

California Environmental Protection Agency



User Registration and Account Application Guide

CITSS

Compliance Instrument Tracking System Service

Table of Contents

1.0 Introduction	1
2.0 CITSS User Registration and Account Application Overview	3
3.0 Required and Voluntary Registration Participants	4
4.0 Gathering Information/Preparing for CITSS Registration.....	6
4.1 User Registration Online Data Entry	6
4.2 User Registration Forms and Hard Copy Documentation Required.....	6
4.3 Account Application Information.....	7
5.0 User Registration	9
5.1 User Registration Overview	9
5.2 Accessing the CITSS	10
5.3 CITSS User Registration.....	11
5.4 User Registration – Entering Electronic Data.....	13
5.4.1 User Registration – Personal and Contact Information.....	15
5.4.2 User Registration – Addresses	17
5.4.3 User Registration – Login and Security Information.....	18
5.5 User Registration – Submitting Data – Error Codes.....	20
5.6 User Registration – Terms and Conditions	22
5.7 Confirmation of Electronic Registration	25
5.8 Completing Hard-Copy Documentation for User Registration.....	26
5.8.1 User Registration Checklist.....	27
5.8.2 User Registration Form.....	28
5.8.3 Proof of Identity Form	29
5.8.4 Proof of Identity Form – Documentation Does Not Match Electronic Data	31
5.9 User Registration Approval/Denial	34
6.0 User Profile Management.....	35
6.1 User Home Page	36
6.2 User Profile	37
6.3 Updating a User Profile.....	39

6.3.1 Updating a User Profile – No Approval Required.....	42
6.3.2 Updating a User Profile – Approval Required	45
6.4 User Profile – Passwords and User IDs.....	47
6.4.1 Changes to Passwords.....	47
6.4.2 Lost Password	48
6.4.3 User IDs.....	49
7.0 Account Application Procedures	50
7.1 Account Application Overview.....	50
7.2 Account Application	51
7.3 Account Application – Entering Electronic Data	54
7.4 Covered Entity and Opt-in Entity Account Application – Data Entry.....	56
7.4.1 Account Application: Jurisdiction and Account Type.....	56
7.4.2 Account Application: Entity Information	57
7.4.3 Account Application: Identifiers.....	60
7.4.4 Account Application: Contact Information	63
7.4.5 Account Application: Account Representatives.....	65
7.4.6 Account Application: Review and Submit	68
7.4.7 Account Application: Terms and Conditions	70
7.4.8 Account Application Submitted	71
7.5 General Market Participant - Individual Account Application Electronic Data Entry	72
7.5.1 Account Application: Jurisdiction and Account Type.....	72
7.5.2 Account Application: Additional Information.....	73
7.5.3 Account Application: Contact Information	74
7.5.4 Account Application: Account Representatives.....	76
7.5.5 Account Application: Review and Submit	79
7.5.6 Account Application: Terms and Conditions	81
7.5.7 Account Application Submitted	82
7.6 General Market Participant - Organization Account Application.....	83
7.6.1 Account Application: Jurisdiction and Account Type.....	83

7.6.2 Account Application: Additional Information.....	84
7.6.3 Account Application: Entity Information	85
7.6.4 Account Application: Contact Information	87
7.6.5 Account Application: Account Representatives.....	89
7.6.6 Account Application: Review and Submit	91
7.6.7 Account Application: Terms and Conditions	93
7.6.8 Account Application Submitted	94
7.7 Completing an Account Application	95
7.7.1 Account Application Checklist.....	96
7.7.2 Account Application with Attestations	97
7.7.3 Corporate Associations and Structure Form	99
7.8 Account Application Approval	101
8.0 Account Management	102

List of Figures

Figure 1 – User Registration and Account Application	2
Figure 2 – CITSS Home Page.....	11
Figure 3 – User Registration Home Page.....	12
Figure 4 – User Registration Form	14
Figure 5 – User Registration Form (upper portion).....	15
Figure 6 – User Registration Form (middle portion)	17
Figure 7 – User Registration Form (lower portion)	18
Figure 8 – User Registration Form with Error Message	20
Figure 9 – Attempt to Login will Show that Your Account Is Disabled	21
Figure 10 - Terms and Conditions Page.....	22
Figure 11 – Registration Submitted Page.....	25
Figure 12 – User Registration Submitted	26
Figure 13 – User Registration Checklist.....	27
Figure 14 – User Registration Form (printed format).....	28
Figure 15 – Proof of Identity Form (partial).....	29
Figure 16 – CITSS Sign In Page	35
Figure 17 – User Home Page – Welcome to WCI CITSS	36
Figure 18 – User Detail	37

Figure 19 – Edit User Information	39
Figure 20 – Edit User Information	42
Figure 21 – User Detail (updated)	43
Figure 22 – User Detail (update error).....	44
Figure 23 – Edit User Information	45
Figure 24 – User Detail (updated)	46
Figure 25 – User Detail - Login Information.....	47
Figure 26 – CITSS Sign In Page	48
Figure 27 – Request Password Page.....	48
Figure 28 – Request Password – Security Questions	49
Figure 29 – CITSS Home Page.....	51
Figure 30 – CITSS Sign In Page	52
Figure 31 – CITSS User Home Page	53
Figure 32 – Account Application: Jurisdiction and Account Type	55
Figure 33 – Account Application: Jurisdiction and Account Type	56
Figure 34 – Account Application: Entity Information.....	57
Figure 35 – Option A: Search for a Covered Entity, Covered Source, or Opt-In Entity .	58
Figure 36 – Option B: Start a New Covered Entity, Covered Source, or Opt-In Entity ..	59
Figure 37 – Account Application: Identifiers	61
Figure 38 – Account Application: Contact Information.....	63
Figure 39 – CITSS Account Home Page.....	64
Figure 40 – Account Application: Account Representatives (upper portion).....	65
Figure 41 – Account Application: Account Representatives (lower portion)	66
Figure 42 – Account Application: Review and Submit.....	68
Figure 43 – Account Application: Terms and Conditions.....	70
Figure 44 – Account Application Submitted.....	71
Figure 45 – Account Application: Jurisdiction and Account Type	72
Figure 46 – Account Application: Additional Information	73
Figure 47 – Account Application: Contact Information.....	74
Figure 48 – CITSS Account Home Page.....	75
Figure 49 – Account Application: Account Representatives (upper portion).....	76
Figure 50 – Account Application: Account Representatives (lower portion)	78
Figure 51 – Account Application: Review and Submit.....	79
Figure 52 – Account Application: Terms and Conditions.....	81
Figure 53 – Account Application Submitted.....	82
Figure 54 – Account Application: Jurisdiction and Account Type	83
Figure 55 – Account Application: Additional Information	84
Figure 56 – Account Application: Identifiers	85
Figure 57 – Account Application: Contact Information.....	87

Figure 58 – CITSS Account Home Page.....	88
Figure 59 – Account Application: Account Representatives (upper portion).....	89
Figure 60 – Account Application: Account Representatives (lower portion)	90
Figure 61 – Account Application: Review and Submit.....	92
Figure 62 – Account Application: Terms and Conditions.....	93
Figure 63 – Account Application Submitted.....	94
Figure 64 – Account Application Checklist	96
Figure 65 – Account Application with Attestations.....	97
Figure 66 – Corporate Associations and Structure Form	99
Figure 67 – CITSS Account Home Page.....	102

Appendices

Appendix A CITSS User Registration Forms

Appendix B CITSS Account Application Forms

Appendix C CITSS User Registration Online Data Entry Supplement

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 ₂ e	metric tons carbon dioxide equivalent
NAICS	North American Industry Classification System code
ORIS	Office of the Regulatory Information System
PAR	Primary Account Representative
SOS	California Secretary of State
WCI	Western Climate Initiative

1.0 Introduction

This guide provides instructions for user registration and account application for the Compliance Instrument Tracking System Service (CITSS). The CITSS is a market tracking system that will support the implementation of the greenhouse gas cap-and-trade program. 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. Figure 1 provides an overview.

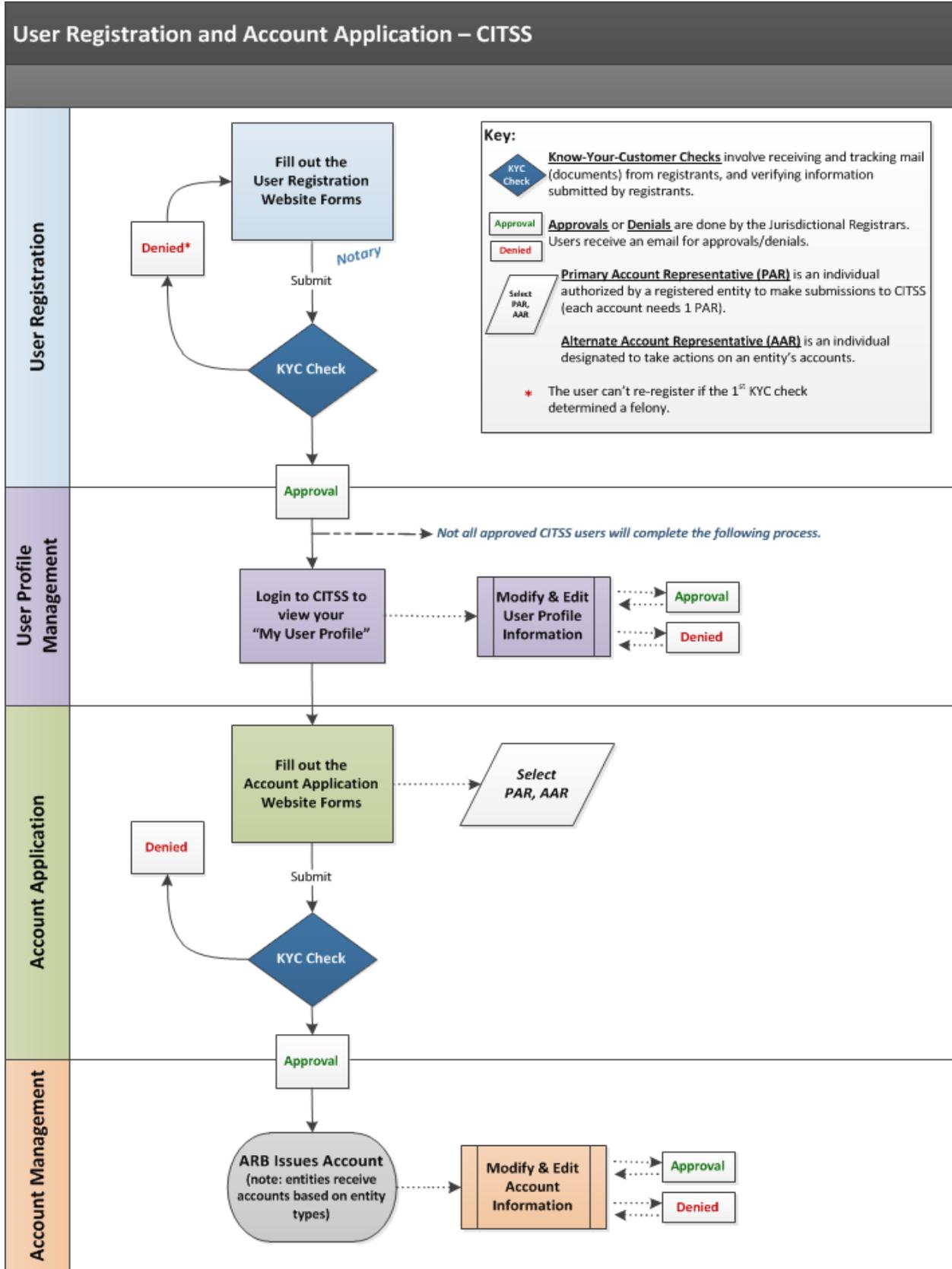
This guide describes and supports the functions available in the CITSS as of July 2012. Additional CITSS functionalities will be released in September 2012. Some functions which are described in the amendments to the Cap-and-Trade Regulation (Regulation) will be added during the September CITSS release, pending approval of adopted regulatory amendments by the Office of Administrative Law. For instance, currently the CITSS will allow an individual or entity to associate one (1) primary account representative (PAR) and one (1) alternate account representative (AAR) with their CITSS accounts. ARB expects that the September CITSS release will include the ability to add additional alternate account representative and account viewing agents.

ARB recommends that any entities or individuals that intend to participate in the November auction complete user registration for their account representatives by August 1, 2012, and account application no later than September 1, 2012, to provide the necessary time for account approval.

If you have any questions about the cap-and-trade program, including the Regulation, please refer to the ARB Cap-and-Trade website at:
<http://www.arb.ca.gov/cc/capandtrade/capandtrade.htm>.

For assistance with the CITSS, please contact the CITSS Help Desk at (916) 324-7659 or CACITSSHelpDesk@arb.ca.gov.

Figure 1 – User Registration and Account Application



2.0 CITSS User Registration and Account Application Overview

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:

- 1. Apply for CITSS User IDs.** The individuals who will be representatives on the individual or entity’s account(s) must apply for CITSS User IDs. 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). These individuals must be registered users in the CITSS.

To request a CITSS User ID, an individual completes the registration information in the CITSS and submits hard-copy documentation. Every individual requesting a CITSS User ID 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 Section 5 in this 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 is a multiple-step process that includes electronic registration and mailing required information and attestations to the California Registrar. After completing the electronic Account Application, your information will be electronically submitted to the California Registrar. The electronic submission must be supported by printed copies, signed by the PAR and AAR, and additional documents that are mailed to the Registrar for approval. In this guide and in the CITSS, you will be provided instructions and additional forms to complete the submittal of the electronic account application. **Account Application is covered in Section 7 in this guide.**

3.0 Required and Voluntary Registration Participants

Covered Entity, Covered Source, and Opt-in Entity

In the CITSS system you will see the term “covered source” listed along with covered entity. A **Covered Entity** or **Covered Source** are considered equivalent for purposes of CITSS registration. In California, covered entities are legal entities that operate a business, facility, or an establishment that emits greenhouse gases (GHG) equal to or greater than 25,000 metric tons carbon dioxide equivalent (MTCO_{2e}) annually as defined in the Regulation.

All California-covered entities should have completed cap-and-trade program registration through the online registration form on the ARB website by January 31, 2012.

All Covered Entities must apply through the CITSS for compliance instrument accounts to be able to hold compliance instruments. ARB will review the CITSS user registration forms and account applications, and upon approval will issue compliance instrument accounts. Data from program registration and emissions reporting conducted pursuant to the Mandatory Reporting Regulation (MRR) have been imported into the CITSS. Covered entities will need to document that the information is correct during the account application process.

An **Opt-in Entity, also called an Opt-in Covered Entity in the Cap-and-Trade 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, but must not already be a covered entity because it emits less than 25,000 MTCO_{2e} annually. For example, a glass manufacturer that emits 18,000 MTCO_{2e} annually, and is therefore not required to register as a covered entity, could become an opt-in entity.

An entity may request approval to become an opt-in entity from the Executive Officer. If approved, an opt-in entity is subject to all reporting, verification, enforcement, and compliance obligations that apply to covered entities.

Covered Entities, Covered Sources, and Opt-in Entities. Representatives must:

- Complete user registration in the CITSS;
- 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 association 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 Cap-and-Trade Regulation;
- Report emissions annually under the MRR; and

- Meet their compliance obligations according to regulatory requirements.

General Market Participant – Individual or Organization

A General Market Participant, also known as a “Voluntarily Associated Entity” as described in the Cap-and-Trade Regulation, is an individual (natural person) or an entity that intends to purchase, hold, sell, transfer, or voluntarily retire allowances or offset credits, but is not obligated to surrender any allowances or offset credits in order to comply with the Cap-and-Trade Regulation. That is, they are not a Covered Entity or an Opt-in Entity.

General Market Participants. Representatives:

- Must complete user registration in the CITSS;
- Must complete an account application for a compliance instrument account, meeting all requirements and receiving approval from the California Registrar;
- May hold compliance instruments in a holding account; and
- May transfer compliance instruments according to all established policies and procedures.

4.0 Gathering Information/Preparing for CITSS Registration

To obtain one or more CITSS account(s), users must (1) register with the CITSS, and (2) complete an application for compliance instrument accounts. An individual will complete user registration in the CITSS to request a CITSS User ID. CITSS User registration is subject to review and approval by ARB and User IDs are only issued to natural persons, not entities. The individual registering for a CITSS User ID will need to provide personal information online in the CITSS system and additional hard copy documentation. Every individual requesting a CITSS User ID must meet “Know-Your-Customer” requirements that involve the verification of personally identifiable information. 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.

To help you prepare, a summary of the information required for the CITSS User ID registration is provided below.

4.1 User Registration Online Data Entry

Each applicant will provide the following in the CITSS online system:

- Name
- Date of Birth
- Addresses (business and primary residence)
- Employer name, contact information, and address
- Telephone numbers and email address
- Requested username and password

4.2 User Registration Forms and Hard Copy Documentation Required

To complete the CITSS user registration, you will print three (3) forms that are generated in the CITSS after you have submitted the online data. Each form must be completed and submitted as directed in the form. The forms are as follows:

1. User Registration Checklist (for your reference)
2. User Registration Form (review, sign, and submit)
3. Proof of Identity Form (complete, attach hard copy documentation, and submit)

The following describes the hard-copy documentation that is required to complete the Proof of Identity Form.

- To provide documentation of your name, primary residence address, and date of birth, as well as photographic evidence, acceptable forms of documentation include photocopies of your driver’s license, identity card, passport, or other government-issued identity document that includes an expiration date and contains the required information. Multiple forms of documentation may be necessary to document all required information.

- To provide documentation of your employer name, address, and contact information, acceptable forms of documentation include photocopies of a recent paycheck with your employer name and address clearly printed, or an employment verification letter containing the name of the employer, address, and contact information of a supervisor. Information such as pay, benefits, and Social Security number may be redacted from this documentation, if included.
- To provide documentation of an open bank account, acceptable forms of documentation include photocopies of a recent bank statement, a letter from the bank documenting an open bank account, or a voided check from an open bank account in your name. Information such as balances and transactions may be redacted from this documentation, if included.

