact Email Address         Contact Email Address and provinghal greenhouse gas emissions transfers         Contact Email Address and provinghal greenhouse gas emissions transfers		User ID Application Reference Code for AAR #2		
Code for AAR #3         User ID Application Reference         Code for AAR #4         Alternate Contact Person - Optional         It desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.         Contact first Name		User ID Application Reference		
User ID Application Reference Code for AAR #4         Alternate Contact Person - Optional         It desired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for any secure actions, such as transfers or changes in representatives, related to this account.         Contact First Name         Contact First Name         Contact Position         Contact Telephone         Contact Email Address         Contact Box Dimeters         Contact Email Address         Contact Strate Initiative, Inc. (WCI, Inc.) Is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provinging greenhouse gas emissions trading		Code for AAR #3		
Alternate Contact Person - Optional         Idesired, you may also designate an additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of contact for may secure actions, such as transfers or changes in representatives, related to this account.         Contact First Name		User ID Application Reference Code for AAR #4		
Contact First Name		Alternate Contact Person - Op If desired, you may also designate an a contact for any secure actions, such as	tional additional point of contact for this account or set of accounts. The PAR and AARs will remain the primary points of s transfers or changes in representatives, related to this account.	
Contact Last Name		Contact First Name		
Contact Position		Contact Last Name		
Contact Telephone		Contact Position		
Contact Mobile Number         Contact Email Address         Continue         Continue         Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.		Contact Telephone		
Continue  Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.		Contact Mobile Number		
Continue         Western Climate Initiative, Inc. (WCi, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.		Contact Email Address		
Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.		Continue		
Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.				
	WCI, Inc.	Western Clima to provic implementatio	ate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed de administrative and technical services to support the on of state and provincial greenhouse gas emissions trading programs.	. Inc.

#### **Designating Account Representatives and an Alternate Contact**

Figure 28 displays the lower section of the Account Representatives page where the individual entering data will designate the PAR and AARs. The PAR and AARs are the individuals with the authority to purchase, transfer, and sell compliance instruments on behalf of the entity, and to manage the entity's accounts. A PAR and one (1) AAR must be designated for each entity during account application. An entity may designate up to four (4) AARs.

All designated account representatives must be approved CITSS Users. To enter the information for representatives, the person entering data in the CITSS will need the User Reference Codes for each representative.

At this point in the account application, the individual entering data can also identify an additional point of contact for the entity that is not one of the account representatives. These are not required fields, but it may be helpful to have another individual to contact in the event that there is a question or issue and the CITSS staff is unable to reach the account representatives. No confidential information will be conveyed to the alternate contact, and no emails related to compliance instruments transactions will be sent to this email address.

- **STEP 1 Designate the PAR for the account(s).** Select yourself as the PAR or a different registered CITSS User by selecting the appropriate button. The person completing the application is not required to be either the PAR or the AAR. If you have identified another CITSS User as the PAR, enter the 12-digit User Reference Code in the appropriate field.
- STEP 2 Designate the AARs for the account(s) and enter the 12-digit User Reference Codes in the appropriate field. If you are not designated as the PAR you can select yourself as one of the AARs by selecting the first AAR button. If designating a different registered CITSS user(s) as the AAR(s), select the second button. Individual account holders that do not want to designate additional AARs select the second button but do not enter any User Reference Codes.

# STEP 3 Enter the name, position, phone numbers, and email address of the additional account contact in the appropriate fields.

#### STEP 4 Click on "Continue" to proceed.

If an error code is displayed stating that one of the User Reference Codes entered could not be verified, it may be that the individual's user registration has not been approved yet or that a typographical error was entered in the User Reference Code field. If you are having any difficulty completing the representatives entry, contact the CARB CITSS Help Desk by email: <u>CACITSSHelpdesk@arb.ca.gov</u> or phone: 916-324-7659.

**NOTE:** An entity can also add or change representatives and can designate up to five (5) Account Viewing Agents after the account application has been approved.

# *Figure 28* – Account Application: Account Representatives

		ion: Account Repre	sentatives	
) Out	Account Applicat	ion. Account Repre	sentatives	
ne	Account representatives are individua	als with the authority to represent the ent	ity in the CITSS and can edit entity information, propose to change	
User Profile	representatives, and report the transfer of compliance instruments. Each account must have at least two representatives, the Primary Account Representative (PAR) and the Alternate Account Representative (AAR). The PAR and the AARs must be different individuals. You must designate one PAR			
	and between one and four additional	AARs. Account Viewing Agents (AVAs),	with limited view only access to your accounts, can be assigned to an account	
count Registration	You must designate the account repr	resentatives below. An account represer	nation Registral.	
nsfer History	individual registration. To ensure that Review and Submit screen.	t the correct User Reference Code has b	seen entered, you should review the names of the PAR and the AAR on the	
	Note Regarding General Market Parti account access and security, an indi-	cipants - Individuals: Individual account vidual account holder may optionally des	holders are only required to designate themselves as a PAR. For additional signate AARs,	
	Call your Jurisdiction Help Desk for c	questions regarding designating accourt	t representatives.	
	* = Required field			
	Upon reaching this screen, you have four buttons below, are Entity Data, C but the buttons allow you to go back o you complete the information on eacl	the ability to switch between the key pag contact Information, Representatives, an or skip forward as may be needed to cor h page.	ges required to complete account registration. The pages, represented by the d Review and Submit. The CITSS will automatically progress to each page, mplete or correct information. The CITSS will show completed status ( $\checkmark$ ) as	
	At this point, you may exit the account at a later time to enter additional infor	application process and your information rmation, print documentation, and submite the modified until the Decision and submite	on will be saved, but not submitted to the Registrar. This allows you to return it the completed application to the Registrar. Once the application has been thereas the complexities.	
	Submitted to the Registrar. It cannot			
$\boldsymbol{\mathcal{C}}$	Entity Data >	Contact Information >	Representatives > Review and Submit	
	Required Data Complete	✓ Required Data Complete	PAR Required	
	Entity Information			
	Jurisdiction	California		
	Entity Type	General Market Participant - Organiz	zation	
	Legal Name	California Non Profit A		
	Operating Name	California Non Profit A		
	Account Representatives			
	Primary Account Representative (Re	quired)		
	Current Representative	<no current="" representative=""></no>		
	Assign Primary Account	I am the Primary Account Repres	entative (PAR)	
	Representative	Select a different registered user Application Reference Code below.	as the Primary Account Representative (PAR). Enter the User ID	
	User ID Application Reference Code for PAR			
	Alternate Account Representative(s)			
	Current Representative(s)	<no current="" representative=""></no>		
	Assign Alternate Account Representative	<ul> <li>I am one of the Alternate Account</li> <li>I am not an Alternate Account Repairs an Alternate Account Representative</li> </ul>	Representatives (AAR). representative, or I am an individual account holder and do not wish to add	
	Add additional Alternate Account Reg	presentative (AAR) by entering the Use	r ID Application Reference Codes below.	
	User ID Application Reference *	JKDF7RV6JSHR		
	Code for AAR #1			
	Code for AAR #2			
	User ID Application Reference Code for AAP #3			
	GOUGIUL MAIN #J			
	User ID Application Reference			
	User ID Application Reference Code for AAR #4			
	User ID Application Reference Code for AAR #4 Alternate Contact Person - On	tional		
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op	rtional	unt or set of accounts. The PAR and AARs will remain the orimany points of	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as	rtional additional point of contact for this accou	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name	xtional additional point of contact for this accou s transfers or changes in representative Lee	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name	xtional additional point of contact for this accou s transfers or changes in representative Lee Smith	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name Contact Lost Name	xtional additional point of contact for this accou s transfers or changes in representative Lee Smith Administrative Assistant	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name Contact Lestion Contact Telebhone	xtional additional point of contact for this accou s transfers or changes in representative Lee Smith Administrative Assistant	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name Contact Lostition Contact Telephone Contact Telephone	xtional additional point of contact for this accou s transfers or changes in representative Lee Smith Administrative Assistant 9163003000	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name Contact Last Name Contact Position Contact Telephone Contact Mobile Number	xtional additional point of contact for this accou s transfers or changes in representative Lee Smith Administrative Assistant 9163003000	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name Contact Last Name Contact Desition Contact Telephone Contact Telephone Contact Mobile Number Contact Email Address	additional point of contact for this accounts transfers or changes in representative Lee Smith Administrative Assistant 9163003000	int or set of accounts. The PAR and AARs will remain the primary points of iss, related to this account.	
	User ID Application Reference Code for AAR #4 Alternate Contact Person - Op If desired, you may also designate an contact for any secure actions, such as Contact First Name Contact Last Name Contact Last Name Contact Telephone Contact Telephone Contact Email Address Contact Email Address	xtional additional point of contact for this accou s transfers or changes in representative Lee Smith Administrative Assistant 9163003000	int or set of accounts. The PAR and AARs will remain the primary points of is, related to this account.	

