



#3 Corporate Associations and Structure Form

Print this form (page) using your browser print function. After printing, you should close this window/tab (not your browser) to return to the CITSS application where you can select the print windows for the Account Application Checklist, Account Application with Attestations Form, and the Corporate Associations and Structure Form.

CITSS Entity ID: _____
Entity Type: _____
Legal Name: _____

Entities registering for CITSS must disclose corporate structure and ownership information. Entities must also disclose corporate associations with other registered and non-registered entities and sufficiently explain these disclosed associations. Section 95833 of the California Cap-and-Trade Regulation provides a description of what constitutes a corporate association. At minimum, Sections 1, 2, 3, and 4 of this form must be completed and must be included in your mail-in account application submission.

If you have questions regarding the completion of this form, please visit the website listed or contact the Help Desk at 1-866-682-7561 or help@wci-citss.org for assistance.

Sample completed forms, additional guidance, and electronic versions of this form can be found here:

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

Section 1.0 Name and Addresses of Your Entity's Directors and Officers

Please check the applicable box below.

1. This CITSS registration is for a Covered Entity, Opt-in Covered Entity, or General Market Participant – Organization.
2. This registration is for an individual account holder or natural person (General Market Participant – Individual).

If you selected option 1, disclose the names and addresses of your entity's Directors and Officers below. If you selected option 2, you do not need to provide any additional information in this section.

Disclose information regarding your directors and officers. If you need additional space, you may submit multiple pages for this Section.

Director or Officer Information					
#	First Name	Middle Name	Last Name	Title	Mailing Address (Street No, Street Name, City, State/Province, Zip, Country)

Section 2.0 Names and Addresses of Persons with Voting Rights

Disclose the names and addresses of all persons controlling over 10% of the voting rights attached to all outstanding voting securities of your entity.

Please select the situation which best describes your entity.

- 1. This registration is for an individual account holder or natural person (General Market Participant – Individual).
- 2. This registration is for an entity that does not have any persons controlling over 10% of the voting rights attached to the outstanding voting securities.
- 3. This registration is for an entity that has persons controlling over 10% of the voting rights attached to the outstanding voting securities, and the information I've provided in the rest of this form is a true representation of those persons.

If you selected options 1 or 2 above, please continue to Section 3.0 of this form. If you have selected option 3, complete the table below as applicable.

Names and Addresses of Persons with Voting Rights					
#	First Name	Middle Name	Last Name	Percentage Of Control	Mailing Address (Street No, Street Name, City, State/Province, Zip, Country)

Section 3.0 Overview of Your Company's Corporate Associations

Please select the situation which best describes your entity's corporate associations:

- 1. The entity or individual account holder I represent does not have any corporate associations as defined in section 95833 of California's Cap-and-Trade Regulation.
- 2. The entity I represent has corporate associations, none of which must be disclosed under section 95833 of California's Cap-and-Trade Regulation.
- 3. The entity I represent has corporate associations that are disclosable under section 95833 of California's Cap-and-Trade Regulation, and the information I've provided in the rest of this form is a true representation of those associations.

If you have selected either option 1 or 2, please sign Section 4 and return this form to the Jurisdiction Registrar. If you have selected option 3, complete Subsections 3.1, 3.2, 3.3, and 3.4 and sign Section 4 of this form before submitting the form to the Jurisdiction Registrar. If this form is being completed for a new CITSS account, please return this signed form, the completed Account Application Checklist, and the completed Account Application with Attestations Form to the Jurisdiction Registrar.

Section 3.1 Overview of the Nature of Your Family of Companies/Associations

Please provide a brief overview of the nature of your family of companies/associations in box below and any additional information that describes or explains your corporate associations. You may also provide a chart or pictorial representation of your organization.

Overview of your family of companies/associations

Section 3.2 Reporting of Parent and Subsidiary Companies

Disclose information regarding your parent and subsidiary companies, regardless of whether or not they are registered in the CITSS. You may submit multiple Section 3.2 pages if needed.

- The first entry in the table should be the highest-level company(s) with an ownership interest in your entity. Provide the DUNS number, Federal Tax ID Number (EIN or CRA Business Number), and GHG Reporting ID for each entity, if available.
- If a parent company owns or controls more than one subsidiary company, provide the names of all subsidiary companies that the parent company owns or controls on individual rows.
- If a subsidiary is owned or controlled by more than one parent company, report all parent companies of the jointly owned or controlled subsidiary on individual rows.
- If the parent companies of the jointly owned or controlled subsidiary are also controlled or owned by parent companies, report these parent companies as well.
- "Measure of Control" examples include: ownership of listed shares; ability to appoint common directors; voting power; holding of partnership interest; and other indicia of control.
- "Percentage of Control" is the percentage of ownership or other indicia of control the parent company holds over the subsidiary company.