Your Proof of Identity Documentation must be notarized by a notary public no more than three months prior to submittal. To notarize your Proof of Identity Documentation, request a Jurat from a notary public. The notary public will describe each Proof of Identity Document on the Jurat and attach the Proof of Identity Documentation to the Jurat.

4.3 Account Application Information

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. Similar to the CITSS User ID registration, the account application involves the submittal of information electronically and additional hard-copy documentation. Some data will be entered online and some provided through the completion of hard-copy forms that are generated from the CITSS during the account application process. The forms generated from the CITSS are provided for your convenience to submit the information. If you do not want to use the forms that are provided, you may submit the required information in a letter with original signatures. To prepare for this part of the process, see the following summary of information.

The information provided 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 so that all materials will be available in July 2012, when the CITSS account application is anticipated to be available:

- Legal and operating names of the entity
- Physical and mailing addresses
- California GHG emissions reporting identifiers
- Contact information (telephone numbers and email addresses)
- Date and place of incorporation (if applicable)
- 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
- 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
- A Primary Account Representative (PAR) and an Alternate Account Representative (AAR) (both must be selected from approved registered CITSS users)
- Description of corporate associations and parent and subsidiary companies
- Website address, if any

You can access the CITSS through the ARB web page at:

<http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>.

5.0 User Registration

5.1 User Registration Overview

User Identification Basic Requirements

The CITSS will contain the User IDs for people to access accounts on behalf of covered entities, opt-in entities, and general market participants. The following is a list of basic requirements for each User ID:

- User IDs are only issued to natural persons, not entities.
- A natural person may have only one User ID in the CITSS.
- A User ID is required for logging into the system and ties the access to an identifiable person, not to a position.
- A User ID and role are needed for anyone to act upon or view any data in the CITSS.
- User ID applicants must sign a “terms of use” declaration and have their identity documented before approval.
- In no instance shall a user be assigned multiple roles for one account; however, a user may be assigned different roles on different accounts (for instance, a user may be a PAR on one account and be an Account Viewing Agent on a different account).

CITSS User Registration Process

The CITSS user registration requires individuals to provide information online in the CITSS, accept the CITSS Terms and Conditions, and provide hard copy documentation to support verification of data provided and “Know-Your-Customer” checks. Hard-copy documentation must be signed, notarized, and transmitted to ARB for review. Upon receipt of complete electronic information and hard-copy documentation, ARB will review the documentation before approving or denying an individual’s User ID registration. ARB will notify the applicant via email if their request was approved, denied, or if further information is required. If approved, an individual only needs to complete the CITSS User ID registration process once. The following section summarizes all the steps necessary to register for a User ID in the CITSS.

5.2 Accessing the CITSS

You can access the CITSS through the ARB webpage at:

<http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>.

The CITSS Home Page is the point of entry for any action in the CITSS. If you have an approved User ID, you will click Login and enter your personal access data to gain access to your User profile and your associated accounts. If you are new to the CITSS, you will click “User Registration” to complete the registration process.

General Guidelines:

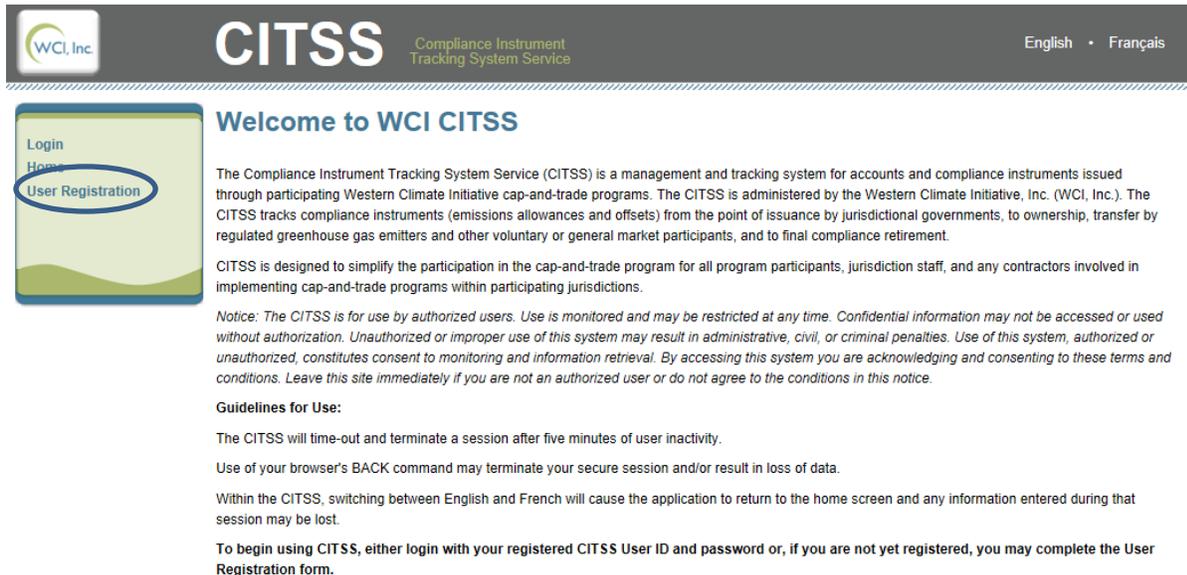
- The CITSS is compatible with all major Internet browsers, but certain functions will operate with slight differences, depending on the browser.
- As a security measure, delete your browser history if multiple people utilize the same computer used to create the CITSS account.
- The CITSS is available for access 24 hours a day, 7 days a week (except for periodic maintenance).
- The California CITSS Help Desk is accessible for messages 24 hours a day, 7 days a week. The Help Desk is staffed on normal California state work days; typically Monday through Friday 7:30 a.m. through 5:00 p.m.

5.3 CITSS User Registration

CITSS Home Page

The CITSS Home Page for the CITSS is the starting point for user registration. All CITSS users should read the introduction and notices provided on this page.

Figure 2 – CITSS Home Page



Welcome to WCI CITSS

The Compliance Instrument Tracking System Service (CITSS) is a management and tracking system for accounts and compliance instruments issued through participating Western Climate Initiative cap-and-trade programs. The CITSS is administered by the Western Climate Initiative, Inc. (WCI, Inc.). The CITSS tracks compliance instruments (emissions allowances and offsets) from the point of issuance by jurisdictional governments, to ownership, transfer by regulated greenhouse gas emitters and other voluntary or general market participants, and to final compliance retirement.

CITSS is designed to simplify the participation in the cap-and-trade program for all program participants, jurisdiction staff, and any contractors involved in implementing cap-and-trade programs within participating jurisdictions.

Notice: The CITSS is for use by authorized users. Use is monitored and may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, or criminal penalties. Use of this system, authorized or unauthorized, constitutes consent to monitoring and information retrieval. By accessing this system you are acknowledging and consenting to these terms and conditions. Leave this site immediately if you are not an authorized user or do not agree to the conditions in this notice.

Guidelines for Use:

The CITSS will time-out and terminate a session after five minutes of user inactivity.

Use of your browser's BACK command may terminate your secure session and/or result in loss of data.

Within the CITSS, switching between English and French will cause the application to return to the home screen and any information entered during that session may be lost.

To begin using CITSS, either login with your registered CITSS User ID and password or, if you are not yet registered, you may complete the User Registration form.

STEP 1 To start a new CITSS User Registration, Click “User Registration” on the left navigation menu.

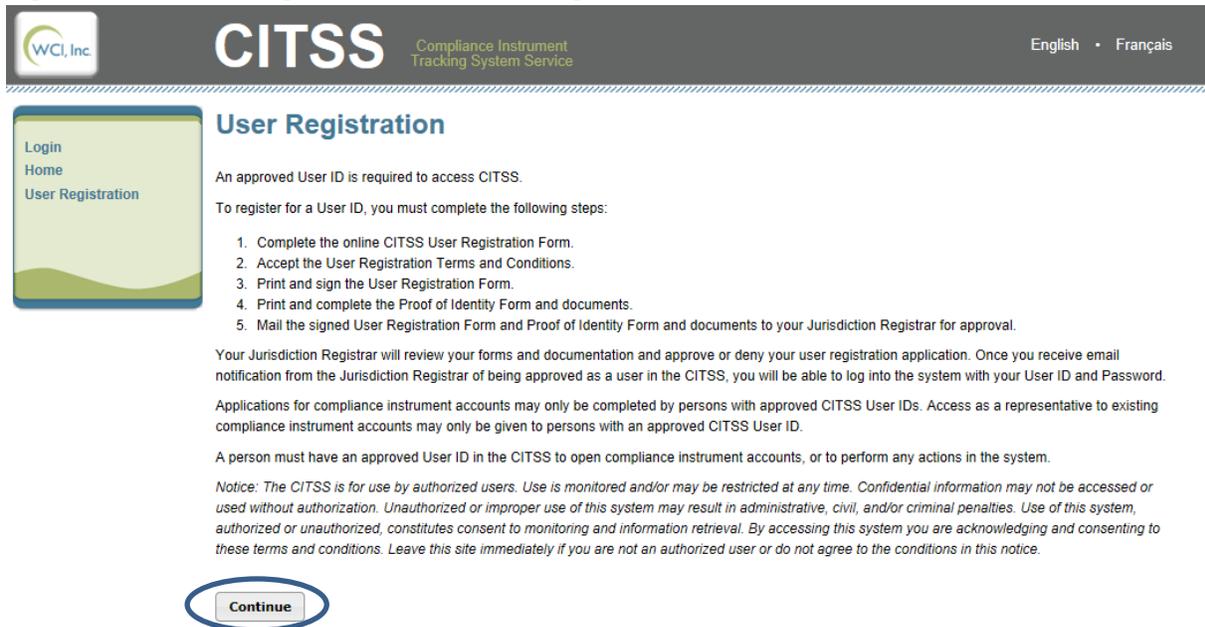
General Data Entry Guidelines

- Use of your browser's BACK command may terminate your secure session and/or result in loss of data.
- Within the CITSS, switching between English and French will cause the application to return to the home screen and any information entered during that session may be lost.

User Registration Home Page

The User Registration Home Page provides an overview of the User Registration process before you begin. The CITSS is for use by authorized users. Use is monitored and/or may be restricted at any time. Use of this system, authorized or unauthorized, constitutes consent to monitoring and information retrieval. By accessing this system you are acknowledging and consenting to these terms and conditions. Leave this site immediately if you do not agree to the conditions in the notice provided on this page.

Figure 3 – User Registration Home Page



STEP 1 Read the instructions and notices.

STEP 2 Click “Continue.”

5.4 User Registration – Entering Electronic Data

User Registration Page

The User Registration form is now displayed. Use this form to provide the electronic portion of the registration data. Fields which are required for registration are indicated by an asterisk (*). Due to the length of the screen, this guide has divided the data entry in the Registration Form into three sections: personal and contact information (upper portion), addresses (middle portion), and login/security information (lower portion).

Figure 4 – User Registration Form

CITSS
English • Français

[Login](#)
[Home](#)
[User Registration](#)

User Registration

Completion of the following form is required to obtain a User ID.

Information collected on this form is used to administer the cap-and-trade program.

After completing this form, pressing the "Register" button at the bottom of the form will take you to the Terms and Conditions. Upon acceptance of the Terms and Conditions, your registration information and acceptance are electronically submitted to the Jurisdiction Registrar. The electronic submission must be supported by printed copies and additional proof of identity documents that are mailed to the Registrar for approval. You will be provided instructions on what to do when you complete the Terms and Conditions.

* = Required field

Salutation

First Name *

Middle Name

Last Name *

Suffix

Date of Birth *

Job Title

Organization

Department

Telephone *
(example: 9163247659)

Telephone Ext.

Mobile Telephone

Fax Number
(example: 9163247659)

Email *

Email Language Preference *

Primary Residence

Street 1 *

Street 2

City *

State/Province *

Postal Code *

Country *

Mailing Address

Use Primary Residence for Mailing Address

Street 1 *

Street 2

City *

State/Province *

Postal Code *

Country *

Login Information

Jurisdiction *

User ID *

Password *

Confirm Password *

Security Questions

Question 1 *

Answer 1 *

Question 2 *

Answer 2 *

Question 3 *

Answer 3 *

5.4.1 User Registration – Personal and Contact Information

The upper portion of the User Registration form is where the registrant will provide personal and contact information. This portion of the User Registration form includes these required fields: first name, last name, date of birth, telephone, email, and correspondence language. The data entry should match the data in your hard-copy documentation.

Figure 5 – User Registration Form (upper portion)

CITSS Compliance Instrument Tracking System Service

English • Français

User Registration

Completion of the following form is required to obtain a User ID.

Information collected on this form is used to administer the cap-and-trade program.

After completing this form, pressing the "Register" button at the bottom of the form will take you to the Terms and Conditions. Upon acceptance of the Terms and Conditions, your registration information and acceptance are electronically submitted to the Jurisdiction Registrar. The electronic submission must be supported by printed copies and additional proof of identity documents that are mailed to the Registrar for approval. You will be provided instructions on what to do when you complete the Terms and Conditions.

* = Required field

Salutation		Mr.
First Name	*	John
Middle Name		C.
Last Name	*	Taylor
Suffix		
Date of Birth	*	9 July 1978
Job Title		Director
Organization		Company B
Department		Registration Department
Telephone (example: 9163247659)	*	9164458279
Telephone Ext.		12
Mobile Telephone		5304449999
Fax Number (example: 9163247659)		9164458299
Email	*	jtaylor@email.com
Email Language Preference	*	English

STEP 1 In the individual name fields, enter your legal name as shown on your ID card, license, or passport. First and Last name are required fields. Enter verifiable data, such as using your full legal name rather than a nickname, in all required fields. All hard-copy documentation will be compared to the data entered, to validate the information in the CITSS. If there are differences between the data entered and the required hard-copy documentation, your registration may not be able to be approved, or approval may be delayed.

STEP 2 Enter your date of birth using the drop-down menus.

STEP 3 Enter your job title, employer (organization), and the department for which you work. Employment information is not required in the online data entry, but hard copy documentation of employment is required for registration. If you choose to provide the employment information online, be sure that it

matches the information provided in the hard-copy documentation.

STEP 4 Enter a primary contact telephone number for communication related to the CITSS, including compliance account actions. Telephone numbers must be entered with numbers only – no spaces, dashes, or parentheses).

STEP 5 Enter a mobile phone number and/or fax number. This entry is not required, but it may be used if you cannot be reached at your primary number.

STEP 6 Enter an email address. This email address will be the primary communication point for all correspondence related to your CITSS registration and any of your associated compliance instrument accounts.

Each CITSS User ID registration must be associated with a unique email address. No two (2) registrations can use the same email address.

STEP 7 Choose a correspondence language from the drop-down menu. California participants will need to select English as the correspondence language. French has been listed to support CITSS use by individuals participating in other jurisdictions' cap-and-trade programs, which are linked to California's program.

5.4.2 User Registration – Addresses

The middle portion of the User Registration form consists of the users’ “Primary Residence Address” and “Mailing Address.”

Figure 6 – User Registration Form (middle portion)

The screenshot displays two sections of a form: "Primary Residence" and "Mailing Address".

Primary Residence

- Street 1: * 123 Mainstreet
- Street 2: [Empty text box]
- City: * AnyTown
- State/Province: * California (dropdown menu)
- Postal Code: * 12345
- Country: * United States (dropdown menu)

Mailing Address

- Use Primary Residence for Mailing Address:
- Street 1: * [Empty text box]
- Street 2: [Empty text box]
- City: * [Empty text box]
- State/Province: * -- Select -- (dropdown menu)
- Postal Code: * [Empty text box]
- Country: * -- Select -- (dropdown menu)

STEP 1 Enter your primary residence address, street, and city. The primary residence address entered here is the individual’s residence address. DO NOT ENTER YOUR BUSINESS ADDRESS. Once again, the information will be verified against the hard-copy documentation provided and through “Know-Your-Customer” checks, and it must therefore reflect the current residence address.

STEP 2 Choose the State/Province from the drop-down list provided.

STEP 3 Enter your Postal Code. A dash can be entered in the postal code if needed to indicate an extension.

STEP 4 Enter the Country of your residence, choosing from the drop-down list provided.

Your next entry depends on whether or not you want to receive mail at your residence address entered above or a different address, such as a P.O. Box or your business address.

STEP 5a If your mailing address will be exactly the same as your primary residence address, click the box at the top of the mailing address entry. If selected, you will not be able to enter data in the mailing address fields.

STEP 5b If you choose to designate a separate mailing address for written correspondence related to the CITSS, enter that address following the same process as STEPS 1 through 4.

5.4.3 User Registration – Login and Security Information

The lower portion of the User Registration form includes required “Login Information” and user-selected “Security Questions.” All fields must be completed. Each user will create a User ID and password and will also choose three security questions and provide unique answers for each question. The security questions are only used in the event that a user forgets his or her password. The CITSS can generate a temporary password if the user correctly answers the security questions. CITSS support staff will not have access to passwords or security questions.

Figure 7 – User Registration Form (lower portion)

The screenshot displays the lower portion of the User Registration form. It is divided into two main sections: "Login Information" and "Security Questions".

Login Information:

- Jurisdiction:** A dropdown menu with "California" selected. A red asterisk is to the left.
- User ID:** A text input field containing "jtaylor1". A red asterisk is to the left.
- Password:** A text input field with masked characters (dots). A red asterisk is to the left.
- Confirm Password:** A text input field with masked characters (dots). A red asterisk is to the left.

Security Questions:

- Question 1:** A dropdown menu with "In what city does your nearest sibling live?" selected. A red asterisk is to the left.
- Answer 1:** A text input field containing "Roseville". A red asterisk is to the left.
- Question 2:** A dropdown menu with "What is the middle name of your youngest child?" selected. A red asterisk is to the left.
- Answer 2:** A text input field containing "James". A red asterisk is to the left.
- Question 3:** A dropdown menu with "What is your preferred musical genre?" selected. A red asterisk is to the left.
- Answer 3:** A text input field containing "Jazz". A red asterisk is to the left.

At the bottom left, there is a "Register" button, which is circled in blue.

STEP 1 For Jurisdiction, choose California from the drop-down list as the jurisdiction in which you are participating. Individuals registering for participation in California’s program that reside anywhere in the United States must select California as the jurisdiction.

STEP 2 Enter a self-selected User ID. The User ID is self-selected, must be at least six characters long, and is not case sensitive.

User IDs can contain numbers and special characters but cannot contain spaces.

CITSS User IDs must be unique, so if you select a User ID that has already been requested, you will be asked to submit a different User ID.

If a CITSS user registration is denied, the User ID will be disabled and cannot be used again in a new application.

STEP 3 Enter a self-selected password. Passwords must be at least eight characters and must contain one uppercase letter, one lowercase letter, and one number.

STEP 4 Re-enter your password to confirm.

STEP 5 Under question 1, choose a security question from the drop-down list provided.

STEP 6 Enter an answer to your selected question. Answers to the security questions must be at least three characters long and are case sensitive. Each answer must be unique, so an answer cannot be the same as that entered for one of the other two security questions.

STEP 7 Under question 2, choose a security question and enter an answer.

STEP 8 Under question 3, choose a security question and enter an answer.

You have now completed all the online data entry necessary for the CITSS User registration. Before clicking the “register” button, review all the answers provided. You will **not** be able to change any data entries after the “Register” button has been selected.

STEP 9 Review all entries in the form.

STEP 10 Click on the “Register” button to submit the data.

5.5 User Registration – Submitting Data – Error Codes

If you have missed any required data fields or entered anything in an improper format, the registration page will come back with an error message displayed at the top of the page. The error message will contain an explanation of the data entry that needs to be added or corrected. You can correct the highlighted fields only, you will not need to re-enter all of the data.

Figure 8 – User Registration Form with Error Message

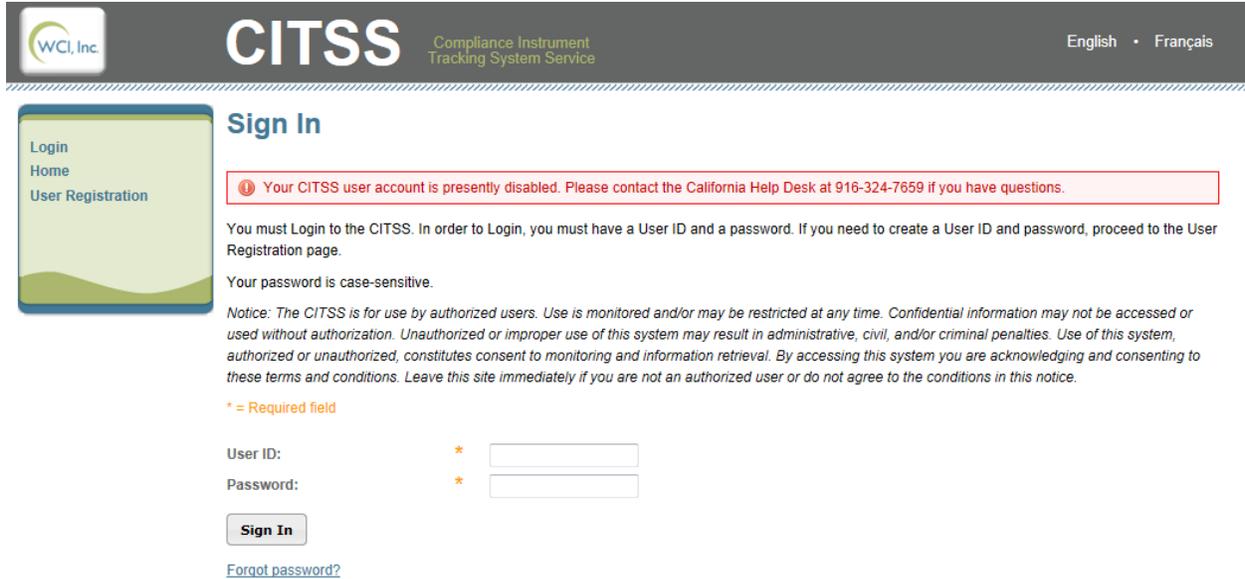
The screenshot shows the CITSS User Registration page. At the top, there is a navigation bar with the WCI, Inc. logo, the CITSS logo, and the text 'Compliance Instrument Tracking System Service'. On the right, there are language options for 'English' and 'Français'. A sidebar on the left contains links for 'Login', 'Home', and 'User Registration'. The main content area is titled 'User Registration' and features a red error message box at the top: 'Mobile phone number should be numbers only. Do not enter dashes or parenthesis.' Below this, there is explanatory text about the registration process and a legend indicating that an asterisk (*) denotes a required field. The form fields include: Salutation (Mr.), First Name (John), Middle Name (C.), Last Name (Taylor), Suffix, Date of Birth (9 July 1978), Job Title (Director), Organization (Company B), Department (Registration Department), Telephone (9164458279), Telephone Ext. (12), Mobile Telephone (530-444-9999), Fax Number (9164458299), Email (jtaylor@email.com), and Email Language Preference (English). The 'Mobile Telephone' field is circled in blue, and a red error icon is visible next to it. At the bottom left, the 'Register' button is also circled in blue.

In the example illustrated in the figure above, a registrant added dashes in the mobile telephone entry. The steps to correct this are listed below as an example.

STEP 1 To fix this error, move the cursor to the mobile telephone field and remove the dashes.

STEP 2 Click on the “Register” button to re-submit the data.

Figure 9 – Attempt to Login will Show that Your Account Is Disabled



In the example illustrated in the figure above, if a user tries to login to the CITSS prior to Registrar approval they will get this account disabled warning.

5.6 User Registration – Terms and Conditions

After the initial registration information is submitted, the “Terms and Conditions” page is displayed. Upon acceptance of the Terms and Conditions, your registration information and acceptance are electronically submitted to the California Registrar. The electronic submission must be supported by printed copies and additional proof of identity documents that are mailed to the Registrar for approval. You will be provided instructions on this portion of the registration after you agree to the Terms and Conditions.

Figure 10 - Terms and Conditions Page



2. CITSS User Agreement

The permission granted in Section 1 above is expressly made subject to and limited by the following restrictions, in addition to the limitations and restrictions set forth in other sections of the Agreement:

2.1 User agrees not to access CITSS by any means other than using internet browsers.

2.2 User further agrees that it shall NOT:

- a. Deliberately attempt to access any data, documents, email correspondence, or programs contained on systems for which User does not have authorization;
- b. Engage in activity that may harass, threaten or abuse others, or intentionally access, create, store or transmit material which may be deemed offensive, indecent or obscene, or that is illegal according to local, state, provincial, or federal law;
- c. Engage in activity that may degrade the performance of CITSS;
- d. Deprive an authorized user access to CITSS;
- e. Obtain extra resources or login privileges beyond those authorized;
- f. Circumvent CITSS security measures;
- g. Violate copyright law of copyrighted material;
- h. Attempt to disassemble, decompile or reverse engineer CITSS;
- i. Attempt to create derivative works based on CITSS;
- j. Attempt to copy, reproduce, distribute or transfer CITSS;
- k. Provide access to CITSS to any third parties for any improper purpose;
- l. Obtain for personal benefit, or engage in political activity, unsolicited advertising, unauthorized fund raising, or solicit performance of any activity that is prohibited by any local, state, or federal law.

2.3 User's right to access CITSS automatically terminates upon User's violation of any provisions of this Agreement.

2.4 User further agrees that it will immediately inform ARB or the CITSS administrator by emailing CACITSSHelpDesk@arb.ca.gov or calling at 916-324-7659 if any of the following occurs:

- a. User observes any unauthorized access or misuse of CITSS;
- b. User has any reason to believe that the security of their User ID, password, or security question(s) has been compromised;
- c. User has any reason to believe that weaknesses in computer security, including unexpected software or system behavior, may result in unintentional disclosure of information or exposure to security threats.

2.4 User further agrees that:

- a. User will maintain the security of their CITSS User ID, password, and security questions for use of the CITSS;
- b. User will not disclose their CITSS User ID, password, and security questions information to anyone;
- c. User will maintain an active email account listed in the CITSS at which User can receive important notifications of changes related to User's personal information or transactions involving any general account or compliance account that User represents as a Primary Account Representative, Alternate Account Representative, Account Viewing Agent, or other CITSS User;
- d. Any submission User makes using the CITSS has and will have the same legal effect as if it were made in hardcopy form certified by User's handwritten signature.

2.5 If, at any time, User determines it is no longer able or willing to abide by the terms of this Agreement, User shall immediately cease all use of the CITSS and promptly notify ARB or the CITSS administrator in writing of its determination so that ARB or the CITSS administrator may formally suspend or revoke the User's access to the CITSS.

3. Disclaimer of Warranties

EXCEPT AS REQUIRED BY APPLICABLE LAW, THIS SERVICE IS MADE AVAILABLE ON AN "AS IS" BASIS, WITHOUT WARRANTIES OF ANY KIND. ARB SPECIFICALLY DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, INCLUDING, BUT NOT LIMITED TO, ANY IMPLIED WARRANTY OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE WITH RESPECT TO THE SOFTWARE, OR ANY WARRANTIES REGARDING THE CONTENTS OR ACCURACY OF THE SOFTWARE.

4. Limitation on Liability

4.1 Except to the extent required by applicable law, in no event is ARB or WCI, Inc. liable to User on any legal theory for damages of any kind arising from the use of or the inability to use the CITSS, even if ARB or WCI, Inc. has been advised of the possibility of such damages. The unavailability of, or problems with the use of CITSS, does not excuse User from the reporting and compliance deadlines in the applicable Regulation.

5. Copyright and Proprietary Information

5.1 User shall not permit any person who is not registered as a User to access the CITSS and shall not copy, reproduce or distribute, or allow any other person to copy, reproduce or distribute, the CITSS, in whole or in part, without ARB's prior written consent.

6. Term

This Agreement commences upon User's acceptance of this Agreement and access to the CITSS for the first time. The Agreement shall terminate upon User's written notification to ARB under Section 2.5 of this Agreement or upon other termination or discontinuation of User's access to the CITSS, except that Sections 3, 4 and 5 survive any termination of this Agreement. ARB reserves the right to terminate this Agreement at any time, subject to the exception that Sections 3, 4 and 5 survive any termination of this Agreement.

7. Governing Law and General Provisions

This Agreement shall be governed by and construed in accordance with the laws of the State of California. The failure of ARB to exercise or enforce any right or provision of this Agreement shall not constitute a waiver of such right or provision. If any provision of this Agreement is found by a court of competent jurisdiction to be invalid, the parties agree that the court should endeavor to give effect to the parties' intentions as reflected in the provisions, and the other provisions of the Agreement remain in full force and effect.

This Agreement is not intended to modify and cannot modify any provision in the applicable Regulation, including the California Cap on Greenhouse Gas Emission and Market-Based Compliance Mechanisms. If any part of this Agreement is found to conflict with any provision(s) in the applicable Regulation(s), the applicable Regulation(s) shall control.

This Agreement constitutes the entire agreement between User and ARB with respect to use of the CITSS. There are no understandings, agreements or representations with respect to the software program that are not specified in this Agreement. This Agreement may only be modified in a writing signed by User and the Executive Officer of the ARB.

Accept Terms

Register Cancel

Date of last revision: 5/9/2012

STEP 1 Read the "Terms and Conditions."

STEP 2 Click the checkbox to accept the Terms and Conditions. You cannot

complete the registration process without accepting the terms and conditions for the CITSS, and access to the CITSS cannot be approved unless the user agrees to the terms and conditions.

STEP 3 Click “Register.”

This entry completes the online portion of User Registration. If you want to keep a copy of the terms and conditions, a printed version will be included in one of the forms you will print and sign during the second part of the registration process.

5.7 Confirmation of Electronic Registration

The “Registration Submitted” page will be displayed after the Terms and Conditions have been accepted and the registration submitted. The “Registration Submitted” page will display an assigned 12-character User Reference Code (e.g., 83MBT8MGXJR8) specific to your submitted User Registration. Figure 11 displays the “Registration Submitted” page and highlights a sample User Reference Code and the three navigation buttons that are used to access the additional forms which must be printed, completed, and submitted to receive User registration approval.

Figure 11 – Registration Submitted Page

5.8 Completing Hard-Copy Documentation for User Registration

Once the registrant has electronically submitted the User Registration, he or she must complete, sign, and mail the forms provided on this page, along with the required hard-copy documentation, to complete the User Registration process. The forms accessible from this page are: **(1) User Registration Checklist, (2) User Registration Form, and (3) Proof of Identity Form.**

All three (3) forms will contain the User Reference Code, and Form #2, the User Registration Form, will show all the data as entered in the CITSS (except the password and security questions/answers).

IMPORTANT REMINDER: You must print the forms before you exit the CITSS.

You will not be able to return to the CITSS to access the forms. Blank forms are available on the ARB website, but if using the blank forms, you will need to provide the User Reference Code and fill in the data as it was entered in the CITSS to complete the forms.

Figure 12 – User Registration Submitted

Registration Submitted

User registration successfully submitted.

Your User Registration form has been electronically submitted to the Jurisdiction Registrar. Your application has been assigned User Reference Code: **MC6VRG98FXZK**. Please keep this number in a safe place as it is the unique identifier of your user application.

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 user registration forms using your browser print function. After printing, you should close the window/tab (not your browser) to return to this page.

1. Print User Registration Checklist **2. Print User Registration Form** **3. Print Proof of Identity Form**

You must mail the User Registration Checklist, the User Registration Form with a copy of the Terms and Conditions, and the Proof of Identity Form and documents to the Jurisdiction Registrar. You must provide an original signature on the Registration Form with the Terms and Conditions and Proof of Identity Form and documents. If the information provided is inaccurate or incomplete, or the Jurisdiction Registrar cannot verify receipt of all hard copy documents, your user application will be denied.

Should you have any questions regarding your user registration application, you may contact the CITSS Help Desk for your Jurisdiction. Please have your User Reference Code available to expedite service.

California Help Desk:
Email: CACITSSHelpDesk@arb.ca.gov
Phone number: 916-324-7659

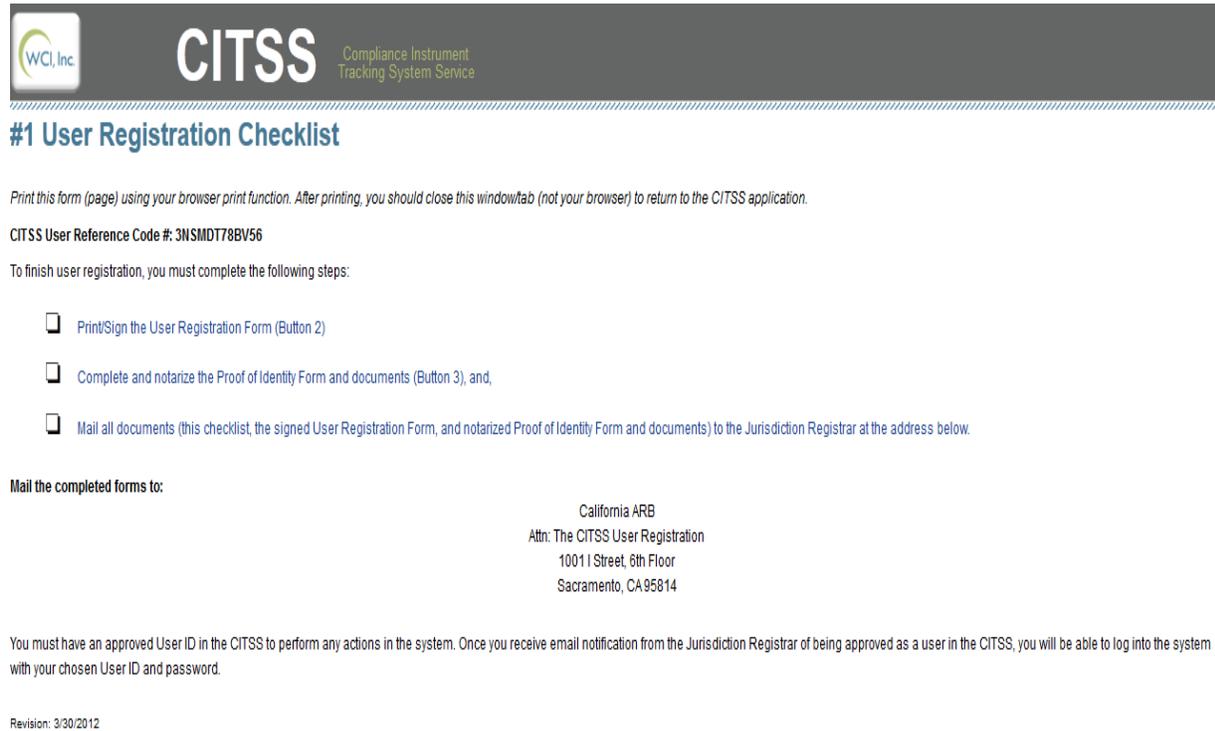
The Jurisdiction Registrar will notify you of any changes to the status of your user registration application at the email address that you provided in your registration. After being approved as a user in the CITSS, you will be able to log into the system with your chosen User ID and Password.

Important Reminder: You must print, complete, sign, and mail the User Registration Checklist, the User Registration Form and Proof of Identity Form to obtain a User ID in the CITSS.

5.8.1 User Registration Checklist

The first of the three forms is the “#1 User Registration Checklist.” The User Registration Checklist provides a reference of all required information for the registrant, as well as the mailing address for submitting all hard-copy documentation. A sample User Registration Checklist is located in Appendix A.

Figure 13 – User Registration Checklist



The screenshot shows the header of the form with the WCI, Inc. logo and the CITSS logo. Below the header, the title "#1 User Registration Checklist" is displayed. The instructions state: "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." The user reference code is "3NSMDT78BV56". The steps to complete registration are: 1. Print/Sign the User Registration Form (Button 2). 2. Complete and notarize the Proof of Identity Form and documents (Button 3), and. 3. Mail all documents (this checklist, the signed User Registration Form, and notarized Proof of Identity Form and documents) to the Jurisdiction Registrar at the address below. The mailing address is: California ARB, Attn: The CITSS User Registration, 1001 I Street, 6th Floor, Sacramento, CA 95814. A note states: "You must have an approved User ID in the CITSS to perform any actions in the system. Once you receive email notification from the Jurisdiction Registrar of being approved as a user in the CITSS, you will be able to log into the system with your chosen User ID and password." The revision date is 3/30/2012.

- STEP 1** Click on the button labeled, **1. Print User Registration Checklist**. The form opens in a new browser tab.
- STEP 2** **Print the User Registration Checklist.**
- STEP 3** **Maintain this form in a secure location** while you complete the required documentation.
- STEP 4** **Return to the Registration 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. The forms each open in separate tabs, which you can close or leave open for the time being.

5.8.2 User Registration Form

The second of the three forms is the “#2 User Registration Form.” The User Registration Form includes the User Registration information that was entered into the CITSS (except your password and security questions) and the Terms and Conditions that you accepted electronically. You must print, sign (an original signature is required), and mail this form to the California Registrar. The signature line is located at the bottom of this form and is not displayed in Figure 14. A sample completed User Registration Form is located in Appendix A.

Figure 14 – User Registration Form (printed format)

CITSS Compliance Instrument
Tracking System Service

#2 User Registration 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 Checklist Form, User Registration Form, and Proof of Identity Form.

CITSS User Reference Code #: 3NSMDT78BV56

This form presents the user registration information and the Terms and Conditions that you electronically accepted. You must print, sign (an original signature is required), and mail this form to the Jurisdiction Registrar along with the notarized Proof of Identity Form and documents. These documents will be reviewed and matched with your electronic submission. If the information provided is inaccurate or incomplete, or the Jurisdiction Registrar cannot verify receipt of all hard copy documents, your user application will be denied.

User Information		Physical Address	
Salutation		Street 1	123 Main Street
First Name	John	Street 2	
Middle Name		City	Sacramento
Last Name	Smith	State/Province	California
Suffix		Postal Code	95814
Date of Birth	1975-05-03	Country	United States
Job Title		Mailing Address	
Organization		Street 1	123 Main Street
Department		Street 2	
Telephone (example: 9163247659)	9161234567	City	Sacramento
Telephone Ext.		State/Province	California
Mobile Telephone		Postal Code	95814
Fax Number (example: 9163247659)		Country	United States
Email	JSmith@email.com		
Correspondence Language	English		
Login Information			
Jurisdiction	California		
User ID	John_Smith		
User Reference Code	3NSMDT78BV56		

CITSS User Terms and Conditions - Read and Sign Below
[ACCESS AGREEMENT AND TERMS OF USE FOR THE CITSS](#)
 SIGN THE BOTTOM OF THE PAGE TO INDICATE YOUR ACCEPTANCE OF THIS AGREEMENT.

- STEP 1** Click on the button labeled, **2. Print User Registration Form.** The form opens in a new browser tab.
- STEP 2** **Print the User Registration Form and sign.** You may want to copy this form for your records. The original must be submitted to the California Registrar.
- STEP 3** **Maintain this form in a secure location while you complete the required documentation.**
- STEP 4** **Return to the Registration Submitted page** by navigating back to the original browser tab where the Registration Submitted page is displayed.

5.8.3 Proof of Identity Form

The last of the three forms is the “#3 Proof of Identity Form.” The Proof of Identity Form must be completed, signed, and submitted along with the documentation of personal identification data described in the form. The information and documentation support the completion of required “Know-Your-Customer” processes. The form includes a description of the acceptable forms of hard copy documentation that can be submitted. A sample Proof of Identity Form is located in Appendix A.

Figure 15 – Proof of Identity Form (partial)



CITSS

Compliance Instrument
Tracking System Service

#3 Proof of Identity 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 Checklist Form, User Registration Form, and Proof of Identity Form.

CITSS User Reference Code #: 3NSMDT78BV56

You must complete this form and include the supporting documents listed below and on the User Registration Checklist to receive access to CITSS. All documents must be submitted in English.

Section 1.0 Proof of Identity Documentation:

You must provide documentation of the following to complete this Proof of Identity Form:

- a. Your name
- b. Your date of birth
- c. Your driver’s license number (if issued) or your passport number (if issued)
- d. A government-issued document providing photographic evidence of your identity

Acceptable forms of documentation for items a.-d. include photocopies of a valid identity card with an expiration date (including driver’s license), or photocopies of a valid passport.

- e. Your primary resident address

Acceptable forms of documentation for item e. include photocopies of a valid identity card with an expiration date (include driver’s license), any other government-issued identity document containing your primary address, or any other document that is customarily accepted in the State of California as evidence of your primary residence.

- f. Your employer name, address, and contact information

Acceptable forms of documentation for item f. include photocopies of a recent paycheck with your employer name and address clearly printed, or an employment verification letter containing the name of the employer, address, and contact information of a supervisor. If submitting a photocopy of a paycheck, you may redact information such as pay, benefit information, and Social Security Number.

- g. Employment or other relationship to an entity that has registered or has applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked. Please include the information below:

1. I am employed or I have a relationship with an entity that has registered or applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked. I have provided additional details on these relationships in the table below.

 2. I am not employed or I do not have a relationship with an entity that has registered or applied to register with the California GHG cap-and-trade program or an external GHG ETS to which California has linked.

If you selected option 1, you must identify the entities you have a relationship by completing the additional information requested below. If you selected option 2 you do not need to identify any relationships in the table below.

Employment or Other Relationship to Cap-and-Trade Entities			
Your Name	Entity Legal or Operating Name	Relationship	Entity Address

- STEP 1** Click on the button labeled, **3. Print Proof of Identity Form**. The form opens in a new browser tab.
- STEP 2** **Print the Proof of Identity Form**. You may want to copy this form for your records. The original must be submitted to the California Registrar. **Maintain this form in a secure location while you complete the required documentation.**
- STEP 3** **Review the data to be documented and the acceptable forms of documentation for items a. through d. which include name, date of birth, driver’s license or passport number, and photographic evidence of your identity. Prepare a copy of the documentation for these data items.** All of these items can be documented through a copy of a current passport, driver’s license, or other government issued ID card that includes an expiration date. **All data entered electronically in the CITSS must match**

the hard-copy documentation.

STEP 4 Review the data to be documented and the acceptable forms of documentation for item e. – resident address. Prepare a copy of the documentation for this data item. If the documentation provided in STEP 3 above includes a current residence address and is not a passport, that documentation can also be used to satisfy this item. You do not need to make an additional copy.

STEP 5 Review the data to be documented and the acceptable forms of documentation for item f. – Your employer name, address, and contact information. Prepare a copy of the documentation for this data item. Acceptable forms of documentation for item f. include photocopies of a recent paycheck with your employer name and address clearly printed, or an employment verification letter containing the name of the employer, address, and contact information of a supervisor. If submitting a photocopy of a paycheck, you may redact information such as pay, benefit information, and Social Security number.

STEP 6 Complete item g. on the Proof of Identity Form. Choose either option 1 or 2 to identify if you are employed by or have a relationship with an **entity*** that has registered or applied to register with the California GHG cap-and-trade program or an external GHG Emissions Trading System (ETS) to which California has linked and will identify you as an account representative.

For purposes of this document, employment or a relationship includes but is not limited to:

- **employee** (paid or un-paid position, internship, full or part-time, individuals acting through temporary employment agency contracts, independent contractors working exclusively to an individual or entity)
- **contractor** (any contract/consultant relationship)
- **owner** (any ownership interest in which the individual can exercise control over the actions of the entity)

STEP 7 If you chose option 1 in item g., complete the “Employment or Other Relationship to Cap-and-Trade Entities” Table provided on the form to provide additional details on all employment and relationships. If you need additional space, provide the requested information on a separate piece of paper stapled to the Proof of Identity Form. Employment or a relationship can be described using the titles identified in STEP 6, or other titles as appropriate.

STEP 8 Review the data to be documented and the acceptable forms of documentation for item h. – An open bank account in the United States in your name. Acceptable forms of documentation for item h. include photocopies of a recent bank statement, a letter from the bank documenting an open bank account, or a void check from an open bank account in your name in the United States or Canada. If submitting a photocopy of a bank statement, information such as balance and transactions may be redacted.

STEP 9 Documents being used to document items a. through f. and item h. must be notarized. To notarize Proof of Identity documents, request a Jurat from a notary public. The notary public will describe each document on the Jurat and attach the copies to the Jurat. Your documents must be notarized by a notary no more than three months before submittal.

STEP 10 Disclose any felony criminal convictions in the previous five (5) years. Check the box under Section 3 on the Proof of Identity Form if you have had any felony criminal convictions in the previous five (5) years. If you have a felony conviction you must provide details of the conviction on the fields in Section 3. If you have more than one conviction to disclose, provide the requested information for all convictions on a separate piece of paper attached by staple to the Proof of Identity Form.

STEP 11 Submit All Registration Documents, including Proof of Identity Documentation. Submit the registration forms and verification documents including the Jurat and attached notarized copies, as well as any additional letters, supplements, or additional pages needed to the California CITSS Registrar at the address on Form #1 – User Registration Checklist.

All forms and documentation must be submitted before your user registration will be reviewed for approval.

5.8.4 Proof of Identity Form – Documentation Does Not Match Electronic Data **Typographical Errors and Other Minor Differences**

In general, the verification documents submitted must match the data entered electronically in the CITSS exactly. If there is a minor difference due to a typographical error, use of abbreviations, or other similar circumstance, there are a few ways to explain and document the difference and allow the California Registrar to accept your documentation and data entry.

If you entered data electronically that does not match your hard-copy documentation due to typographical error or other minor differences, you can correct this by completing either of the three (3) options below:

- Go back to Form #2 (User Registration Form) that is printed from the CITSS. Line through any incorrect data, write in the correct information to the right, initial, and date the entry. Do not obscure the original entry, only draw a line through it.
- Complete a “CITSS User Registration Online Data Entry Supplement” available in Appendix C and on the ARB CITSS web page at <http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>. Fill in only those fields to be corrected, then sign, date, and include this form with your packet of forms and hard-copy documentation.
- Provide an attached letter that is signed and dated and describes both the difference in data entry and documentation and the reason.

Change of Personal Information Not Reflected in Documentation

If your name or address has changed and that change is not reflected on the documentation provided, you can provide current information by completing the

processes described below. The processes are different, depending on the data that need to be updated.

Name Change

If your name has changed since your identification card, license, or passport was issued, you can provide documentation in any of the following ways:

- If submitting a passport, provide both
 - a copy of the passport with your previous name, and
 - a copy of the marriage certificate or court order that documents the change to your current name.
- If submitting a driver's license or ID card,
 - provide a copy of your driver's license or ID card issued in your prior name and either:
 - a copy of a temporary license (if issued) showing the new name, or
 - a copy of the marriage certificate or court order that documents the change to your current name from what was recorded.
- Submit a letter explaining the differences, the type of action that legally changed your name (e.g., court order, marriage), and the date of action. Attach a copy of the marriage certificate or court order that documents the change to your current name from what was recorded.

Any certificate or court order that documents the change to your current name must be issued by a government agency within the United States or a foreign jurisdiction that is authorized to issue such documents. The document must be a dated, legible, and unaltered copy showing the government seal, stamp, or other official imprint.

Address Change

If your residence address has changed since your current driver's license or ID card was issued, additional documentation will be needed to document your primary residence address. Acceptable additional forms of documentation include:

- A copy of a utility bill from within the past three months that bears on its face the individual's name and the service address. Examples are: electricity, gas, cable, or water bill from within the last three months, with purchaser's name on it and showing the service address. Balances may be redacted by covering them with a black mark before copying.
- A copy of your voter registration card indicating the primary residence address.
- A copy of a current federal or state tax return indicating the primary residence address.
- A copy of a current automobile registration indicating the primary residence address.
- A residential lease or rental agreement that bears the individual's name and residence address, and indicates a current lease term. The lease must be a signed and dated by all parties. Dollar amounts may be redacted.
- A property deed that bears the individual's name and the individual's current residential address. A property deed can be either a valid deed of trust for the individual's property of current residence that identifies the individual as a grantee of the trust or a valid certificate of title issued by a licensed title insurance

company that identifies the individual as a title holder to his or her property of current residence.

Examples of documents that are NOT acceptable proof of residency:

- Hunting or fishing license
- Cellular phone bill

If you have any questions about completing the registration documents, please contact the California CITSS Help Desk at **(916) 324-7659** or CACITSSHelpDesk@arb.ca.gov.



Email - When the forms and documents are received and evaluated for completeness, email confirmation of receipt of the submittal will be sent to the email address provided in the application. If the forms and documentation are found not to be complete, no further review will be completed until the additional necessary documentation is received. If complete, the package will move forward in the review process.

5.9 User Registration Approval/Denial

Once the online portion of the User Registration application has been successfully submitted and the required hard-copy forms and documentation have been received and verified to be complete, the California Registrar will review all submitted information and documentation, and the User Registration will be either approved or denied.



Email - Email confirmation will be sent to the user after the California Registrar has reviewed the submitted User Registration to notify the user of either approval or denial.

You will not have access to the CITSS using the requested User ID and Password until the registration is approved. ARB expects registration review to take approximately two (2) weeks. If you have not received any emails following submittal of online data or hard-copy documentation, there may be a problem with the email submitted. Please contact the California CITSS Help Desk at **(916) 324-7659** or CACITSSHelpDesk@arb.ca.gov.

If you receive a notice that your registration was denied, please contact the Help Desk for further information.

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.

6.0 User Profile Management

Once a User Registration has been approved by the California Registrar, the user may access the CITSS. When you are notified of your approval, login to the CITSS to review all the information you entered. A user can at this point apply for accounts on behalf of an entity or individual, or update his or her user profile information.

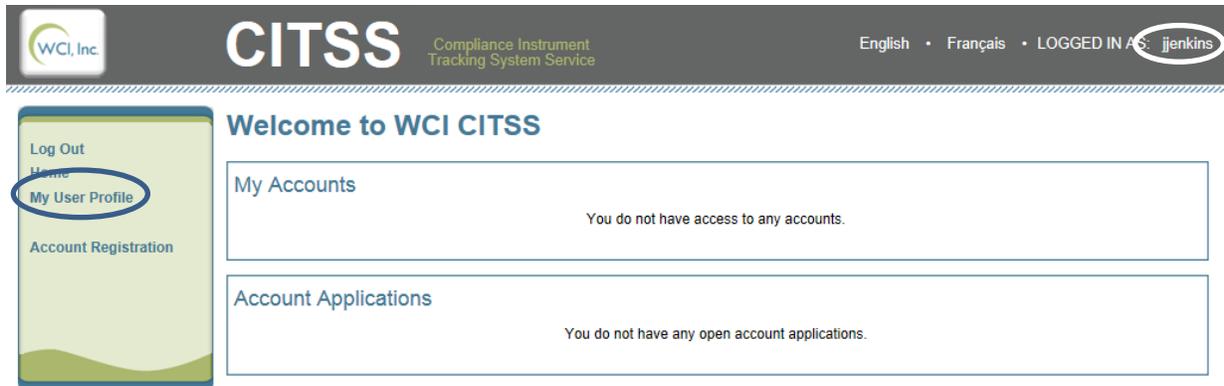
Figure 16 – CITSS Sign In Page

- STEP 1** Access the CITSS through the ARB webpage at <http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>.
- STEP 2** Click on “Login.”
- STEP 3** Enter your User ID and Password to gain access to your User profile and any of your associated accounts.

6.1 User Home Page

After you have logged into the CITSS, a “Welcome to WCI CITSS” screen appears. This page is your User Home Page. Your User ID appears on the upper right of the screen (circled in white in Figure 17 below). To return to this screen from other pages, you can click on this User ID or “Home” on the left navigation menu. From this screen you can navigate to your user profile to verify or change data as needed. The Home Page also displays pending and in process compliance account applications and compliance accounts for which this user has been identified as a representative.

Figure 17 – User Home Page – Welcome to WCI CITSS



STEP 1 Click on “My User Profile” on the left navigation menu to access your user profile.

6.2 User Profile

The “User Detail” screen displays all of the current user information.

Figure 18 – User Detail

User Detail

You last logged into CITSS on: 2012-06-26 11:15:08 EDT

This screen shows the current user information in the system. Users may press the Edit link at the top of the screen to make changes to the information. If the user has proposed a change to a field that requires Registrar approval, that field is identified with a "†". The change must be approved by the Registrar before the change is final. Pending changes are listed in the right column. A blank, pending change means the value was proposed to a blank value.

† = Data requires jurisdiction approval before it is final

Personal Information

User Reference Code	JKDF7RV6JSHR
Salutation	
First Name	Jerry
Middle Name	Joseph
Last Name	Jenkins
Suffix	
Date of Birth	1990-10-16
Job Title	Administrative Assistant
Organization	Union Pacific
Department	Admin
Telephone (example: 9163247659)	5555551111
Telephone Ext.	
Mobile Telephone	5555553333
Fax Number (example: 9163247659)	5555552222
Email	jjenkins@sra-dev.com
Email Language Preference	English

Primary Residence

Street 1	5438 Factory Blvd
Street 2	Building 37
City	Los Angeles
State/Province	California
Postal Code	90001
Country	United States

Mailing Address

Street 1	50 Valley View Road
Street 2	Suite 900
City	Stockton
State/Province	California
Postal Code	95219
Country	United States

Login Information

Jurisdiction	California
User ID	jjenkins
Role(s)	User
Status	Active
Terms Accepted	CARB TERMS
Date Registered	2011-10-24

STEP 1 Review all data to verify what was entered during registration. This page can be printed for your records but should of course be stored securely.

The first field under “Personal Information” is the User Reference Code that was assigned at the time you registered. This code may be shared with others for purposes of assigning you as a representative on entity accounts. This code will not provide access to your personal information.

STEP 2 Review the “Login Information.” Notice that the password and security

questions are **not** displayed; these are only known to the User. The fields will show your User ID, your role in the CITSS (“User”), the status of your access (“Active”), the terms and conditions you accepted (“CARB TERMS”), and the date you were registered.

STEP 3 If any data needs to be revised, click on the **Edit button next to the User Detail Title (see Section 6.3 for more information)**. If the data entered during registration is fine, then return to the home page by clicking on home.

6.3 Updating a User Profile

If any of the information provided during registration changes, the User is responsible to notify ARB and if necessary request approval of the changes. If you have been identified as a representative on any compliance instrument accounts, the Cap-and-Trade Regulation requires that the CITSS User provide updated information within 10 days of the change. This page allows you to enter proposed changes electronically. Those fields which require approval from the California CITSS Registrar are identified by an exclamation point. The asterisks identify required information.

Figure 19 – Edit User Information

WCI, Inc.
CITSS
Compliance Instrument
Tracking System Service
English · Français · LOGGED IN AS: jjenkins

Log Out

Home

My User Profile

Account Registration

Edit User Information

This page allows users to edit their contact information. Asterisks (*) indicate required fields. After correcting the desired fields, press the Submit Changes button at the bottom of the screen.

Many fields can be updated immediately. For security purposes, fields designated with an exclamation mark (!) require Registrar approval. When these fields are changed and the Submit Changes button is pressed, these fields will be identified on the User Detail Screen indicating that there is a Pending change. The Registrar will email the user upon Approval/Denial of the proposed change.

* = Required field
! = Data requires jurisdiction approval before it is final

Personal Information

Salutation	!	<input type="text"/>
First Name	! *	<input type="text" value="Jerrv"/>
Middle Name	!	<input type="text" value="Joseph"/>
Last Name	! *	<input type="text" value="Jenkins"/>
Suffix	!	<input type="text"/>
Date of Birth	! *	<input type="text" value="16"/> <input type="text" value="October"/> <input type="text" value="1990"/>
Job Title		<input type="text" value="Administrative Assistant"/>
Organization Name		<input type="text" value="Union Pacific"/>
Organization Department		<input type="text" value="Admin"/>
Telephone Number	*	<input type="text" value="5555551111"/>
Telephone Extension		<input type="text"/>
Mobile Phone Number	!	<input type="text" value="5555553333"/>
Fax Number		<input type="text" value="5555552222"/>
E-Mail Address	! *	<input type="text" value="jjenkins@sra-dev.com"/>
Correspondence Language	*	<input type="text" value="English"/>

Primary Residence

Street 1	! *	<input type="text" value="5438 Factory Blvd"/>
Street 2	!	<input type="text" value="Building 37"/>

City	! *	Los Angeles
State/Province	*	California
Postal Code	! *	90001
Country		United States
Mailing Address		
Use Primary Residence for Mailing Address		<input type="checkbox"/>
Mailing Street 1	! *	50 Valley View Road
Mailing Street 2	!	Suite 900
Mailing City	! *	Stockton
Mailing State/Province	*	California
Mailing Postal Code	! *	95219
Country		United States
Login Information		
Jurisdiction		California
User ID		jjenkins
Role(s)		User
Status		Active
Terms Accepted		CARB TERMS
Date Registered		2011-10-24
User Reference Code		JKDF7RV6JSHR
Update Password		
Current Password		<input type="password"/>
New Password		<input type="password"/>
Confirm New Password		<input type="password"/>
Comments		
Data Change Comment		<input type="text"/>
<input type="button" value="Submit Changes"/>		

STEP 1 Click on the **Edit** button next to the **User Detail Title**. From this screen you will enter any proposed changes to information. (see Section 6.3.1)

Fields with an exclamation point (!) require approval before the change can go into effect. The fields that do not have an exclamation point (!) can be edited immediately without approval. Edits that require California Registrar approval are summarized below.

Edits in the following fields require California Registrar approval:

- Salutation
- All name fields: First, Middle, and Last Name, Salutation and Suffix
- Date of Birth
- Mobile Phone Number
- Email Address
- Primary Residence Address
- Mailing Address

Depending on the nature of the change and the reason for the change, changes to information that was verified during the initial registration may require new forms to be signed and new documentation to be submitted. Upon review, the requested edits may be approved or denied. Until review is complete, the initial data will be used for all actions in the CITSS, and the original email address will be the email address for all correspondence. If for some reason the original email address is disabled and you are unable to receive communication from the CITSS through email until a new email

address is approved, please contact the CITSS Help Desk for assistance at (916) 324-7659.

A user is not allowed to move their CITSS User ID to another individual. In such a case, the new individual will be required to complete registration for a new CITSS User ID.



Email - Email confirmation will be sent to the User confirming any changes made to a user profile that did not require approval or confirming submittal for all edits or updates to a user profile that require California Registrar approval.



Email - The California Registrar will review the user data change and either approve or deny the change. An email will be sent to the user indicating approval or denial of user profile change.

6.3.1 Updating a User Profile – No Approval Required

If you need to enter a change to the employment fields or your telephone extension, you can immediately make that change by entering the new data in the CITSS.

Figure 20 – Edit User Information

The screenshot shows the CITSS user interface. At the top, there is a header with the WCL Inc. logo, the text 'CITSS Compliance Instrument Tracking System Service', and language options 'English' and 'Français'. The user is logged in as 'jjenkins'. Below the header, there is a navigation menu on the left with options: 'Log Out', 'Home', 'My User Profile', and 'Account Registration'. The main content area is titled 'User Detail' and has an 'Edit' button circled in blue. Below the title, there is a paragraph explaining the screen's purpose and a legend: 'I = Data requires jurisdiction approval before it is final'. The user's personal information is listed in a table:

User Reference Code	JKDF7RV6JSHR
Salutation	
First Name	Jerry
Middle Name	Joseph
Last Name	Jenkins
Suffix	
Date of Birth	1990-10-16
Job Title	Administrative Assistant
Organization	Union Pacific
Department	Admin
Telephone (example: 9163247659)	5555551111
Telephone Ext.	
Mobile Telephone	5555553333
Fax Number (example: 9163247659)	5555552222
Email	jjenkins@sra-dev.com
Email Language Preference	English

Below the table, there is a 'Comments' section with a 'Data Change Comment' field containing the text 'Added a telephone extension.' and a 'Submit Changes' button. The 'Comments' section and the 'Submit Changes' button are circled in blue.

STEP 1 Move the cursor to the field to be updated and enter the new data.

STEP 2 Enter a note regarding the reason for the change. This is not required but is a recommended practice to help you track changes over time.

STEP 3 Click on “Submit Changes.”



Email - An email will be sent to the CITSS User confirming that a change to information was submitted. Even though the change does not require approval, this email is generated to ensure that the individual intended to submit a change to his or her user account.

Figure 21 – User Detail (updated)

The screenshot shows the CITSS user interface. At the top, there is a navigation bar with the WCI, Inc. logo, the CITSS title, and language options (English, Français). The user is logged in as 'jjenkins'. Below the navigation bar, the page title is 'User Detail' with an 'Edit' button. A message box indicates 'User update successfully submitted.' Below this, a paragraph explains that the screen shows current user information and that fields requiring Registrar approval are marked with a 'T'. A legend indicates that '!' means data requires jurisdiction approval. The main content area is titled 'Personal Information' and contains a table of user details. On the right side of this table, there is a summary of the most recent change, including its status, date, and the user who made it.

Field	Value	Proposed Change Status	Cleared
User Reference Code	JKDF7RV6JSHR		
Salutation			
First Name	Jerry		
Middle Name	Joseph		
Last Name	Jenkins		
Suffix			
Date of Birth	1990-10-16		
Job Title	Administrative Assistant		
Organization	Union Pacific		
Department	Admin		
Telephone (example: 9163247659)	5555551111		
Telephone Ext.	888		
Mobile Telephone	5555553333		
Fax Number (example: 9163247659)	5555552222		
Email	jjenkins@sra-dev.com		

STEP 5 Review the updated user profile. Two (2) entries will show that the changes were proposed and have been made. At the top of the screen a message indicates “User update successfully submitted.” This message will be displayed when any change is successfully submitted. On the right side of the screen, the most recent change submittal is described, showing status, the date updated, and who made the update.

If you try to change a field in a format that is not allowed or try to delete a required field, an error message will be displayed.

For instance, in the following example, a user removed a last name but did not re-enter the new name and an error message notified them that the last name is a required field. This requested change was not submitted.

Figure 22 – User Detail (update error)

The screenshot shows the 'Edit User Information' page in the CITSS system. At the top, there is a navigation bar with the WCI, Inc. logo, the CITSS title, and the user's language (English) and login status (LOGGED IN AS: jsmith4ca). On the left, a sidebar contains links for 'Log Out', 'Home', 'My User Profile', and 'Account Registration'. The main content area is titled 'Edit User Information' and features a red error message at the top: 'Last Name is required.' Below this, a paragraph explains that the page allows users to edit contact information and that asterisks (*) indicate required fields. A legend indicates that '*' means 'Required field' and '!' means 'Data requires jurisdiction approval before it is final'. The form fields are organized into two sections: 'Personal Information' and 'Primary Residence'. In the 'Personal Information' section, the 'Last Name' field is highlighted with a red border and an error icon. Other fields include Salutation (Mr.), First Name (James), Middle Name (R.), Suffix, Date of Birth (15 February 1965), Job Title (Compliance Manager), Organization Name (CA Company), Organization Department (Environmental Compliance), Telephone Number (5552224444), Telephone Extension, Mobile Phone Number (1001001000), Fax Number, E-Mail Address (jsmith2@cacompany.com), and Correspondence Language (English). The 'Primary Residence' section includes Street 1 (100 Home Way).

WCI, Inc. **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: jsmith4ca

Edit User Information

Last Name is required.

This page allows users to edit their contact information. Asterisks (*) indicate required fields. After correcting the desired fields, press the Submit Changes button at the bottom of the screen.

Many fields can be updated immediately. For security purposes, fields designated with an exclamation mark (!) require Registrar approval. When these fields are changed and the Submit Changes button is pressed, these fields will be identified on the User Detail Screen indicating that there is a Pending change. The Registrar will email the user upon Approval/Denial of the proposed change.

* = Required field
! = Data requires jurisdiction approval before it is final

Personal Information

Salutation	!	Mr.
First Name	! *	James
Middle Name	!	R.
Last Name	! *	
Suffix	!	
Date of Birth	! *	15 February 1965
Job Title		Compliance Manager
Organization Name		CA Company
Organization Department		Environmental Compliance
Telephone Number	*	5552224444
Telephone Extension		
Mobile Phone Number	!	1001001000
Fax Number		
E-Mail Address	! *	jsmith2@cacompany.com
Correspondence Language	*	English

Primary Residence

Street 1	! *	100 Home Way
----------	-----	--------------

6.3.2 Updating a User Profile – Approval Required

If you need to enter a change to the employment fields or your telephone extension or mobile phone number, you can immediately make that change by entering the new data in the CITSS.

Figure 23 – Edit User Information

- STEP 1** Click on the Edit button next to the User Detail title. The Edit User Information screen is displayed.
- STEP 2** Move the cursor to the field to be updated and enter the new data. You can submit multiple changes at one time if necessary.
- STEP 3** Enter a note regarding the reason for the change. This is not required but is a recommended practice to help you track changes over time.
- STEP 4** Click on “Submit Changes.”

 **Email** - An email will be sent to the CITSS User confirming that a change to information was submitted. This email is generated to ensure that the individual intended to submit a change to his or her user account.

STEP 5 Review the updated user profile. Two (2) entries will show that the

changes were proposed and are pending review. At the top of the screen a message indicates “User update successfully submitted.” On the right side of the screen, the most recent change submittal is described, showing status, the date updated, and who made the update.

Figure 24 – User Detail (updated)

User Detail [Edit](#)

You last logged into CITSS on: 2012-06-26 11:15:08 EDT

This screen shows the current user information in the system. Users may press the Edit link at the top of the screen to make changes to the information. If the user has proposed a change to a field that requires Registrar approval, that field is identified with a "!". The change must be approved by the Registrar before the change is final. Pending changes are listed in the right column. A blank, pending change means the value was proposed to a blank value.

! = Data requires jurisdiction approval before it is final

Personal Information

User Reference Code	JKDF7RV6JSHR
Salutation	
First Name	Jerry
Middle Name	Joseph
Last Name	Jenkins
Suffix	
Date of Birth	1990-10-16
Job Title	Administrative Assistant
Organization	Union Pacific
Department	Admin
Telephone	5555551111

Proposed Change Status	Pending
Updated Date	2012-06-26
Updated By	Jerry Jenkins
Mr.	!

STEP 6 The proposed changes that are still under review are listed to the right of the approved data until approval. In the example above, the user proposed a change to their residence address and their email.

Most of the required data in the CITSS was verified with hard-copy documents in the initial registration and most proposed changes to required fields will require documentation to be submitted to support the requested change. The registrar staff will contact you with a request for required documentation after reviewing your request.

STEP 7 Submit any additional documentation requested by the California Registrar.



Email - An email will be sent to the CITSS User confirming that a change to information was approved or denied. If denied, a reason will be provided and additional instruction will be provided if appropriate.

6.4 User Profile – Passwords and User IDs

CITSS Users must have their User IDs and passwords to access the system. User passwords are known only to the User and can be changed by the User.

6.4.1 Changes to Passwords

Users can change their password by following the same process described in the section titled “User Changes - No Approval Required.” ARB staff does not have access to a user’s password and cannot retrieve it for them. It is recommended that passwords be changed regularly as a security measure.

Figure 25 –User Detail - Login Information

Login Information	
Jurisdiction	California
User ID	Jsmith4CA
Role(s)	User
Status	Active
Terms Accepted	CARB TERMS
Date Registered	2012-06-15
User Reference Code	XZ5B3YWLS3M7

Update Password

Current Password

New Password

Confirm New Password

Comments

Data Change Comment

Submit Changes

- STEP 1** From the User Home Page, click on My User Profile to access the User Detail Page.
- STEP 2** On the User Detail page, click on the Edit button next to the User Detail Title.
- STEP 3** Scroll down to the lower portion of the page, to the section with the header “Update Password.”
- STEP 4** Enter the current password.
- STEP 5** Enter a new password.
- STEP 6** Enter the new password again in the Confirm New Password field.
- STEP 7** Enter a data change comment if you wish.
- STEP 8** Click on “Submit Changes.”



Email - An email will be sent to the CITSS User confirming that a change to information was submitted. Even though the change does not require approval, this email is generated to ensure that the individual intended to submit a change to his or her user account in the CITSS.

6.4.2 Lost Password

In the event that a User forgets their password, they can be issued a temporary password that will provide temporary access into the CITSS, at which time the user will have to establish a new password.

Figure 26 – CITSS Sign-In Page

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français

Sign In

You must Login to the CITSS. In order to Login, you must have a User ID and a password. If you need to create a User ID and password, proceed to the User Registration page.

Your password is case-sensitive.

Notice: The CITSS is for use by authorized users. Use is monitored and/or may be restricted at any time. Confidential information may not be accessed or used without authorization. Unauthorized or improper use of this system may result in administrative, civil, and/or criminal penalties. Use of this system, authorized or unauthorized, constitutes consent to monitoring and information retrieval. By accessing this system you are acknowledging and consenting to these terms and conditions. Leave this site immediately if you are not an authorized user or do not agree to the conditions in this notice.

* = Required field

User ID: *

Password: *

Sign In

[Forgot password?](#)

STEP 1 Click on “Forgot Password” on the CITSS Login page.

The page illustrated in Figure 27 below will be displayed.

Figure 27 – Request Password Page

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français

Request Password - Provide User ID and Email

You may reset your password using the security questions and responses provided when you completed the security questions during user registration. In order to complete the reset process, you must answer the security question correctly. If you answer the question correctly, a temporary password will be emailed to you. If you answer the security question incorrectly three times, your CITSS user ID will be locked. If you are unable to reset your password or your CITSS user ID has been locked, you should contact the Help Desk for your jurisdiction.

California Help Desk:
Email: CACITSSHelpDesk@arb.ca.gov
Phone number: 916-324-7659

Quebec Help Desk:
Email: spede-bcc@mddep.gouv.qc.ca
Phone number: 418-521-3868, poste 4681

* = Required field

User ID: *

Email: *

Continue

STEP 2 Enter your User ID and the email address that was provided with the User Registration. The temporary password can only be sent to the email address registered with the User. If you do not have access to this email address or have forgotten the email you registered, you must call the California Help Desk for assistance at (916) 324-7659.

The page illustrated in Figure 28 will be displayed.

Figure 28 – Request Password –Security Questions

WCI, Inc. CITSS Compliance Instrument Tracking System Service English · Français

Login
Home
User Registration

Request Password - Answer Security Question

You may reset your password using the security questions and responses provided when you completed the security questions during user registration. In order to complete the reset process, you must answer the security question correctly. If you answer the question correctly, a temporary password will be emailed to you. If you answer the security question incorrectly three times, your CITSS user ID will be locked. If you are unable to reset your password or your CITSS user ID has been locked, you should contact the Help Desk for your Jurisdiction.

* = Required field

Question In what city does your nearest sibling live?
Answer *

Continue

STEP 3 One of the security questions you selected at registration will be displayed. Enter the answer you provided at registration. Answers are case sensitive.

If you answer incorrectly a different question will be displayed. If you miss all three (3) questions incorrectly, your user access will be disabled, and you will need to contact the CITSS Help Desk for assistance. If a user account is disabled, an email is sent to the user informing them that the access is disabled due to a failed login attempt.

If the security question is answered correctly, a temporary password will be sent to the email address provided. This password is valid for 24 hours; during that time you must log in to the CITSS and change your password through the edit feature on the User Detail page. Emails will also be sent to the user for any password resets.

6.4.3 User IDs

User IDs cannot be changed in the CITSS. User IDs can only be used once in the CITSS. If your registration was denied or an active registration was disabled, you cannot apply for a new registration using the same User ID.

7.0 Account Application Procedures

7.1 Account Application Overview

Account Application Basic Requirements

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;
- The account application must assign a legal entity (government organization, non-governmental organization, corporate entity, or natural person) that is responsible for the account(s); and
- The account application must designate one Primary Account Representative (PAR) and one Alternate Account Representative (AAR). These persons will act on behalf of the legal entity and are the managers of the account(s).

Additional functions related to account representatives are included in the 2012 [amendments](#) to the Cap-and-Trade Regulation. These functions are not available at this time. These functions are expected to be available in the September 2012 release of the CITSS:

- Account representative changes to allow for one PAR and up to four AARs;
- Accounts may designate one (1) to five (5) Account Viewing Agents (AVA) who are authorized by the Primary Account Representative to view the information in the account for specific purposes associated with an account.

Account Application Process

Individuals with active CITSS User IDs who have been authorized to submit account applications on behalf of a covered entity, opt-in covered entity, or a general market participant can access and complete the account application in the CITSS system.

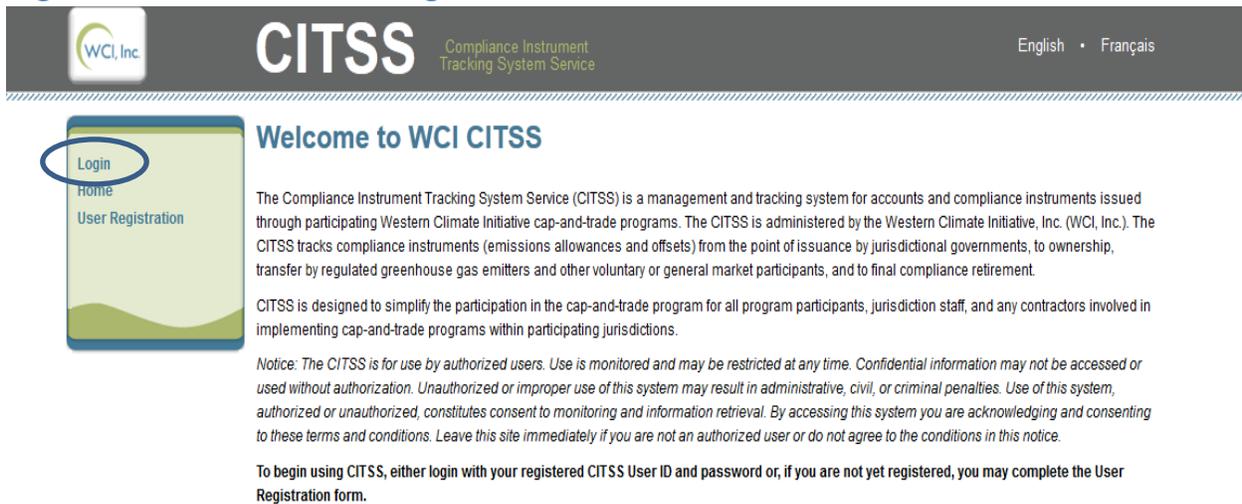
Applying for accounts in the CITSS requires the authorized representative entering data to provide information about the entity online in the CITSS. Hard-copy documentation must also be submitted. The hard-copy documentation includes signed original attestations from the designated AAR and PAR, and if the entity is an organization, 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 documentation before approving or denying the account application. ARB will notify the AAR and PAR for the entity accounts via email if the application was approved or denied, or if further information is required. If approved, the entity's accounts will be established.

7.2 Account Application

Approved CITSS Users can enter the electronic portion of a new account application in the CITSS for an entity or individual who has authorized them to do so. Not all CITSS Users will complete this process. An approved CITSS User can be designated as a representative on an account by someone else who is completing the electronic portion of the account application. If you are a representative on an account or set of accounts, you will need to complete and/or sign a portion of the hard-copy documentation associated with the account application.

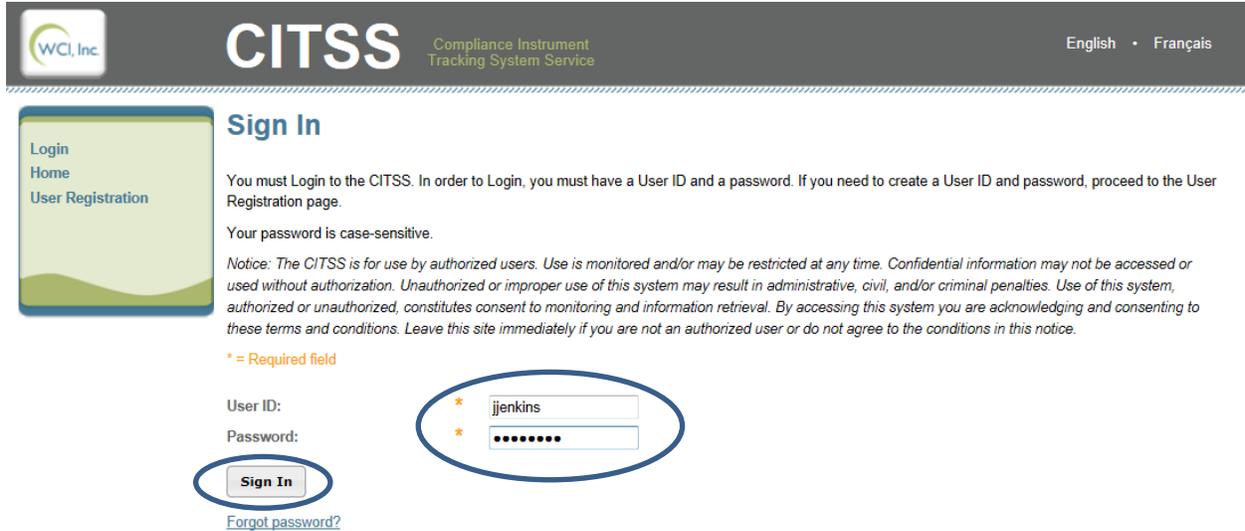
CITSS Home Page

Figure 29 – CITSS Home Page



STEP 1 To complete the electronic portion of a new CITSS Account Application, click “Login” on the left navigation menu.

Figure 30 – CITSS Sign In Page



STEP 2 At the “Sign In” page, enter your User ID and Password and select the “Sign In” button. Figure 30 shows the “Sign In” screen with sample information inserted into the required fields.

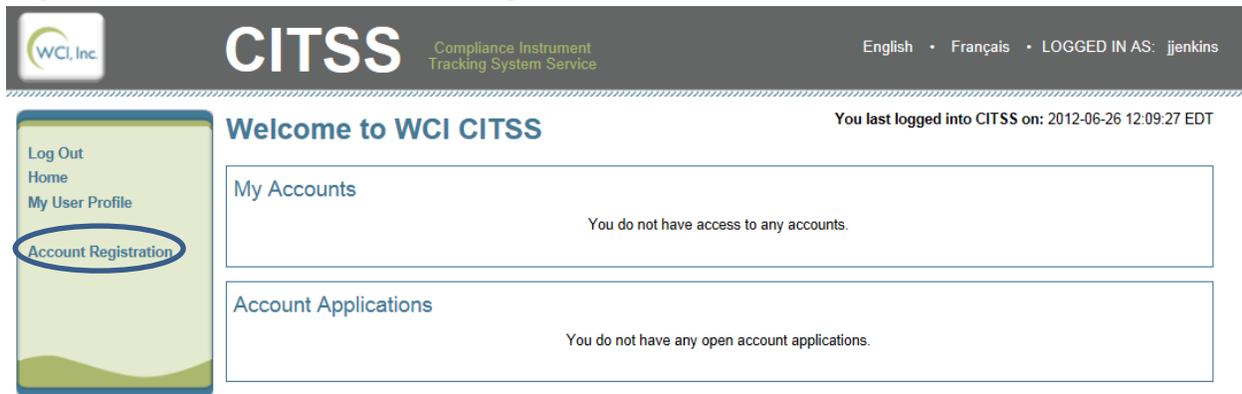
General Data Entry Guidelines

- Use of your browser’s BACK command may terminate your secure session and/or result in loss of data.
- Within the CITSS, switching between English and French will cause the application to return to the home screen and any information entered during that session may be lost.

User Home Page

From the User Home Page, titled “Welcome to WCI CITSS,” you can access the account application. This page will display account applications that you are either in the process of completing and those that you have submitted and are pending approval under “Account Applications.” It also will display any accounts for which you have been designated as a representative under “My Accounts.” 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 your application while pending, but after approval the accounts will only be shown on the Home Pages of the representatives.

Figure 31 – CITSS User Home Page



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

7.3 Account Application – Entering Electronic Data

The “Account Application: Jurisdiction and Account Type” screen is the first screen of electronic data entry and is the same regardless of the type of entity applying for accounts. After completing this page, the data entry pages are specific to the entity type. The individual completing the data entry will then need to identify the appropriate entity type for the entity on whose behalf they are entering data. The three entity types are determined based on the nature of the entity or individual’s participation in the cap-and-trade program. The entity type determines the type of accounts which will be issued. The entity types include:

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.

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.

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.

Figure 32 – Account Application: Jurisdiction and Account Type

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.

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 complete 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 for your Jurisdiction.

California Help Desk:
Email: CACITSSHelpDesk@arb.ca.gov
Phone number: 916-324-7659

Select the appropriate information below to begin the Account Application process.

* = Required field

Jurisdiction *

Entity type *

Covered Entity, Covered Source, or Opt-in Entity
General Market Participant - Individual
General Market Participant - Organization

If you have any difficulty determining which type of entity to select, please contact the CITSS Help Desk at: **(916) 324-7659** or CACITSSHelpDesk@arb.ca.gov.

Depending on the entity type you selected, please move to the appropriate section of this guide for instructions on the electronic data entry portion of an account application.

Covered Entity, Covered Source and Opt-In Entity, continue to Section 7.4.

General Market Participant – Individual, continue to Section 7.5.

General Market Participant – Organization, continue to Section 7.6.

IMPORTANT: Before creating a new account, please ensure that an account for your facility, business, or organization has not already been created by another user.

7.4 Covered Entity and Opt-in Entity Account Application – Data Entry

7.4.1 Account Application: Jurisdiction and Account Type

Figure 33 – Account Application: Jurisdiction and Account Type

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.

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 complete 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 for your Jurisdiction.

California Help Desk:
Email: CACITSSHelpDesk@arb.ca.gov
Phone number: 916-324-7659

Select the appropriate information below to begin the Account Application process.

* = Required field

Jurisdiction *

Entity type *

STEP 1 Read the instructions.

STEP 2 Select 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 3 Select the Entity Type from the drop-down menu.

STEP 4 Click on “Continue.”

7.4.2 Account Application: Entity Information

On the “Account Application: Entity Information” page, 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 34 – Account Application: Entity Information

Account Application: Entity Information

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 a 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.**

Legal Name of Entity

Enter the legal name that is on record with the California Secretary of State. Legal names can be found at: <http://kepler.sos.ca.gov>. 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/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 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	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	<input type="text"/>
Operating Name	<input type="text"/>
GHG Emissions Reporting ID	<input type="text"/>

Entity Information – Option A

To locate an entity, you can enter its legal name, its operating name, or the ARB greenhouse gas emissions reporting ID number for the entity. In all fields, you can enter a partial entry and the system will generate a list of potential matches. If entering a GHG ID number, you can use either a four-digit or six-digit number. If you are unsure of any of the information used for reporting under MRR, please confirm it by checking the “Reported Emissions by Facilities” information at: <http://www.arb.ca.gov/cc/reporting/ghg-rep/ghg-rep.htm>. As an example, “San Diego” is entered into the “Option A” Legal Name field, which generates a list of potential matches, as demonstrated in Figure 35.

Figure 35 – Option A: Search for a Covered Entity, Covered Source, or Opt-In Entity

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

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 records

Option B: Start a new Covered Entity, Covered Source, or Opt-In Entity.

Legal Name *

Operating Name *

STEP 1 Enter known entity data. 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 Click on “Search.”

STEP 3 If a list of potential matches is provided, find the correct entity and click on the entity legal name. You will automatically be directed to the next page of data entry.

STEP 4 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.

Entity Information – Option B

Figure 36 displays the “Account Application: Entity Information” page and Option B is circled. Option B was selected as an example with sample information inserted into the required fields. In this example, a “Legal Name” for the entity and an “Operating Name” for a facility were entered into the fields.

Figure 36 – Option B: Start a New Covered Entity, Covered Source, or Opt-In Entity

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: jenkins

Account Application: Entity Information

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.

Legal Name of Entity
Enter the legal name that is on record with the California Secretary of State. Legal names can be found at: <http://kepler.sos.ca.gov>. 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/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 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: 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 *
Operating Name *

Continue **Back**

STEP 1 Enter a new entity's legal name.

STEP 2 Enter the entity's operating name. Enter the name that is used for the ARB Mandatory Reporting Regulation (MRR), if applicable. If the legal name and the operating/trade name are the same, enter that name in both fields.

STEP 3 Click on the "Continue" button.

7.4.3 Account Application: Identifiers

The “Account Application: Identifiers” 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. Data as entered in the CITSS will be verified with documentation and will be the data associated with the entity’s CITSS accounts.

As with User ID registration, all required fields are identified with an asterisk (*).

Figure 37 displays the “Account Application: Identifiers” page and highlights the required fields. As an example, sample information and IDs are entered into the required fields. After the information is entered, click “Continue” at the bottom of the page to proceed to the next step.

Figure 37 – Account Application: Identifiers



CITSS

Compliance Instrument
Tracking System Service

English • Français • LOGGED IN AS: jjenkins

Log Out

Home

My User Profile

Account Registration

Account Application: Identifiers

The North American Industry Classification System (NAICS) code and an ARB GHG Emissions Reporting ID are used to identify and/or classify each entity. Additional identifiers include the Office of Regulatory Information Systems (ORIS) identifier and the Data Universal Numbering System (DUNS) number.

ARB GHG Reporting ID

If your entity has reported emissions in the ARB Mandatory Reporting Regulation (MRR), the ARB GHG Emissions Reporting ID used in the CITSS is the same as that in MRR. The GHG Reporting ID can be up to six digits in length. For shorter numbers, precede the ID number with zeros to fill the six digit field, e.g. 001234. If you do not have a GHG Reporting ID you may enter all zeros in the field.

If you have not historically reported emissions under MRR or you are an opt-in entity, leave this field blank.

NAICS Code

The NAICS code is typically same as that used in MRR. If you have not historically reported emissions under MRR, are an opt-in entity, or are unsure of your NAICS code, you can look up your entity's six digit NAICS code at <http://www.census.gov/eos/www/naics>.

* = 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 Registration Codes

NAICS Code	*	<input type="text" value="311 Food Manufacturing"/>	▼
Entity Identification			
GHG Emissions Reporting ID	*	<input type="text" value="2222222"/>	
ID Number Assigned by Incorporating Agency	*	<input type="text" value="222222222"/>	
Incorporation Province or State	*	<input type="text" value="-- Select --"/>	▼
Incorporation Country	*	<input type="text" value="-- Select --"/>	▼
Date of Incorporation	*	<input type="text" value="28"/> <input type="text" value="June"/> <input type="text" value="2012"/>	
U.S. Federal Tax Employer Identification Number (EIN)	*	<input type="text" value="22-2222222"/>	
ORIS Number		<input type="text"/>	
Numéro d'entreprise du Québec		<input type="text"/>	
ID Number Assigned by the California Secretary of State		<input type="text" value="222222222"/>	
DUNS Number		<input type="text" value="222222222"/>	

- STEP 1** Select the appropriate **NAICS** code from the drop-down list. NAICS is the North American Industry Classification System and 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 entity. The GHG Reporting ID can be up to six digits in length. For shorter numbers, you may precede the number with zeros to fill the six-digit field (e.g., 001234) but are not required to do so.
- 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, complete in the following manner:

If the entity is not incorporated but is another type of business entity registered with the California Secretary of State (SOS), provide the entity number issued by this agency.

If the entity is a public agency, then 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 not an incorporated entity, enter data relevant to the California business entity registration with the SOS. Enter “California” as the State, “United States” as the Country, and the date of the SOS registration.

If the entity is a public agency, then enter a “zero” in this field.

STEP 5 Enter the Federal Tax Employer Identification Number. All entities must enter this number, which is used by the Internal Revenue Service to identify business entities.

STEP 6 Enter the ORIS Identifier if assigned. The U.S. Energy Information Agency (EIA) of the U.S. Department of Energy (DOE) assigns a ORIS (Office of the Regulatory Information System) identifier to electricity generating units (i.e., primarily facilities with a Standard Industrial Classification code of 4911). ORIS ID information is available at: www.eia.doe.gov.

STEP 7 Enter the ID Number assigned to the entity by the SOS. Although not required by the CITSS, providing this number will assist the California Registrar and will support a more rapid review of your application. 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 Secretary of State business office. Foreign businesses (out of state and out of country) must also register with the California SOS.

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.

7.4.4 Account Application: Contact Information

The “Account Application: Contact Information” page 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 38 for purposes of assisting the user with the Account Application. If a covered entity was identified during the initial search for an entity, information will be pre-populated. Verify all information, change any errors, and enter any missing data.

Figure 38 – Account Application: Contact Information

Account Application: Contact Information

* = Required field

Entity Information

Jurisdiction	California
Entity Type	Covered Entity, Covered Source, or Opt-in Entity
Legal Name	Jenkins Entity
Operating Name	Jenkins Entity

Physical Address
If applicable, please use the same physical address of the entity used 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 like mail correspondence sent to.

Is the mailing address the same as the physical address?

Address Line 1	*	
Address Line 2		
City	*	
Province or State	*	-- Select --
Postcode or Zip Code	*	
Country	*	-- Select --

Entity Contact Information
Enter any additional contact information here for the entity.

Telephone	*	9164445555
Telephone Extension		12
Mobile phone		9162365874
Facsimile Number		9167412589
E-mail Address	*	jjenkins@example.com
Website Address		www.example.com/12345

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 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 section of data entry.

- STEP 3** Enter the **entity contact information necessary for general communication** and to reach account representatives regarding questions on the CITSS accounts.
- STEP 4** Enter the **phone number** for the 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.”**

At this point 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. Any account applications that have not been completed will show in the home page of the individual CITSS User who entered the data into the application under the “Account Applications” section as a “registration in progress.” This is illustrated in Figure 39.

Figure 39 – CITSS Account Home Page

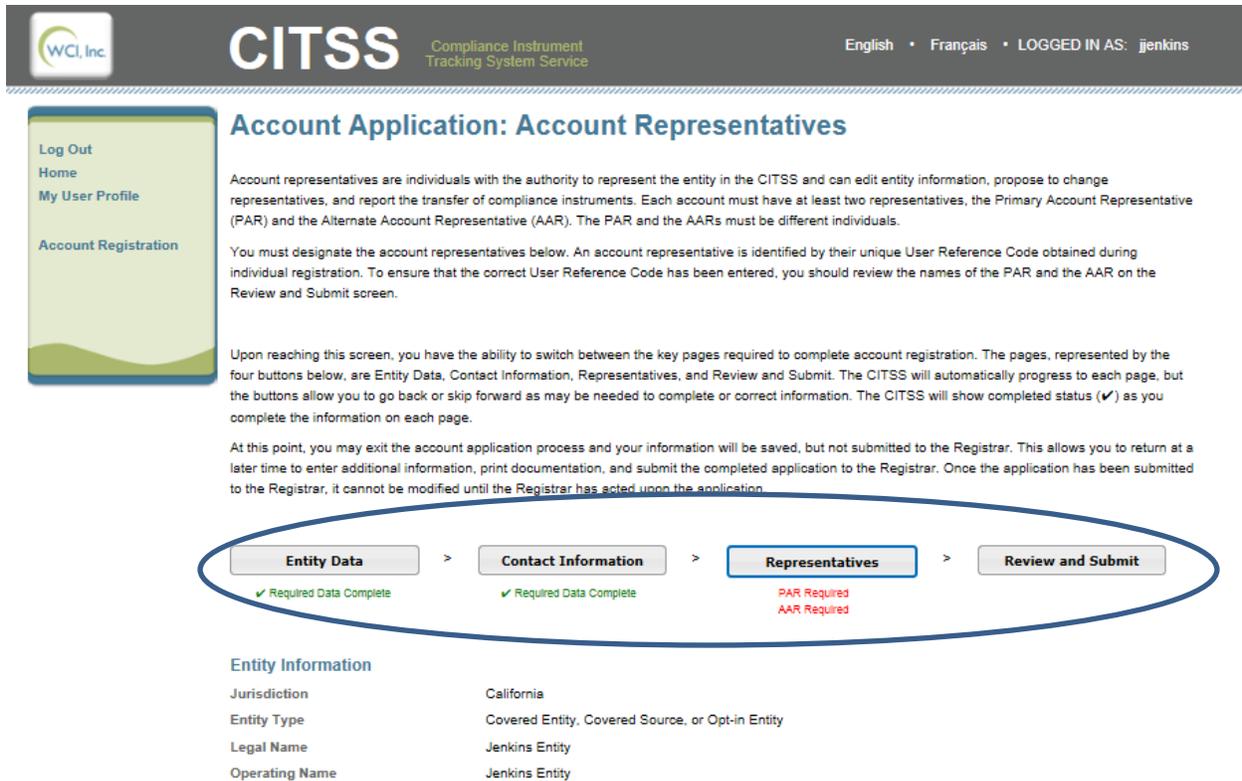
The screenshot shows the CITSS Account Home Page. At the top, there is a header with the WCI, Inc. logo, the text 'CITSS Compliance Instrument Tracking System Service', and the user 'jjenkins' is logged in. Below the header, there is a navigation menu on the left with options: Log Out, Home, My User Profile, and Account Registration. The main content area is titled 'Welcome to WCI CITSS' and includes a 'My Accounts' section with a message 'You do not have access to any accounts.' Below that is an 'Account Applications' table with one record for 'Jenkins Entity' in California, with the status 'Registration in Progress' circled in blue. The table has columns for Name, Entity Type, Jurisdiction, and Entity Status. The bottom right of the table indicates '1 record'.

Name	Entity Type	Jurisdiction	Entity Status
Jenkins Entity	Covered Entity, Covered Source, or Opt-in Entity	California	Registration in Progress

7.4.5 Account Application: Account Representatives

The “Account Application: Account Representatives” page includes both a summary of data entered to this point in the application process and an area for data entry of account representatives. 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 respective information. Figure 40 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 that a “PAR Required” and an “AAR Required” are needed to complete account application.

Figure 40 – Account Application: Account Representatives (upper portion)



Designating Account Representatives and Alternate Contact

The Primary Account Representative (PAR) and Alternate Account Representative(s) (AAR) 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.

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.

The 2012 amendments to the Cap-and-Trade Regulation will allow an entity to select up to four (4) AARs and to designate up to five (5) Account Viewing Agents (AVA). The 2012 amendments will also allow individual general market participants to act as both the PAR and the AAR on their account. These functions will not be available in the July 2012 release of the CITSS but will be added at a later date.

At this point, 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 official 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.

Figure 41 – Account Application: Account Representatives (lower portion)

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.

User ID Application Reference Code

Alternate Account Representative #1 (Required)

Current Representative <No current representative>

Assign Alternate Account Representative

I am an Alternate Account Representative (AAR).

Select a different registered user as an Alternate Account Representative (AAR). Enter the User ID Application Reference Code below.

User ID Application Reference Code

Alternate 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 First Name

Contact Last Name

Contact Position

Contact Telephone

Contact Mobile Number

Contact 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. The individual completing the account application must have the unique 12-digit CITSS User Reference Code provided during the CITSS User ID registration, and the PAR's registration must be approved.

STEP 2 If you have identified another CITSS User as the PAR, enter the 12-digit

User Reference Code in the appropriate field.

- STEP 3 Designate the AAR for the account(s).** If you are not designated as the PAR you can select yourself as the AAR by selecting the first button under AAR. If designating a different registered CITSS user as the AAR, select the second button.
- STEP 4 If you have identified another CITSS user as the AAR, enter the 12-digit User Reference Code in the appropriate field.**
- STEP 5 Enter the name of the additional account contact in the appropriate fields.**
- STEP 6 Enter the alternate contact person's position as it relates to the entity.**
- STEP 7 Enter the phone numbers and email address of the alternate contact.**
- STEP 8 Click on "Continue" to proceed.**

- STEP 3** If you have navigated to another page and made any 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 4** When all changes are 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 5** Once the information is ready to submit, click the “Submit Application” button located at the bottom of the page.

7.4.7 Account Application: Terms and Conditions

The “Account Application: Terms and Conditions” page contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

Figure 43 – Account Application: Terms and Conditions

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: jjenkins

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 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 *

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 appropriate 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.



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

7.4.8 Account Application Submitted

The “Account Application Submitted” page indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. 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 “Account Application Submitted” page illustrated in Figure 44 highlights the navigation buttons that access the forms that are required to be printed, completed, and submitted to the California Registrar.

Figure 44 – Account Application Submitted

Account Application Submitted

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.

You have successfully submitted your Account Application online to the CITSS, but you aren't finished yet.

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 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 Checklist
2. Account Application with Attestations Form
3. Corporate Associations and Structure Form

Should you have any questions regarding your Account Application, you may contact the CITSS Help Desk for your Jurisdiction.

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 8.0 of this guide. Please move forward to Section 8.0 now.

7.5 General Market Participant - Individual Account Application Electronic Data Entry

7.5.1 Account Application: Jurisdiction and Account Type

The “Account Application: Jurisdiction and Account Type” screen is the first screen of electronic data entry where you will identify the entity type. An individual who wishes to participate in the cap-and-trade program but does not have a compliance obligation under the Cap-and-Trade Regulation will select General Market Participant – Individual.

Figure 45 – Account Application: Jurisdiction and Account Type

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.

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 complete 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 for your Jurisdiction.

California Help Desk:
Email: CACITSSHelpDesk@arb.ca.gov
Phone number: 916-324-7659

Select the appropriate information below to begin the Account Application process.

* = Required field

Jurisdiction *

Entity type *

STEP 1 Read the instructions.

STEP 2 For Jurisdiction, select “California” from the drop-down menu. General market participants from anywhere in the United States must select California as the jurisdiction.

STEP 3 Select General Market Participant – Individual as the Entity Type from the drop-down menu. By selecting General Market Participant - Individual, data from your CITSS User Registration will be linked to the account application and fields in the account application will be pre-populated with the information from your CITSS registration.

STEP 4 Click on “Continue.”

7.5.2 Account Application: Additional Information

The “Account Application: Additional Information” page shown in Figure 46 is specific to a General Market Participant – Individual account application.

Figure 46 – Account Application: Additional Information

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

Account Application: Additional Information

General Market Participant accounts can be opened for a facility, business, organization, or natural person who are not covered entities. Before creating a new account, please ensure that an account for your facility, business, organization, or natural person hasn't already been created by another user.

* = Required field

Entity Information

Jurisdiction California
Entity Type General Market Participant - Individual

What is the purpose of this account? *

Commercial use
 Personal use

How would you classify yourself? *

Authorized Project Designee
 GHG Reporting Verifier
 Individual - member of the public
 Individual Broker
 Offset Project Operator
 Offset Project Verifier
 Other (Please specify)

- 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. Offset Project Verifiers are ineligible for compliance accounts. “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.
- STEP 3** If you select “Other,” you must enter more detail in the data field below the button.
- STEP 4** Click on “Continue.”

7.5.3 Account Application: Contact Information

The “Account Application: Contact Information” page will be pre-populated with the information provided during User Registration. In the example illustrated in Figure 47, 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.

Figure 47 – Account Application: Contact Information

Account Application: Contact Information

* = Required field

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Individual
Legal Name	Perry Plants

Physical Address

If applicable, please use the same physical address of the entity used for reporting under MRR.

Address Line 1	*	5438 Factory Blvd
Address Line 2		Building 37
City	*	Los Angeles
Province or State	*	California
Postcode or Zip Code	*	90001
Country	*	United States

Mailing Address

Enter the address that you would like mail correspondence sent to.

Is the mailing address the same as the physical address?

Address Line 1	*	5438 Factory Blvd
Address Line 2		Building 37
City	*	Los Angeles
Province or State	*	California
Postcode or Zip Code	*	90001
Country	*	United States

Entity Contact Information

Enter any additional contact information here for the entity.

Telephone	*	5555559876
Telephone Extension		
Mobile phone		
Facsimile Number		5555551234
E-mail Address	*	perry_test@sra-dev.com
Website Address		

STEP 1 Review the pre-populated data.

STEP 2 Enter any changes necessary for the account(s).

STEP 3 Click “Continue.”

At this point 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. Any account applications that have not been completed will show in the home page of the individual CITSS User who entered the data into the application under the “Account Applications” section as a “registration in progress.” This is illustrated in Figure 48.

Figure 48 – CITSS Account Home Page

WCI, Inc. **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

You last logged into CITSS on: 2012-06-26 15:44:17 EDT

Welcome to WCI CITSS

Log Out
Home
My User Profile
Account Registration

My Accounts

You do not have access to any accounts.

Account Applications

Name	Entity Type	Jurisdiction	Entity Status
Perry Plants	General Market Participant - Individual	California	Registration in Progress

1 record

7.5.4 Account Application: Account Representatives

The “Account Application: Account Representatives” page includes both a summary of data entered to this point in the application process and an area for data entry of account representatives. 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 respective information. Figure 49 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 that a “**PAR Required**” and an “**AAR Required**” are needed to complete the account application.

Figure 49 – Account Application: Account Representatives (upper portion)

Account Application: Review and Submit

Status	Comment	Created Date
Registration in Progress		2012-06-26

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 submitted to the Registrar, it cannot be 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
AAR Required

This screen summarizes the information entered to create an account.

CITSS Entity ID	CA1001
Legal Name	Perry Plants
Jurisdiction	California
Entity Type	General Market Participant - Individual
Purpose	Personal use
Individual Type	Individual - member of the public
Individual Type (Other)	
Entity Status	Registration in Progress
Created by	Perry Plants
Date Created	2012-06-26

STEP 1 Click on the navigation button for any page you wish to move back to.

STEP 2 Review and enter any needed information or corrections.

STEP 3 Click on “Continue” at the bottom of any page you are working in to move back to the Account Representatives page.

Designating Account Representatives and Alternate Account Representatives

The Primary Account Representative (PAR) and Alternate Account Representative(s) (AAR) are the individuals with the authority to purchase, transfer, and sell compliance instruments on behalf of the entity, and manage the entity's accounts. One (1) PAR and one (1) AAR must be designated for each entity.

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.

The 2012 amendments to the Cap-and-Trade Regulation will allow an entity to select up to four (4) AARs and to designate up to five (5) Account Viewing Agents (AVA). The 2012 amendments will also allow individual general market participants to act as both the PAR and the AAR on their account. These functions will not be available in the July 2012 release of the CITSS but will be added at a later date.

At this point, the individual entering data can also identify an additional point of contact for the account 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 official 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.

Figure 50 displays the lower portion of the "Account Application: Account Representatives" page and highlights the assignment of account representatives. In this example, the sample user Perry Plants identifies himself as the PAR and designates a different registered CITSS User as the AAR.

Figure 50 – Account Application: Account Representatives (lower portion)

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.

User ID Application Reference Code

Alternate Account Representative #1 (Required)

Current Representative <No current representative>

Assign Alternate Account Representative

I am an Alternate Account Representative (AAR).

Select a different registered user as an Alternate Account Representative (AAR). Enter the User ID Application Reference Code below.

User ID Application Reference Code

Alternate 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 First Name

Contact Last Name

Contact Position

Contact Telephone

Contact Mobile Number

Contact 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. The individual completing the account application must have the unique 12-digit CITSS User Reference Code provided during CITSS User ID registration, and the PAR's registration must be approved.
- STEP 2 If you have identified another CITSS User as the PAR, enter the 12-digit User Reference Code in the appropriate field.**
- STEP 3 Designate the AAR for the account(s).** If you are not designated as the PAR, you can select yourself as the AAR by selecting the first button under AAR. If designating a different registered CITSS User as the AAR, select the second button.
- STEP 4 If you have identified another CITSS User as the AAR, enter the 12-digit User Reference Code in the appropriate field.**
- STEP 5 Enter the name of the additional account contact in the appropriate fields.**
- STEP 6 Enter the alternate contact person's position as it relates to the entity.**
- STEP 7 Enter the phone numbers and email address of the alternate contact.**
- STEP 8 Click on "Continue."**

- STEP 2** If there is a need to make any edits, select the appropriate navigation buttons (Entity Data, Contact Information, and Representatives) to correct the information.
- STEP 3** If you have navigated to another page and made any 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 4** When all changes are 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 5** Once the information is ready to submit, click the “Submit Application” button located at the bottom of the page.

7.5.6 Account Application: Terms and Conditions

The “Account Application: Terms and Conditions” page contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

Figure 52 – Account Application: Terms and Conditions

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

Account Application: Terms and Conditions

Log Out
Home
My User Profile
Account Registration

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 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 *

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 appropriate 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.



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.

7.5.7 Account Application Submitted

The “Account Application Submitted” page indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. 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 “Account Application Submitted” illustrated in Figure 53 highlights the navigation buttons that access the required forms to be printed, completed, and submitted to the California Registrar.

Figure 53 – Account Application Submitted

Account Application Submitted

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 CA1001. Please keep this number in a safe place as it is the unique identifier of your account application.

You have successfully submitted your Account Application online to the CITSS, but you aren't finished yet.

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 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 Checklist **2. Account Application with Attestations Form** **3. Corporate Associations and Structure Form**

Should you have any questions regarding your Account Application, you may contact the CITSS Help Desk for your Jurisdiction.

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 8.0 of this guide. Please move forward to Section 8.0 now.

7.6 General Market Participant - Organization Account Application

7.6.1 Account Application: Jurisdiction and Account Type

After clicking the “Account Registration” link from the CITSS accounts Home Page, the “Account Application: Jurisdiction and Account Type” page is displayed.

Figure 54 – Account Application: Jurisdiction and Account Type

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

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.

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 complete 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 for your Jurisdiction.

California Help Desk:
Email: CACITSSHelpDesk@arb.ca.gov
Phone number: 916-324-7659

Select the appropriate information below to begin the Account Application process.

* = Required field

Jurisdiction * California
Entity type * General Market Participant - Organization

Continue

STEP 1 Read the instructions.

STEP 2 For Jurisdiction, select “California” from the drop-down menu. General market participants from anywhere in the United States must select California as the jurisdiction.

STEP 3 Select General Market Participant – Individual as the Entity Type from the drop-down menu.

STEP 4 Click on “Continue.”

7.6.2 Account Application: Additional Information

IMPORTANT: Before creating a new account, please ensure that an account for your business or organization has not already been created by another user.

On the “Account Application: Additional Information” page that is specific to General Market Participants that are Organizations, the User must provide a legal name and describe the organization.

Figure 55 – Account Application: Additional Information

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

Account Application: Additional Information

General Market Participant accounts can be opened for a facility, business, organization, or natural person who are not covered entities. Before creating a new account, please ensure that an account for your facility, business, organization, or natural person hasn't already been created by another user.

* = Required field

Entity Information

Jurisdiction California
Entity Type General Market Participant - Organization

Legal Name of Organization *
Organization B

Type of Organization *

- Academic
- Authorized Project Designee
- Brokerage/Investment Firm
- Charitable Trust
- Clearing Service Provider
- Company
- Corporation
- Early Action Offset Program
- Early Action Offset Project Operator
- General Partnership
- Government
- Limited Partnership
- Non Governmental Organization
- Non-Profit
- Offset Project Operator
- Offset Project Registry
- Verification Body
- Other (Please specify below)

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

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.

STEP 3 If you select “Other,” you must enter more detail in the data field below the button.

STEP 4 Click on “Continue.”

7.6.3 Account Application: Entity Information

The “Account Application: Identifiers” page for a General Market Participant - Organization requires that numbers that are used to identify the organization be entered. As with User ID registration, all required fields are identified with an asterisk (*).

Figure 56 shows the “Account Application: Identifiers” page and highlights the required fields. As an example, sample information and IDs are entered into the fields.

Figure 56 – Account Application: Identifiers

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, complete in the following manner:

If the entity is not incorporated but is another type of business entity registered with the California Secretary of State (SOS), provide the entity number issued by this agency.