#### 3.4.6 Account Application: Review and Submit

The "Account Application: Review and Submit" page (Figure 29) displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. After the PAR and AAR have been added, the status will indicate that the representative information was successfully added and that the account registration is in progress, and it will display a "CITSS Entity ID." This unique entity ID number can be used to identify the application while in progress and will be associated with the entity's account(s) following approval. This page also summarizes the information entered in the entity's account application. Review the information entered to ensure that it is correct.

- STEP 1 Review the data. If there is a need to make any edits, select the appropriate navigation buttons (Entity Data, Contact Information, or Representatives) and correct the information. NOTE: If you navigate to another page and make changes, you will need to click on "Continue" at the bottom of the page where you have entered changes for those changes to be saved.
- STEP 2 When the data entry is complete, return to the Review and Submit page by either clicking "Continue" on all prior pages or clicking on the "Review and Submit" button at the top of any page.
- STEP 3 Click the "Submit Application" button located at the bottom of the page.



# Figure 29 – Account Application: Review and Submit

WCI, Inc. Branch Developmen		ompliance Instrument icking System Service	Englis	sh • Français • LOGGED IN AS: cjones123
Log Out	Account Applica	tion: Review and	d Submit	
Home Contact Us	Representative information s	uccessfully added.		
My User Profile	Status		Comment	Created Date
Account Registration	Registration in Progress			2012-12-12
Transfer History	Upon reaching this screen, you ha four buttons below, are Entity Data	ve the ability to switch between the , Contact Information, Represental	e key pages required to complete tives, and Review and Submit. TI	a account registration. The pages, represented by the he CITSS will automatically progress to each page,
	but the buttons allow you to go bac you complete the information on e	k or skip forward as may be need ach page.	ed to complete or correct informa	ation. The CITSS will show completed status ( $m{\prime}$ ) as
	At this point, you may exit the account at a later time to enter additional in submitted to the Registrar, it cannot	unt application process and your in formation, print documentation, ar ot be modified until the Registrar h	nformation will be saved, but not nd submit the completed applica las acted upon the application.	submitted to the Registrar. This allows you to return tion to the Registrar. Once the application has been
	Entity Data	> Contact Information	> Representati	ves > Review and Submit
	<ul> <li>Required Data Complete</li> </ul>	<ul> <li>Required Data Complete</li> </ul>	✓ AAR	
	This screen summarizes the inform	mation entered to create an accou	nt.	
	CITSS Entity ID	CA1019		
	Legal Name	California Non Profit A		
	Jurisdiction	California		
	Entity Type	General Market Participant	- Organization	
	Organization Type	Non-Profit		
	Organization Type (Other)	Registration in Progress		
	Created by	Chris Jones		
	Date Created	2012-12-12		
	Entity Identification			
	II S. Enderal Tax Employer	122456790		
	Identification Number (EIN)	123450769		
	DUNS Number	123456789		
	ID Number Assigned by Incorporating Agency	123456		
	Incorporation Province or State	California		
	Incorporation Country	United States		
	ID Number Assigned by the	123456		
	California Secretary of State			
	Physical Address			
	Address Line 1	100 Charity Way		
	Address Line 2	1 m . 4 m		
	Province or State	California		
	Postcode or Zip Code	90000		
	Country	United States		
	Mailing Address			
	Address Line 1	PO Box 200		
	Address Line 2	10000200		
	City	Anytown		
	Province or State	California		
	Country	United States		
	Entity Contact Information			
	Telephone	9162002000		
	Telephone Extension			
	Mobile phone			
	E-mail Address	nonprofita@email.com		
	Website Address			
	Assount Representatives			
	Primary Account Penresentatives	Chris Jones ABC Corneration		
	Alternate Account Representative	Jan: Janking Julian Desife		
	(5)	Seny Senkins, Onion Pacific		
	Alternate Contact Person - O	ptional		
	Contact First Name	Lee		
	Contact Last Name	Smith		
	Contact Position	Administrative Assistant		
	Contact Telephone Contact Mobile Number	9163003000		
	Contact Email Address			
	Submit Application Cano	el Application		
	Waston Clin	nate Initiative Inc. (WCL Inc.) le e e	n-profit cornoration formed	. Mar
WCI, Inc.	to pro	vide administrative and technical se tion of state and provincial greenbor	ervices to support the use gas emissions trading	82012 SRA International Inc
		programs.	are gab emissions leading.	All rights reserved

#### **3.4.7 Account Application: Terms and Conditions**

The "Account Application: Terms and Conditions" page (Figure 30) contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

- STEP 1 Read the Terms and Conditions statement on this page.
- **STEP 2** To accept the Terms and Conditions, re-enter your password in the Password field. This entry is required, and you will not be able to submit the application without re-entering your password.
- STEP 3 Click the "Submit Application" button.

At this point, the online submittal of information for an account application for a General Market Participant - Organization has been completed.



# Figure 30 – Account Application: Terms and Conditions

 WCI, Inc Branch Development	CITSS Compliance Instrument Tracking System Service English · Français · LOGGED IN AS: cjones123
Log Out	Account Application: Terms and Conditions
Home Contact Us My User Profile	Please read the following terms and conditions, enter your password and click Submit Application to submit your application for review. = Required field
Account Registration	By clicking the Submit Application button, 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 the State of California and its courts for purposes of enforcement of the aws, rules and regulations, including but not limited to those pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are
Transfer History	significant penallies for commung rarse statements and information or on the required statements and information. Password  Submit Application Cancel

Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.	© 2012 SRA International, Inc. All rights reserved
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**Email** - An email confirmation will be sent to the user and the assigned account representative(s) indicating that the account application was successfully submitted.

#### 3.4.8 Account Application Submitted

The "Account Application Submitted" page (Figure 31) will be displayed after the Terms and Conditions have been accepted and indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. The "Account Application Submitted" page includes the 6-character Entity Code (e.g., CA-1019) specific to your submitted account application (circled on Figure 31).

To complete the account application, the required forms that are accessed from the navigation buttons on this page need to be printed, completed, and submitted to the California Registrar. The address is provided on the Account Application Checklist.

Figure 31 highlights the navigation buttons that access the forms - the (1) Account Application Checklist, (2) Account Application with Attestations Form, and (3) Corporate Associations and Structure Form. The Account Application Checklist provides a summary of the information that must be completed and the address of the California Registrar. The Account Application with Attestations Form and the Corporate Associations and Structure Form must be completed, signed, and mailed to the California Registrar along with any additional documentation used to provide the information described on the Corporate Associations and Structure Form. Each account applicant, regardless of entity type, must provide the information contained in, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar.

# **REMINDER:** The individual who completed the online portion of the account application will be able to return to the CITSS to print these forms if you exit the CITSS at this time.

Guidance to help you complete the Corporate Associations and Structure Form and blank copies of these forms are available on the ARB website. DO NOT submit forms using the blank forms prior to submitting the online portion of the CITSS account application.

- **STEP 1** Click on each Form Button. Each form opens in a new browser tab.
- **STEP 2 Print each Form and then return to the Account Application Submitted page** by navigating back to the original browser tab where the Registration Submitted page is displayed. You can do this by either closing the tab that displays the form or clicking on the tab for the Registration Submitted page.
- STEP 3 Continue until all forms have been printed.



# *Figure 31* – Account Application Submitted

Branch Development	CITSS Complian ce Instrument Tracking System Service English · Français · LOGGED N AS: cjones123				
Log Out Home	Account Application Submitted				
Contact Us My User Profile	Account application submitted successfully. An e-mail confirmation has been sent for your submitted application. Your application for an account has been electronically submitted to the Jurisdiction Registrar. Your application has been assigned CITSS Entity ID CA1019.				
Account Registration	Please weep this number in a safe place as it is the Unique identifier or your account application. You have successfully submitted your Account Application online to the CITSS, but you aren't finished yet.				
Transfer History	Creating a compliance instrument account in the CITSS is a multiple-step process that includes both electronic submission and mailing of required information to the Jurisdiction Registrar. The forms below are provided for your convenience to submit the information. Print and mail the Account Application Checklist, the completed Account Application with Attestations Form and the completed Corporate Associations and Structure Form to the Jurisdiction Registrar. You must provide original signatures on the Account Application with Attestations Form and the Corporate Associations and Structure Form. If you do not want to use the forms that are provided for your convenience, you may submit the required information in a letter, with signatures, and mail to the address provided in the Account Application Checklist. If the information provided is inaccurate or incomplete, or the Jurisdiction Registrar cannot verify receipt of all hard copy documents, your account application will be denied.				
	The following buttons open a new bowseewindow of the life of the stand of the stand of the stand of the stand of these forms any your browser print function. After printing, you should close the window / tab (not your browser) to return to this page.				
	1. Account Application         2. Account Application with Checklist         3. Corporate Associations and Structure Form				
	Should you have any questions regarding your Account Application, you may contact the CITSS Help Desk.				
	WCI, Inc. CIT\$S Help Desk: Email: help@wd-dists.org Phone number: 1480-827.761				
	Upon review of the submitted materials, the Jurisdiction Registrar will send an email to the email address you have registered in CITSS notifying you of approval, denial, or pending status of your account application.				
	Important Reminder: You must print, complete, sign, and mail in the				
	Account Application Checklist, the Account Application with Attestations				
	Form and the Corporate Associations and Structure Form, or remit the				
	same required information in a letter, in order to obtain a compliance				
	instrument account in the CITSS.				
CL Inc.	Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementations of table and exercised areas excision and exercision. 0 2012 SRA Internatives in				

Instructions to assist you as you complete the required forms are provided in Section 3.5 of this volume of the User Guide. Please move forward to Section 3.5 now.

# **3.5 Completing Account Application Forms and Documentation**

Completing an account application for compliance instrument accounts is a multi-step process that includes both electronic submission and mailing of required hard-copy information to the California Registrar. The Registrar will not review this application until all forms and documentation have been received and verified to be complete. The forms provided at the end of the electronic data entry on the page titled "Account Application Submitted" (Figure 32) are provided for your convenience, to submit the required information. If an applicant does not want to use the forms that are provided, that applicant may submit the required information in a letter, with original signatures.

#### **3.5.1 Account Application Checklist**

The first of the three forms is the #1 Account Application Checklist. Figure 30 is an example of the printed version of this form. A sample Account Application Checklist is located in Appendix A.

- The Account Application Checklist provides a reference of the documents that must be completed and the mailing address for submitting all forms and documentation.
- The Account Application Checklist includes the 6-character Entity Code assigned to your account application. The Entity Code will be associated with your accounts after approval.


# Figure 32 – Account Application Checklist

CITSS Compliance Instrument Tracking System Service	
#1 Account Application Che	ecklist
Print this form (page) using your browser print function. After return to the CITSS application where you can select the pr Application Form , and the Corporate Associations and Stru	er printing, you should close this window/tab (not your browser) to rint windows for the Account Application Checklist, Account roture Form .
CITSS Entity ID:	
To finish your account registration, you must complete the t	following steps:
Print the Account Application Checklist	
Print the Account Application with Attestations	Form
Complete the Additional Information Red	quired section of the Application Form
Provide the original signature of the Prin	nary Account Representative
Provide the original signature of the Alte	rnate Account Representative
Provide the original signature of a Direct	tor or Officer of the Entity
Print the Corporate Association and Structure F	Form
Complete each applicable section of the	Form
Provide the original signature of the Prin	nary Account Representative or Alternate Account Representative
Mail all of the above materials to the Jurisdictio	n Registrar at the address below.
Mail the completed forms to:	
Ca Attn: The CITS	nirornia ARB SS Account Registration
1001 I	Street, 6th Floor
Sacran	nento, CA 95814
Jpon review of the submitted materials, the Jurisdiction Re notifying them of approval, denial, or pending status of acc Registrar, the PAR and AARs will be able to access compli	gistrar will send an email to the PAR and AARs registered in CITS: ourt application. After receiving approval from the Jurisdiction iance instrument account(s).
-	

#### **3.5.2 Account Application with Attestations**

Figure 33 displays #2 Account Application with Attestations, that the applicant will print, sign, and mail to the California Registrar. Signature lines for this form are located in Section 3.0 Primary Account Representative (PAR) Attestation; Section 4.0 Alternate Account Representative (AAR) Attestation; and Section 5.0 Entity Director or Officer Attestation. Access to a sample Account Application with Attestations form is available in Appendix A.