Reporting of Parent and Subsidiary Companies						
#	Parent Legal Name Provide DUNS ID, Tax ID, and GHG Reporting ID if available	Relationship	Subsidiary Legal Name Provide DUNS ID, Tax ID, & GHG Reporting ID if available	Measure of Control	Percentage of Control	Additional Information Describing Relationship and Measures of Control
		parent company of				
		parent company of				
		parent company of				
		parent company of				
		parent company of				
		parent company of				
		parent company of				
		parent company of				

Reproduce this page as necessary to include additional Parent and Subsidiary Companies.

Section 3.3 Reporting of Corporate Associations to Other Registered CITSS Entities

For the purpose of assessing holding limits, disclose your corporate associations to other entities registered or expected to register in the CITSS. The associations disclosed here should be a subset of the associations disclosed in the Section 3.2. Complete the fields in the table below for each of your corporate associations to other registered CITSS entities.

You may submit multiple Section 3.3 pages if needed.

- "Relationship" should describe your relationship to the associated entity, examples include: parent company of; partner with; sister company to; and subsidiary of.
- "PAR" = CITSS Primary Account Representative; "AAR" = CITSS Alternate Account Representative. If you do not know this information, contact your associated entity.
- "CITSS Entity ID" is an alphanumeric six digit number, for example "CA1000". If you do not know this information, contact your associated entity.

			Associated Entity B		
#	Your Entity's Legal Name	Relationship (You to Entity B)	Entity Legal Name	PAR or AAR Name	CITSS Entity ID

Reproduce this page as necessary to include additional Corporate Associates that are registered or expected to register in the CITSS.

Section 3.4 Confirmation by the PAR or AAR of the Direct Corporate Association

Direct Corporate Associations are defined in section 95833 of the Cap-and-Trade Regulation.

This section identifies Direct Corporate Associates that have opted-out of participation in a Consolidated Entity Account and will be members of a Direct Corporate Association. This table should be completed by the account representative submitting this Corporate Association and Structure form. A representative of each entity identified in the Direct Corporate Associate table (below), must sign the attestation in the Attachment section of this form. The number of attachments will be equal to the number of entities identified in the Direct Corporate Associate table below.

- "PAR" = CITSS Primary Account Representative; "AAR" = CITSS Alternate Account Representative. If you do not know this information, contact the associated entity.
- "CITSS Entity ID" is an alphanumeric six digit number, for example "CA1000". If you do not know this information, contact the associated entity.
- For "Holding Limit Share %" and "Purchase Limit Share %", you must provide the shares of the Direct Corporate Association's purchase and holding limits. The purchase and holding limits are shared between your entity and any registered CITSS entity you have a Direct Corporate Association with. The sum of the holding limit shares and purchase limit shares should each equal 100%.

Direct Corporate Associate					
#	Entity Legal Name	PAR or AAR Name	CITSS Entity ID	Holding Limit Share %	Purchase Limit Share %

Reproduce this page as necessary to include additional Corporate Associates that are registered or expected to register in the CITSS.

Section 4.0 Signature of the CITSS Primary Account Representative or Alternate Account Representative Completing this Corporate Associations and Structure Form

An account representative for the entity submitting this Corporate Association and Structure form must sign the following attestation:

Primary Account Representative or Alternate Account Representative Attestation. *By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, 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 PAR or AAR Name:

Employer Name:

Title:

PAR or AAR Signature:

Date:

Section 5 (Attachment). Confirmation by the PAR or AAR of an Entity in a Direct Corporate Association

A copy of this attachment must be completed by a representative of each entity identified in Section 3.4. Completed copies must be attached to this CITSS Corporate Association and Structure Form. Direct Corporate Associations are defined in section 95833 of the Cap-and-Trade Regulation.

- "PAR" = CITSS Primary Account Representative; "AAR" = CITSS Alternate Account Representative. If you do not know this information, contact your associated entity.
- "CITSS Entity ID" is an alphanumeric six digit number, for example "CA1000". If you do not know this information, contact your associated entity.
- For "Holding Limit Share %" and "Purchase Limit Share %", you must provide the shares of the Direct Corporate Association's purchase and holding limits. The purchase and holding limits are shared between your entity and any registered CITSS entity you have a direct corporate association with. The sum of the holding limit shares and purchase limit shares should each equal 100%.

Direct Corporate Associate (one member entity)					
#	Entity Legal Name	PAR or AAR Name	CITSS Entity ID	Holding Limit Share %	Purchase Limit Share %

Account Representative Attestation

An authorized representative of an entity to be included in a Direct Corporate Association must confirm the opt-out decision and their share (%) of the Direct Corporate Association's purchase and holding limits. An account representative for the Direct Corporate Associate specified in the table above must sign the following attestation:

By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, 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 PAR or AAR Name:

Employer Name:

Title:

PAR or AAR Signature:

Date:
