

CITSS

Compliance Instrument
Tracking System Service

Cap-and-Trade Consultant or Advisor Identification of Bid Advisor Relationships

Section 95914(c)(3) of the Cap and Trade Regulation (Regulation) requires that any entity participating in an auction that has retained the services of a Cap-and-Trade Consultant or Advisor regarding auction bidding strategy must complete the following:

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

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

Section 95914(c)(3) also requires the Consultant or Advisor to provide ARB with the following information:

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

To inform ARB of an advisor relationship, the Consultant or Advisor may use this form to satisfy the disclosure requirement in section 95914(c)(3) by completing this form and submitting the original to ARB at the address on the back of this form no later than 15 days prior to the auction for which the Consultant or Advisor provides such a service.

Section 1.0 Consultant or Advisor Information

Legal Name of Advisor:

Legal Name of Employer:

Advisor Address:

Advisor Phone:

Advisor Email:

Section 2.0 Entity Information and Advisory Services

Entity Legal Name: (in CITSS)

Entity Operating Name: (in CITSS)

CITSS Entity ID#: (if known)

Description of Advisory Services:

Advisor providing services from (date) to (date):

Entity Legal Name: (in CITSS) _____ ||

Entity Operating Name: (in CITSS) _____ ||

CITSS Entity ID#: (if known) _____ ||

Description of Advisory Services: _____ ||

_____ ||

Advisor providing services from (date) to (date): _____ ||

Entity Legal Name (in CITSS) _____ ||

Entity Operating Name: (in CITSS) _____ ||

CITSS Entity ID#: (if known) _____ ||

Description of Advisory Services: _____ ||

_____ ||

Advisor providing services from (date) to (date): _____ ||

Entity Legal Name: (in CITSS) _____ ||

Entity Operating Name: (in CITSS) _____ ||

CITSS Entity ID#: (if known) _____ ||

Description of Advisory Services: _____ ||

_____ ||

Advisor providing services from (date) to (date): _____ ||

Attestation

By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have read and acknowledge the prohibition of sharing information with other auction participants contained in section 95914(c) of the Cap-and-Trade Regulation. I also certify under penalty of perjury under the laws of the state of California that I am not transferring to or otherwise sharing information with other Cap-and-Trade auction participants. I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

Print Name:

Signature:

Date:

Per Section 95914 of the Cap-and-Trade Regulation, this information must be physically received at least 15 days prior to the referenced auction. If you have questions, please visit the ARB website or contact the ARB Cap-and-Trade Hotline at 916-322-7072 for assistance.

Submit this form to:

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