Blank copies of all forms are provided on the ARB website at: <u>http://www.arb.ca.gov/citss</u>.

- STEP 1 Review the information in Section 1.0 of the form, CITSS Account Application Information, which is a summary of the data provided electronically in the CITSS. If any errors are identified, such as typographical errors, you can line through the entry on the form, enter the correct information to the right, and date and initial your entry.
- **STEP 2 Complete Section 2.0.** All compliance instrument accounts are required to have at least one representative with a primary residence address in California; or, if none of the account representatives have a primary residence address in California, then an agent for service of process located in California must be designated.
- STEP 3 The PAR designated on this account application must read and sign the attestation contained in Section 3.0. An original signature is required.
- STEP 4 The AAR(s) designated on this account application must read and sign the attestation contained in Section 4.0. An original signature is required from each individual.
- STEP 5 Complete Section 5.0 by checking the applicable box indicating if the application is being submitted for an organization or an individual account holder.
- STEP 6 If the application is being submitted on behalf of an organization, provide the name and signature of a Director or Officer for your organization.
- **STEP 7 Once the form is complete, store it securely while the remaining information is completed.** You may wish to maintain copies of this form for your records, but only original signatures can be accepted by the California Registrar.



# Figure 33 – Account Application with Attestations

	Compliance Tracking Sys	tem Service					
#2 Accoun	t Applicati	on with	Attestations	-			
Print this form (page) or return to the CITSS ap Application Form, and	using your browser prin oplication where you ca the Cornorate Associa	t function. After p n select the print tions Form	nrinting, you should close this window/tab (not your browser) to windows for the Account Application Checklist, Account	e 2 of 5			
CITSS Entity ID:							
This form shows the ir apage for the PAR, eac Checklas, the complet Automatic Registrance and the outradiction Registrance Registrance and verify CITSS Entity ID Legal Name	Information you have em In AAR, and a Director ed Account Application array. You must provide c antion with Antestations, receipt of all hard copy multiden materianis, the J of approval, denial, or of the PAR and AARs will TSS Account Aş	tered to complete or Officer of your with Attestations with Attestations form. If the infor- documents, the unsolicion Regis enclose and the access opplication In	account registration in the CITSS and includes the attestation Firstiv, Your must print and mail the Account Application Form, and the Corporate Associations and Structure Form to of the PAR, each AR, and a Director of Officar dyour Entity mation provided is inaccurate or incomplete, or the Jurisdiction account application will be denied. It will send an enneal to the PAR and ARs registered in the the account application. After receiving approval from the is the compliance instrument account(s).		3 of 5 У	3e 4 of 5	
Entity Identification GHG Emissions Rep ID Number Assigned Incorporating Agenc	on orting ID by y				nai		Page 5 o
Entity Identificati GHG Emission Regul ID Number Assigned Incorporation Provin Incorporation Count Date of Incorporation U.S. Federal Tax Emp Identification Numbe	on orting ID by cs or State y y boy ry ry cs or State boy r r (EIN)						Page 5 o ton below. If
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporation Provin Incorporation Counti Date of Incorporation U.S, Federal Tax Emi Identification Numbe	on on orting ID ov y ov	Person - Opti	onal				Page 5 o ton below. If j p is responsib
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agenci Incorporation Ocurit Incorporation Count Date of Incorporation Date of Incorporation U.S. Federal Tax Emp Identification Numbe	on orting ID orting ID y y v v v v v v v v v v v v v v v v v	Person - Opti	onal				Page 5 o ton below. If j persons listed present listed
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporation Provin Incorporation Count Date of Incorporation U.S, Federal Tax Emi Identification Number	on orting ID by e or State y ployer r (EIN) Atternate Contact I Contact First Name Contact Last Name	Person - Opti	onal		nai	familiar Parisiliar	Page 5 o Son below. If j o is responsib persons listed presentisted resining to BI
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agenc Incorporation Forum Incorporation Count Date of Incorporation U.S, Federal Tax Emi Identification Numbe	on by y e or State y y y or of the second se	Person - Opti	onal		nai 	familiar the State	Page 5 o ton below. If j personal listed presentative(presentative) retaining to 80
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agenc Incorporation Powin Incorporation Count Date of Incorporation U.S, Federal Tax Emi Identification Numbe	on Usy Second State Stat	Person - Opti	onal		nai naily ied on under ie, i	familiar # the State p 17.	Page 5 o ton below. If j personal listic presentative retaining to Bil
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agenc Incorporation Provin Incorporation Counts Date of Incorporation Counts Date of Incorporation Date o	on on orting ID over State over S	Person - Opti	onal		nai naity iod on under te, i taining manti-	familiar show State	Page 5 o tion below. If j p is responsible personal lide presentativel
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agenci Incorporation Counts Date of Incorporation Counts Date of Incorporation Date of Incorporation Date of Incorporation U.S. Federal Tax Emp Identification Number Counts Cou	on orting ID by y y y y y r (EIN) Alternate Contact I contact First Name Contact Position Contact Telephone	Person - Opti	onal		nai nally ied on under le. i taining ments	familiar e the State p 17, rd	Page 5 o ton below. If j personal later presentative retaining to Bit
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agence Incorporation Provin Incorporation Count Date of Incorporation Count Date of Incorporation U.S. Faderal Tax Emp Identification Numbe	on orting ID by y ce of State y r y r of the second	Person - Opti	onal		nai naity ind on under le, i taining ments	familiar e the State > 17, rd t n have	Page 5 o ton below. If j personalities presentative relating to 88
Entity Identificati GHG Emissions Rep ID Number Assigned Incorporating Agenc Incorporation Count Date of Incorporation Out, S, Federal Tax Emi Identification Number	on orting ID by y ce of State y y rg rg rg rg rg Alternate Contact I contact First Name contact First Name contact Position contact Telephone	Person - Opti	onal	nt that is binding on all pars	nai naity od on under be, i taining ments	familiar e the State p 17, nd t who have Y such	Page 5 o
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#### 3.5.3 Corporate Associations and Structure Form

Figure 34 displays the #3 Corporate Associations and Structure Form, the third of the forms that the applicant must print, complete, have appropriately signed, and submit to the California Registrar. Guidance on completing this form, blank copies of this form, and a sample completed form are located in Appendix A and on the ARB website at: <u>http://www.arb.ca.gov/citss</u>.

- STEP 1 Complete Section 1.0, Name and Addresses of Your Entity's Directors and Officers. Identify if the account is for an individual or organization by selecting the appropriate checkbox. If the account application is for a General Market Participant – Individual, move to Section 2.0. If the account application is for an organization, complete the table of officers and directors. If additional space is needed, you may attach additional pages to this form.
- STEP 2 Complete Section 2.0, Names and Address of Persons with Voting Rights. If the applicant is either an individual account holder or an entity with no persons controlling over 10 percent of the voting rights attached to the outstanding voting securities, indicate this in the checkboxes and move to Section 3. The table will be completed with the name, title, and mailing address of all individuals controlling over 10 percent of the voting rights attached to the outstanding voting securities of the entity that is applying for accounts.
- STEP 3 Complete Section 3.0, Overview of Your Company's Corporate Associations. Select the checkbox to best describe the nature of any corporate associations. If the account application is for an individual or an organization with no disclosable corporate associations, then proceed to Section 4.0. If the applicant is an entity or individual with corporate associations that are disclosable under section 95833 of the Regulation, then each subsection of this section must be completed. Refer to ARB's Cap-and-Trade Program website at http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm for a copy of the

<u>Associations Guidance</u> Document and <u>Sample Form</u> for a copy of the <u>Corporate</u> completing this section.

STEP 4 Complete Section 4.0 by providing the date completed and the name, employer, title, and original signature of either the PAR or the AAR designated on the account application. All applicants must complete this section.



# Figure 34 – Corporate Associations and Structure Form

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# **3.6 Account Application Approval**

Once the online portion of the Account Application has been successfully submitted and the required forms and documentation have been received and verified to be complete, the California Registrar will review all submitted information and documentation, and the Account Application will be either approved or denied.

The appropriate CITSS accounts will be established and appear in the home pages of all approved Account Representatives following approval of the application. ARB expects account application review to take approximately two (2) weeks.

If you have any questions about your application, contact the CARB CITSS Help Desk by email: <u>CACITSSHelpdesk@arb.ca.gov</u> or phone: 916-324-7659.

Before the CITSS Help Desk personnel can answer any questions on an individual registration or an individual or entity's account(s), you will be asked to verify your identity through a series of questions based on the information in your registration.

#### 0

**<u>Email</u>** - An email will be sent to the PAR and AAR, notifying them of the approval or denial of the account application after the California Registrar has reviewed the submitted account application and the submitted documents. If the California Registrar determined that additional information is needed, ARB staff may send a request for revisions to the individual who submitted the application on behalf of the entity and/or the individuals that are identified in the application as the PAR and/or AAR.



# 4.0 Account Management

Once a CITSS Account has been approved by the California Registrar, the individuals identified as account representatives may access the entity's account to edit or update the entity profile information and conduct transfers of compliance instruments. Transfer functions are covered in Volume III of this User Guide. The following section will cover Account Information management, including updates to entity information, adding or changing account representatives, adding account viewing agents, and entering an intent to bid in upcoming auctions.

Changing any information on an account electronically in the CITSS may require that new forms be completed. However, not all data changes are captured electronically; some are submitted only by the completion of new forms or submittal of updated information by letter. Also, it is important for all account holders to be aware of the regulatory requirements for updating account information, as well as the potential impact of account changes on an entity or individual's ability to participate in an auction held under the Cap-and-Trade Program. In general terms, data must be updated in the CITSS prior to the auction registration period closing, which is 30 days before the auction.

It is recommended that any updates be made in the CITSS at minimum 45 days prior to a scheduled auction.

If you need any assistance with the CITSS, contact the CARB CITSS Help Desk by email: <u>CACITSSHelpdesk@arb.ca.gov</u> or phone: 916-324-7659.

# **4.1 Accessing Account Information**

To conduct any activity in a CITSS account, the representative must first log in to the entity's account(s) by entering their CITSS User ID and Password.

After the representative has logged into the CITSS, the User Home Page, titled "Welcome to WCI CITSS" is displayed (Figure 35).

The User Home Page may display three categories of information: My Accounts, Account Applications, and Pending Transfers.

- My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA. There are four types of accounts that can be assigned to an entity in the CITSS: a *General Account*, a *Limited Use Holding Account*, a *Compliance Account*, or an *Exchange Clearing Holding Account*.
- Account Applications shows the status of any Account Applications being prepared or submitted by this individual.
- Pending Transfers shows transfers that are awaiting action (described in Volume III of the User Guide).

Account Applications will only be displayed if the user has an application(s) in process or pending action by the Registrar. Pending Transfers will only be displayed if there are pending transfers on accounts for which the user is a representative.

#### 4.1.1 Accessing Account Information from the User Home Page

The User Home Page (Figure 35) provides a listing of the accounts the user is associated with as a representative (PAR or AAR) or an account viewing agent (AVA). If the user is the PAR or an AAR, the user will be able to access the accounts from the User Home Page to update the entity information as needed.

**STEP 1 Review My Accounts.** My Accounts shows entity accounts for which the user is the PAR, an AAR, or an AVA and summarizes the information about each account, including the Legal and Operating Name of the entity, and the Account Type, Number, Jurisdiction, and Status.

The entity in the example displayed in Figure 36 is a covered entity therefore the entity has a *General Account* and a *Compliance Account*. The entity is also an Electrical Distribution Utility, therefore the entity has a *Limited Use Holding Account (LUHA)* to allow consignment of allowances to auction. If this entity were a General Market Participant, they would only have a *General Account*.

STEP 2 Select the Account to be updated by selecting the View button located in the Action column on the far right. Selecting the View button on any of the accounts for this entity will lead you to the account page for the selected account. In this demonstration, we will access the information through the *General Account*. The same entity information could be accessed from the *Compliance Account* or the *LUHA* for this entity.

# Figure 35 – User Home Page

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#### 4.1.2 Account Page

Figure 36 shows the example Account Page for the Sacramento Power Agency General Account.

Most of the fields displayed on this screen are associated with managing account balances and transferring compliance instruments. These actions are covered in Volume III of this User Guide. This discussion will focus only on updating entity information through this page.

This page provides access to detailed information about the entity and the account. The detailed information can be accessed through the **Account Detail** button.

#### STEP 1 Select the Account Detail Button.

This action will take you to the more detailed information and the areas where edits and updates can be entered. The same entity information could be accessed from the other accounts held by this entity.

## Figure 36 – Account Page

,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	WCI, Inc. Forward Development		Compliance Instrument Tracking System Service	English • Français • LOGGED IN AS: pplants
	Log Out	Fuel Products	Inc General Account (	CA1001-1003)
	Home Contact Us My User Profile	Your account information is p (AAR), add or remove Accoun next quarterly auction or reser	rovided below. If you would like to change the Pri Viewing Agents for this account, update the con ve sale select "Account Detail".	mary Account Representative (PAR) or Alternate Account Representative tact data for the account holder, or indicate your intent to participate in the
	Account Registration	Account Number	CA1001-1003	
	Transfer History	Account Type Account Status Account Balance: Available Account Balance:	Active 1,000 1.000	
		Account Detail		
		Holdings Transfers		

Vintage	Jurisdiction	Туре	Sub-Type	Category	Project Code	Quantity	Initiate Transfer
2014		Allowance				1,000	Initiate Transfer



Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs.

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# 4.2 Entity Detail

By selecting the Account Detail button, you are directed to an information page for the account or set of accounts that displays the entity information entered during the account application process (Figure 37). The page is titled with the name of the entity that holds these accounts and includes buttons to access all of the accounts in the set of accounts created for this entity. In this example, the entity has a *General Account*, *Compliance Account*, and *LUHA*. Below the access buttons for each account, a table displays the following tabs: General Information; Contact Information; Representatives; Account Viewing Agents; and Auction. When there has been a change proposed to any of the entity's information that is pending approval, a sixth tab—Pending Changes—will be displayed. In this example, the account's PAR or AAR will access each of the following tabs: General, Contact Information, Representatives, Account Viewing Agents, and Auction, which will take the user to pages where they can propose changes or updates.

The PAR or an AAR may propose or enter updates to information by accessing the appropriate tab. When multiple changes are proposed, the Registrar is required to act on all pending changes at one time. The Registrar may approve, deny, or request revisions to pending changes and updates.

#### 4.2.1 General Information Tab

The General Tab as shown in Figure 37 includes the identification information about the entity that was entered during the account application process. Near the bottom of the window is information about the status of the account, the CITSS user that submitted the online portion of the account application and when the account was created and last updated.

#### Making changes

Changes can be made to the General Information by selecting the Edit Information Button at the bottom of the page. Updates that require approval before taking effect are identified by an exclamation point (!). Updates to the names and NAICS code require approval by the Registrar. The Registrar may require the submittal of new documentation to support the requested changes.

Evelopme		ce Instrument English • Français system Service	s • LOGGED IN AS: pplants
Log Out	Fuel Products Inc		
Home My User Profile	This page shows information for your acco Information pages by selecting Edit Inform Agents under their respective tabs. You ca	ount or set of accounts. You may propose changes to the information listed un lation at the bottom of the pages. You can remove or propose changes to Repr n indicate your intent to participate in the next scheduled auction under the Auc	fer the General and Contact esentatives, and Account Viewing tion Tab.
Transfer History	General Account Compliance	Account Limited Use Holding Account	
Transfer filstory	General Contact Information	Representatives Account Viewing Agents Auction	
	General Identification		
	CITSS Entity ID	CA1001	
	Legal Name	Fuel Products Inc	
	Operating Name	Fuel Product Inc	
	NAICS Code	324199 All Other Petroleum and Coal Products Manufacturing	
	Entity Reference Code	56161893	
	Jurisdiction	California	
	Entity Type	Covered Entity, Covered Source, or Opt-in Entity	
	Entity Identification		
	ID Number Assigned by Incorporating Agency	123456	
	Incorporation Province or State	California	
	Incorporation Country	United States	
	Date of Incorporation	1998-09-10	
	GHG Emissions Reporting ID	123456	
	U.S. Federal Tax Employer Identification Number (EIN)	123456	
	Status		
	Entity Status	Active	
	Created By	Hank Hudson	
	Date Created	2012-09-10	
	Last Updated	2012-09-10	
	Edit Information		
WCI, Inc.	Western Clim formed to provid implementatio	ate Initiative, Inc. (WCI, Inc.) is a non-profit corporation de administrative and technical services to support the n of state and provincial greenhouse gas emissions trading programs.	© 2012 SRA International, Inc. All rights reserved.

Figure 37 – Entity (Account) Detail – General Information Tab



#### **4.2.2 Contact Information Tab**

The Contact Information for this Entity that was submitted during the account application process is displayed under the Contact Information Tab (Figure 38).

#### **STEP 1** Select the Contact Information Tab.

#### Making Changes

The PAR or an AAR may enter updates to General Information by selecting the Edit Information Button at the bottom of the page. Updates to the contact information do not require approval by the Registrar before taking effect. The Registrar may contact the entity's representatives to verify changes and identify any documentation that needs to be updated.

#### Figure 38 – Contact Information Tab

WCI, Inc. Forward Developmen	Compliance Instrument English · Français · LOGGED IN AS: pplants	
Log Out Home	Fuel Products Inc This page shows information for your account or set of accounts. You may propose changes to the information listed under the General and Contact	
My User Profile Account Registration	Information pages by selecting Edit Information at the bottom of the pages. You can remove or propose changes to Representatives, and Account Viewing Agents under their respective tabs. You can indicate your intent to participate in the next scheduled auction under the Auction Tab.	
Transfer History	General Account         Compliance Account         Limited Use Holding Account           General         Contact Information         Representatives         Account Viewing Agents         Auction	
	Legal Name     Fuel Products Inc       Operating Name     Fuel Product Inc       Physical Address     123 Rural Route ≠1	
	Smalltown, CA 12345-6789         United States         Mailing Address       123 Rural Route ≠ 1         Smalltown, CA 12345-6789         United States	
	Telephone 1234567890 Telephone Extension Mobile phone	
	E-mail Address FuelProdInc@FictitiousAddr.com Website Address	
	Contact First Name Contact Last Name Contact Position Contact Telephone Contact Mobile Number	
	Edit Information	
WCI, Inc.	Western Climate Initiative, Inc. (WCI, Inc.) is a non-profit corporation formed to provide administrative and technical services to support the implementation of state and provincial greenhouse gas emissions trading programs. Climate Clim	

#### 4.2.3 Representatives Tab

Account Representatives are individuals with the authority to represent the entity in the CITSS, edit entity information, propose to add or change representatives and account viewing agents, and report the transfer of compliance instruments. All accounts except those held by individuals acting as General Market Participants must have one PAR and a minimum of one (and maximum of four) AARs. The Representatives Tab (Figure 39) provides access for a current PAR or AAR to propose a change in the current representatives or the addition of new AARs.

New AARs can be designated by entering the CITSS User Reference Code for each individual. AARs can be removed from an account by an AAR or the PAR as long as a minimum of one AAR remains.

To add a new AAR or change an existing PAR or AARs, the *Request to Change Account Representatives/Account Viewing Agents Form* must be completed and mailed to the California Registrar. The form is available on the cap-and-trade webpage at: <u>http://www.arb.ca.gov/citss</u>. A copy of the form is also available in Appendix A.

#### Making Changes to Representatives

- **STEP 1** Select the Representatives Tab.
- **STEP 2 Propose the addition of a new AAR.** To propose the addition of a new AAR, enter the User Reference Code for that individual in the appropriate box, and select the Add Button. Complete the *Request to Change Account Representatives/Account Viewing Agents Form* and submit it to the California Registrar.
- **STEP 3 Remove an AAR.** To remove an account representative, select the button in the last column of the representatives table which shows the available action (Change or Remove). As long as the minimum requirement for representatives is maintained, removal of representatives does not require approval and will become effective after proposal and confirmation. "Retired" representatives have been removed from an account and no longer represent the entity.
- **STEP 4 Propose a change to the PAR.** A PAR cannot be removed until a new PAR is approved. To change a PAR, select the button in the last column of the representatives table next to the current PAR, which shows the available action (change). As long as the minimum requirement for representatives is maintained, removal of representatives does not require approval and will become effective after proposal and confirmation.
- STEP 5 Confirm that the new representative is listed in the Representatives Tab in pending status.

# Figure 39 – Representatives Tab

lome							
ly User Profile	This page shows inform Information pages by sel Agents under their respe	ation for your acco lecting Edit Informa ctive tabs. You car	unt or set of accounts. You ma ation at the bottom of the page indicate your intent to particip	y propose changes t s. You can remove o ate in the next scheo	o the information list propose changes to uled auction under t	ed under the G Representativ ne Auction Tab.	eneral and Contact ves, and Account Viewin
	General Account	Compliance	Account Limited Use	Holding Account			
ranster History	General Conta	ct Information	Representatives	count Viewing Ag	ents Auction		
	Representativ	е Туре	Current Representat	ive Status	Effective Date	End Date	Actions
	Primary Account Representative		Perry Plants, Union Pac	fic Active	2012-09-10		Change
	Alternate Accoun Representative	it	Hank Hudson, Mega Po Corp.	wer Active	2012-09-10		Remove
	Add Alternate Add	- tatives are indiv	iduals with the authority	o represent the e	ntity in the CITSS	edit entity i	oformation
	Add Alternate Acc Account Represen propose to add or Each CITSS accoun identified by enter twelve-digit User I can be removed fr have been remove <b>Request to Chang</b> This Form must be AARs can be approved /markettrackingsy User Reference C	tatives are indiv change represent that have at ing the CITSS U Reference Code or an account to de drom an account e Account Repr completed and oved. The form is stem.htm#forms	iduals with the authority intatives and account vier least two representatives ser ID Reference Code for (e.g., JIRG93KP8376) wh yan AAR or the PAR as la unt and no longer represe esentatives/Account Vier mailed to the Jurisdiction s available here: <u>http://w</u>	to represent the e wing agents, and a Each account ma each individual. E ich can be found c ong as a minimum nt the entity. wing Agents Forr Registrar before a ww.arb.ca.gov/cc/	ntity in the CITSS report the transfe ay have up to for iach individual will n their respective of one AAR remain <b>n</b> n new PAR or AAR capandtrade/mark	, edit entity in r of complian · AARs. New A have to prov "My User Pro- ns. "Retired" or change of <u>cettrackingsy</u>	nformation, ce instruments. AARs can be vide their ofile" page. AARs representatives existing PAR or <u>stem</u>

#### 4.2.4 Account Viewing Agents Tab

The Account Viewing Agents Tab (Figure 40) provides access for a current PAR or AAR to propose the addition of up to five Account Viewing Agents (AVA), any time after an initial application for accounts has been approved. AVAs are individuals with the capability to view the entity registration, account holdings, and transfer information in the CITSS. AVAs cannot edit entity information, propose to change representatives, or report the transfer of compliance instruments. The PAR or an AAR on an account may propose the addition of up to five AVAs by entering the CITSS User Reference Code for each individual. AVA additions require that the *Request to Change Account Representatives/Account Viewing Agents Form* be completed and submitted to the California Registrar. The form is available at: <a href="http://www.arb.ca.gov/citss.">http://www.arb.ca.gov/citss.</a>

The PAR or an AAR on an account may remove AVAs from an account. Removal of AVAs does not require approval and will become effective after proposal and confirmation. "Retired" AVAs have been removed from an account and no longer represent the entity.

#### Adding and Making Changes to Viewing Agents

- **STEP 1 Propose the addition of a new AVA.** To propose the addition of a new AVA, enter the User Reference Code for that individual in the appropriate box and select the Add Button.
- **STEP 2 Remove an existing AVA.** To remove an AVA, an approved PAR or AAR will select the remove button in the last column of the Account Viewing Agents table and confirm the action. Removal of AVAs does not require approval and will become effective after proposal and confirmation.
- STEP 3 Confirm that the new AVA is listed in the Account Viewing Agents Tab with a pending status. A new AVA will be approved after the required *Request to Change Account Representatives/Account Viewing Agents Form* has been completed, submitted to the California Registrar, and subsequently reviewed and approved.



# Figure 40 – Account Viewing Agents Tab

Log Out Home My User Profile Account Registration Transfer History	This page shows information Information pages by selectin Agents under their respective General Account C General Contact In	for your account or set of a g Edit Information at the be tabs. You can indicate you compliance Account	ccounts. You may proposi ittom of the pages. You ca r intent to participate in the Limited Use Holding	e changes to the information n remove or propose chan next scheduled auction un Account	on listed under the Gen ges to Representatives nder the Auction Tab.	ieral and Contact s, and Account Viewing
	General Contact Ir	formation Represe				
	Current Account V	/iewing Agent(s)	Status	ewing Agents Auct	ion End Date	Actions 0 records
	Add Account Viewing Account Viewing Agen transfer information in transfer of compliance ID Reference Code for can be found on their "Retired" AVAs have b Request to Change A	Agent ts (AVAs) are individual the CITSS. AVAs canno instruments. The PAR of each individual. Each in respective "My User Pro- een removed from an a roomt Bencecontative	s with the capability to t edit entity informatio or an AAR on an accour ndividual will have to p ofile" page. The PAR or iccount and no longer is cocount Viawing Ac	view the entity registr n, propose to change i nt may identify up to fiv rovide their twelve-digi an AAR on an account represent the entity. wats form	ration, account holdi representatives, or r re AVAs by entering it code (e.g., J1RG93 may remove AVAs fr	ngs, and report the the CITSS User 3KP8376) which rom an account.
	Kequest to Change A/ This Form must be con approved. The form is /markettrackingsystem User Reference Code	pleted and mailed to the available here: http://w	s/Account viewing Ag he Jurisdiction Registra www.arb.ca.gov/cc/cap	ir before a new AVA or iandtrade/markettracki	change of existing A ingsystem	AVAs can be
	Add					

#### 4.2.5 Proposed Data Changes Pending

When a change requiring approval has been proposed to an entity's contact information, representatives, or viewing agents, the Proposed Data Changes Tab (Figure 41) will be displayed on the Account (Entity) Information page. Notice that in this example there are now six tabs just below the Account Buttons, including the new one labeled **Proposed Data Changes.** This tab will be displayed until all proposed changes are approved or denied by the Registrar. When there are no pending proposed changes, the display will return to five tabs.

#### Figure 41 – Proposed Data Changes Tab

Forward Developme	CITSS Compliance Instrument Tracking System Service	e English	Français • LOGGED IN AS: mmason
Log Out Home My User Profile Account Registration Transfer History	Los Angeles Corp. This page shows information for your account or set of ar Information pages by selecting Edit Information at the bol Agents under their respective tabs. You can indicate your General Account Compliance Account Proposed Data Changes General Cont Pending Changes To Entity Data	ccounts. You may propose changes to the inforr tom of the pages. You can remove or propose of intent to participate in the next scheduled auction act Information Representatives	mation listed under the General and Contact changes to Representatives, and Account Viewing on under the Auction Tab. Account Viewing Agents Auction
	Pending Changes To Account Repres	Current Representative	Status
	Primary Account Representative	Perry Plants, Union Pacific	Pending
	Edit Information Edit Representative:	5	





#### 4.2.6 Proposed Data Changes Requiring Confirmation

When a change to an entity's information will take immediate effect and does not require Registrar approval, the Confirmation Required window (Figure 42) will be displayed and request that the user confirm that they intended the proposed action. Actions requiring confirmation are not reversible. For instance, as long as one AAR remains, removing an additional AAR is an immediate, non-reversible action. The confirmation window shown in this example shows a WARNING to indicate that the action cannot be changed once confirmed.

# Figure 42 – Changes Requiring Confirmation

Log Out	Los Angeles Cor	p.				
Home My User Profile	Representative change propo	osed successfully.				
Account Registration Transfer History	This page shows information for yo Information pages by selecting Edit Agents under their respective tabs.	ur account or set of accounts. You may pro t Information at the bottom of the pages. Yo You can indicate your intent to participate in	pose changes to u can remove or n the next sched	o the information list propose changes to uled auction under th	ed under the Gene Representatives, ne Auction Tab.	eral and Contact and Account Viewin
	Proposed Data Changes	General Contact Information	Representat	tives Account	viewing Agents	Auction
	Representative Type	Current Representative	Status	Effective Date	End Date	Actions
	Primary Account Representative	<u>Meg Mason, Mega Power</u> Corp.	Active	2012-07-25		Change
	Primary Account Representative	Perry Plants, Union Pacific	Pending			Cancel
	Alternate Account Representative	Jerry Jenkins Union Pacific	Active	2012-07-25		Remove
	Alternate Account Representative	Confirmation required	× ;	2012-07-25		Remove
		from your compliance instrument account They will no longer be able to access you account information.	nts.			4 records
	Add Alternate Account R Account Representatives propose to add or change Each CITSS account must h identified by entering the C twelve-digit User Reference can be removed from an ac have been removed from an Request to Change Account	Confirm // ave at least two representatives. Ea ITSS User ID Reference Code for eac e Code (e.g., JIRG93KP8376) which c count by an AAR or the PAR as long a n account and no longer represent th the Representatives/Account Viewing	Abort e e d r ch account ma h individual. E an be found o as a minimum ne entity. g Agents Form	ntity in the CITSS, report the transfe ay have up to four ach individual will n their respective of one AAR remain	edit entity infoi r of compliance i AARs. New AAR have to provide "My User Profile is. "Retired" rep	rmation, instruments. Is can be 2 their 2" page. AARs resentatives
	This Form must be complete AARs can be approved. The /markettrackingsystem.htm	ed and mailed to the Jurisdiction Reg form is available here: <u>http://www.s</u> #forms	strar before a arb.ca.gov/cc/o	new PAR or AAR apandtrade/mark	or change of exi (ettrackingsyste	isting PAR or m

#### 4.2.7 Auction Tab

The Auction Tab (Figure 43) provides an opportunity for an approved PAR or AAR of an entity to indicate the entity's interest in participating in the quarterly allowance auctions and reserve sales. By indicating this interest, the entity is agreeing to have its name, entity contact information, account numbers, representative names, representative phone numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator and Financial Services Administrator for the purpose of facilitating participation in any upcoming auction or reserve sale.

An approved PAR or AAR can also disable the "Auction Participation" option if the entity wishes to stop sharing information with the Auction and Reserve Sale Administrator and Financial Services Administrator and no longer participate in future auctions or reserve sales. The setting can be changed at any time, but must be enabled no later than 31 days prior to the next auction for the entity to be able to participate in the next auction or reserve sale.

- STEP 1 Indicate the entity's interest in participating in upcoming auctions and reserve sales by selecting the Auction Participation Box and then clicking the Submit button. The selection will take effect immediately. Only covered and opt-in entities are eligible to participate in reserve sales.
- **STEP 2 Confirm that the entity has indicated its interest to participate in upcoming auctions and reserve sales.** The new Auction button will be checked, and below the box the screen will display the name of the account representative who entered the change and the date and time the change was submitted.

**NOTE:** Selecting the Auction Participation box in the CITSS only identifies an interest to participate in upcoming auctions or reserve sales. The entity or individual must still complete the auction application process through the Auction Platform for each auction or reserve sale, including submitting an intent to bid in the Auction Platform.



# Figure 43 – Auction Tab

WCI, Inc. Forward Development	Tracking System Service English · Français · LOG	GED IN AS: pplants
Log Out Home My User Profile Account Registration Transfer History	Fuel Products Inc.         The sage shows information for your account or set of accounts. You may propose changes to the information listed under the Gens formation pages by selecting Edit Information at the bottom of the pages. You can remove or propose changes to Representatives ace under their respective tabs. You can indicate your intent to participate in the next scheduled auction under the Auction Tax.         General Account       Compliance Account       Imited Use Holding Account         Mercela       Contact Information       Representatives         Auction       Auction       Auction         Auction Participation       Representative or entity's participation in the quarterly allowance auctions and By selecting the "Auction Participation" box below, you are indicating your ynaticipate in any upcor reserve sales, and you are agreeing to have your entity name, entity contact information, account numbers, and representative email addresses transferred to the Auction and Reserve Sale Administrator of Financial Services Administrator and wish to no longer participate in enserve sales. You may disable the "Auction Participation" you wish to stop sharing your entity's inform Auction and Reserve Sale. NOTE: Only covered and re engible to participate in reserve sales.         Muction Participation       Image: Legnes         Luction Participation       Image: Legnes         Luction Participation       Image: Legnes         Luction and Reserve Sale Administrator and financial Services Administrator and wish to no longer participate in the next auction or reserve sale. NOTE: Only covered and releating to the next auction if you wish to participate in the next au	reserve sales. oming auction , representative serve Sale ning auction or lation with the in any future than 30 days opt-in entities
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# Appendix A

# Account Application Forms

To ensure access to current versions of all forms, this appendix provides links to all forms.

#### Account Application Forms:

- <u>Account Application Checklist</u>
- <u>Account Application with Attestations Form</u>
- Corporate Associations and Structure Form <sup>1</sup>(sample form <sup>1</sup>)
  - Corporate Associations Guidance )

#### Account Management Forms:

• <u>Request to Change Account Representatives/Account Viewing Agents</u>

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Back Cover Volume II CITSS User Guide