STEP 2 Enter the incorporation state, country, and date in the appropriate fields, if applicable.

If you are not an incorporated entity, enter data relevant to California business entity registration with the SOS, “California” as the State, “United States” as the Country, and the date of the SOS registration.

- STEP 3** **Enter the Federal Tax Employer Identification Number.** All entities must enter this number, which is used by the Internal Revenue Service to identify business entities
- STEP 4** **Enter the ORIS Identifier, if assigned.** The U.S. Energy Information Agency (EIA) of the U.S. Department of Energy (DOE) assigns a ORIS (Office of the Regulatory Information System) identifier to electricity generating units (i.e., primarily facilities with a Standard Industrial Classification code of 4911). ORIS ID information is available at: www.eia.doe.gov.
- STEP 5** **Enter the ID Number assigned to the entity by the SOS. Although not required by the CITSS, providing this number will assist the California Registrar and will support a more rapid review of your application. If this number was entered above, re-enter it in this field as well.** 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 Secretary of State business office. Foreign businesses (out of state and out of country) must also register with the California SOS.
- 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 “Continue.”**

7.6.4 Account Application: Contact Information

The “Account Application: Contact Information” page is where the user must enter Organization information, including Physical Address, Mailing Address, and Entity Contact Information. Sample organizational information has been entered into the required fields in Figure 57 for purposes of assisting the user with Account Application.

Figure 57 – Account Application: Contact Information

Account Application: Contact Information

* = Required field

Entity Information

Jurisdiction: California
 Entity Type: General Market Participant - Organization
 Legal Name: Organization B

Physical Address
 If applicable, please use the same physical address of the entity used for reporting under MRR.

Address Line 1: * 1254 Main Street
 Address Line 2:
 City: * Sacramento
 Province or State: * California
 Postcode or Zip Code: * 12345
 Country: * United States

Mailing Address
 Enter the address that you would like mail correspondence sent to.

Is the mailing address the same as the physical address?

Address Line 1: *
 Address Line 2:
 City: *
 Province or State: * -- Select --
 Postcode or Zip Code: *
 Country: * -- Select --

Entity Contact Information
 Enter any additional contact information here for the entity.

Telephone: * 9168794562
 Telephone Extension: 18
 Mobile phone: 9168792459
 Facsimile Number:
 E-mail Address: * example@email.org
 Website Address: www.example/324.com

STEP 1 Enter the Physical Address for the organization.

STEP 2 Enter the Mailing Address for the organization. You can select the option of using the physical address as the mailing address by clicking on the box prior to the Mailing Address section of data entry.

STEP 3 Enter the Entity Contact Information for general communication.

- STEP 4** Enter the **telephone number** for the 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** Enter a **website address if the organization has a website.**
- STEP 8** Click on **“Continue.”**

At this point 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. Any account applications that have not been completed will show in the home page of the individual CITSS User who entered the data into the application under the “Account Applications” section as a “registration in progress.” This is illustrated in Figure 58.

Figure 58 – CITSS Account Home Page

WCI, Inc. **CITSS** Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

Welcome to WCI CITSS You last logged into CITSS on: 2012-06-26 15:45:25 EDT

Log Out
Home
My User Profile
Account Registration

My Accounts

You do not have access to any accounts.

Account Applications

Name	Entity Type	Jurisdiction	Entity Status
Organization B	General Market Participant - Organization	California	Registration in Progress

1 record

7.6.5 Account Application: Account Representatives

The “Account Application: Account Representatives” page includes both a summary of data entered to this point in the application process and an area for data entry of account representatives. 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 respective information. Figure 59 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 that a “**PAR Required**” and an “**AAR Required**” are needed to complete account application.

Figure 59 – Account Application: Account Representatives (upper portion)

Account Application: Account Representatives

Account representatives are individuals with the authority to represent the entity in the CITSS and can edit entity information, propose to change 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 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 Review and Submit screen.

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 submitted to the Registrar, it cannot be 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**
AAR Required

Entity Information

Jurisdiction	California
Entity Type	General Market Participant - Organization
Legal Name	Organization B

Designating Account Representatives and Alternate Contact

The Primary Account Representative (PAR) and Alternate Account Representative (AAR) are the individuals with the authority to purchase, transfer, and sell compliance instruments on behalf of the entity and manage the entity’s accounts.

One (1) PAR and one (1) AAR must be designated by the organization. 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 unique User ID Reference Code for each representative.

The 2012 amendments to the Cap-and-Trade Regulation will allow an organization to select up to four (4) AARs and to designate up to five (5) Account Viewing Agents (AVA). These functions will not be available in the July 2012 release of the CITSS but will be added at a later date.

At this point, the individual entering data can also identify an additional point of contact for the organization 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 official 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.

Figure 60 displays the lower portion of the “Account Application: Account Representatives” page and highlights the assignment of account representatives. As an example, the sample user Perry Plants identifies himself as the PAR and designates a different registered user as the AAR.

Figure 60 – Account Application: Account Representatives (lower portion)

The screenshot shows the 'Account Representatives' section of a web form. It is divided into three main parts: 'Primary Account Representative (Required)', 'Alternate Account Representative #1 (Required)', and 'Alternate Contact Person - Optional'. The 'Primary Account Representative' section has a 'Current Representative' field with the value '<No current representative>'. Below it, the 'Assign Primary Account Representative' section has two radio button options: 'I am the Primary Account Representative (PAR)' (which is selected) and 'Select a different registered user as the Primary Account Representative (PAR). Enter the User ID Application Reference Code below.' The 'Alternate Account Representative #1 (Required)' section also has a 'Current Representative' field with the value '<No current representative>'. Its 'Assign Alternate Account Representative' section has two radio button options: 'I am an Alternate Account Representative (AAR)' and 'Select a different registered user as an Alternate Account Representative (AAR). Enter the User ID Application Reference Code below.' The second option is selected, and the 'User ID Application Reference Code' field contains the value 'RTRPSVHG3WQY'. The 'Alternate Contact Person - Optional' section contains several text input fields for 'Contact First Name', 'Contact Last Name', 'Contact Position', 'Contact Telephone', 'Contact Mobile Number', and 'Contact Email Address'. A 'Continue' button is located at the bottom of the form.

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. The individual completing the account application must have the

unique 12-digit CITSS User Reference Code provided during CITSS User ID registration, and the PAR's registration must be approved.

- STEP 2** If you have identified another CITSS User as the PAR, enter the 12-digit User Reference Code in the appropriate field.
- STEP 3** Designate the AAR for the account(s). If you are not designated as the PAR you can select yourself as the AAR by selecting the first button under AAR. If designating a different registered CITSS User as the AAR, select the second button.
- STEP 4** If you have identified another CITSS User as the AAR, enter the 12-digit User Reference Code in the appropriate field.
- STEP 5** Enter the name of the additional account contact in the appropriate fields.
- STEP 6** Enter the alternate contact person's position as it relates to the organization.
- STEP 7** Enter the phone numbers and email address of the alternate contact.
- STEP 8** Click on "Continue."

7.6.6 Account Application: Review and Submit

The "Account Application: Review and Submit" page displays the same four (4) navigation buttons as the prior Account Representatives page, as well as the status of data entry on each page. As illustrated in Figure 61, after the PAR and AAR have been added, the status will indicate that the representative information was successfully added and that registration is in progress. At this point, the account application is assigned 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 organization's account following approval.

This page also summarizes the information entered in the General Market Participant - Organization account application. Review that the information entered is correct. If there is a need to make any changes, select the appropriate navigation buttons (Entity Data, Contact Information, and Representatives) to correct the information. Figure 61 displays the "Account Application: Review and Submit" page and highlights the assigned "CITSS Entity ID" and the navigation buttons. The green text below the navigation buttons indicates that the required information for the account application is complete.

7.6.7 Account Application: Terms and Conditions

The “Account Application: Terms and Conditions” page contains the Terms and Conditions that must be accepted prior to submitting the electronic portion of the account application.

Figure 62 – Account Application: Terms and Conditions

WCI, Inc. CITSS Compliance Instrument Tracking System Service English • Français • LOGGED IN AS: pplants

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 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.

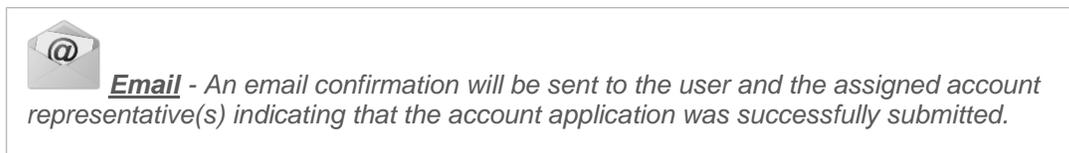
Password *

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 **appropriate** 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.



7.6.8 Account Application Submitted

The “Account Application Submitted” page indicates that the electronic data entry portion of your account application has been submitted to the California Registrar. 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 Figure 63 “Account Application Submitted” page highlights the navigation buttons that access the required forms to be printed, completed, and submitted to the California Registrar.

Figure 63 – Account Application Submitted

Account Application Submitted

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 CA1002. Please keep this number in a safe place as it is the unique identifier of your account application.

You have successfully submitted your Account Application online to the CITSS, but you aren't finished yet.

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 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 Checklist **2. Account Application with Attestations Form** **3. Corporate Associations and Structure Form**

Should you have any questions regarding your Account Application, you may contact the CITSS Help Desk for your Jurisdiction.

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.

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.

Instructions to assist you as you complete the required forms are provided in Section 8.0 of this guide. Please move forward to Section 8.0 now.

7.7 Completing an Account Application

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 forms provided at the end of the electronic data entry on the page titled “Account Application Submitted” are provided for your convenience, to submit the required information. Each account applicant, regardless of entity type, must provide the information contained in the Account Application Checklist, the Account Application with Attestations Form, and the Corporate Associations and Structure Form to the California Registrar. Original signatures are required on the Account Application with Attestations Form and the Corporate Associations and Structure Form. If an applicant does not want to use the forms that are provided for convenience, that applicant may submit the required information in a letter, with signatures, and mail this documentation to the address provided in the Account Application Checklist. If the information provided is inaccurate or incomplete, or the California Registrar cannot verify receipt of all information, an account application may be denied.

7.7.1 Account Application Checklist

Figure 64 displays the “#1 Account Application Checklist,” the first of the three forms that the entity will print and mail to the California Registrar to receive Account Application approval. A sample Account Application Checklist is located in Appendix B.

Figure 64 – Account Application Checklist

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 Form, and the Corporate Associations and Structure Form.

CITSS Entity ID: CA1002

To finish your account registration, you must complete the following steps:

- Print the Account Application Checklist
- Print the Account Application with Attestations Form
- Complete the Additional Information Required section of the Application Form
- Provide the original signature of the Primary Account Representative
- Provide the original signature of the Alternate Account Representative
- Provide the original signature of a Director or Officer of the Entity
- Print the Corporate Association and Structure Form
- Complete each applicable section of the Form
- Provide the original signature of the Primary Account Representative or Alternate Account Representative
- Mail all of the above materials to the Jurisdiction Registrar at the address below.

Mail the completed forms to:

California ARB
Attn: The CITSS Account Registration
1001 I Street, 6th Floor
Sacramento, CA 95814

Upon review of the submitted materials, the Jurisdiction Registrar will send an email to the PAR and AARs registered in CITSS notifying them of approval, denial, or pending status of account application. After receiving approval from the Jurisdiction Registrar, the PAR and AARs will be able to access compliance instrument account(s).

Revision: 5/8/2012

STEP 1 Click on the button labeled, Account Application Checklist. The form opens in a new browser tab.

STEP 2 Print the Account Application Checklist.

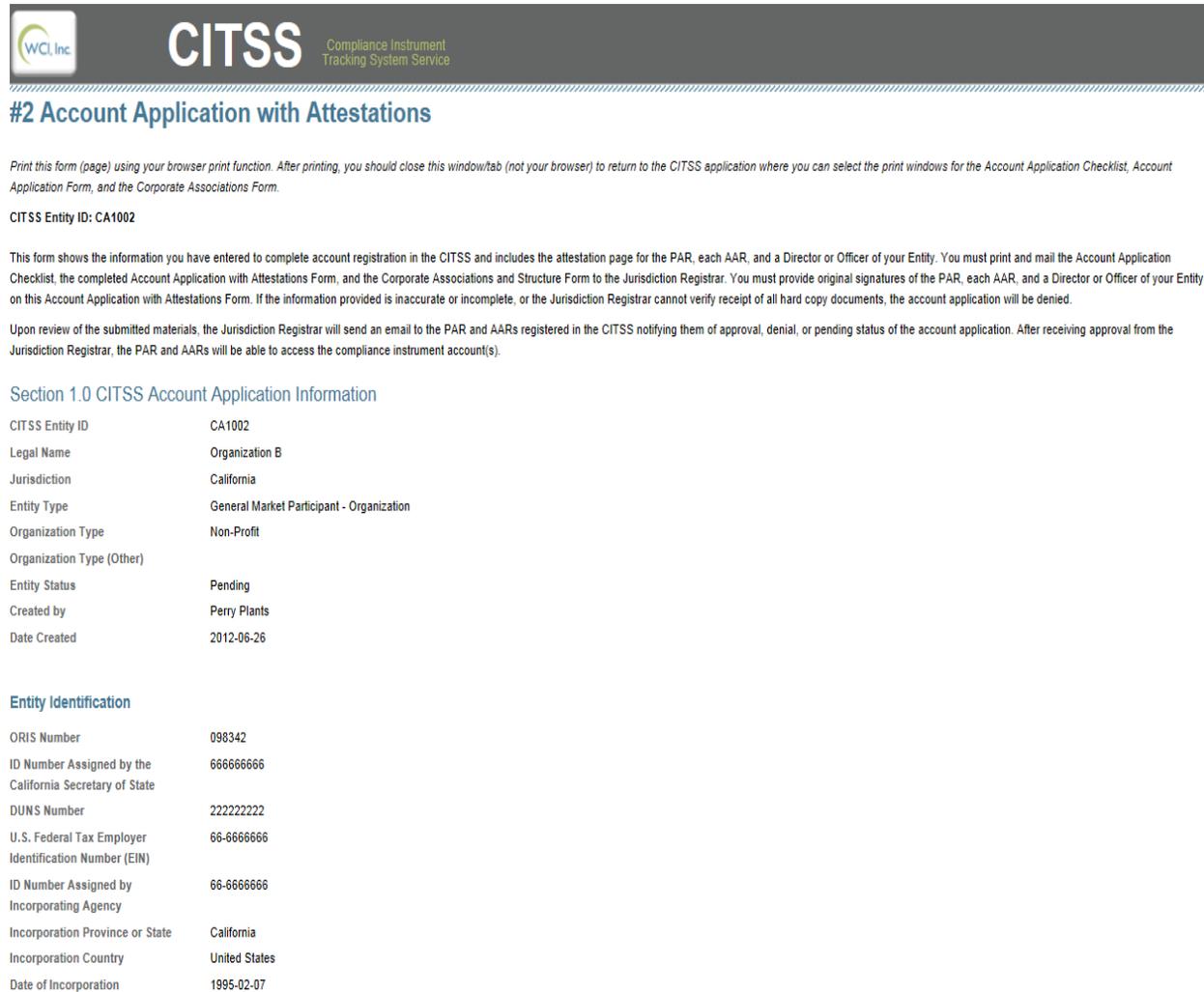
STEP 3 Maintain this form in a secure location while you complete the required documentation.

STEP 4 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. The forms each open in separate tabs, which you can close or leave open for the time being.

7.7.2 Account Application with Attestations

Figure 65 displays “#2 Account Application with Attestations,” the second of the three forms that the applicant will print, sign, and mail to the California Registrar to receive Account Application approval. 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. A sample Account Application with Attestations form is located in Appendix B.

Figure 65 – Account Application with Attestations



#2 Account Application with Attestations

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 Form, and the Corporate Associations Form.

CITSS Entity ID: CA1002

This form shows the information you have entered to complete account registration in the CITSS and includes the attestation page for the PAR, each AAR, and a Director or Officer of your Entity. You must print and mail the Account Application Checklist, the completed Account Application with Attestations Form, and the Corporate Associations and Structure Form to the Jurisdiction Registrar. You must provide original signatures of the PAR, each AAR, and a Director or Officer of your Entity on this Account Application with Attestations Form. If the information provided is inaccurate or incomplete, or the Jurisdiction Registrar cannot verify receipt of all hard copy documents, the account application will be denied.

Upon review of the submitted materials, the Jurisdiction Registrar will send an email to the PAR and AARs registered in the CITSS notifying them of approval, denial, or pending status of the account application. After receiving approval from the Jurisdiction Registrar, the PAR and AARs will be able to access the compliance instrument account(s).

Section 1.0 CITSS Account Application Information

CITSS Entity ID	CA1002
Legal Name	Organization B
Jurisdiction	California
Entity Type	General Market Participant - Organization
Organization Type	Non-Profit
Organization Type (Other)	
Entity Status	Pending
Created by	Perry Plants
Date Created	2012-06-26

Entity Identification

ORIS Number	098342
ID Number Assigned by the California Secretary of State	66666666
DUNS Number	22222222
U.S. Federal Tax Employer Identification Number (EIN)	66-6666666
ID Number Assigned by Incorporating Agency	66-6666666
Incorporation Province or State	California
Incorporation Country	United States
Date of Incorporation	1995-02-07

The following directions assume that the applicant has chosen to use the form provided for submitting all required data. If you choose not to use the form, the exact language of all attestations and certifications must be included in your documentation.

Blank copies of all forms are provided on the ARB website at:
<http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>.

STEP 1 Review the information in Section 1.0 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 one of the following options:

- at least one representative with a primary residence address in California; or,
- if neither account representative has 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 designated on this account application must read and sign the attestation contained in Section 4.0. An original signature is required.

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.

7.7.3 Corporate Associations and Structure Form

Figure 66 displays a portion of 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 to receive Account Application approval. Entities registering in the CITSS must disclose corporate structure and ownership information. Blank copies of this form and a sample completed Corporate Associations and Structure Form are located in Appendix B and on the ARB website at: <http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>.

Figure 66 – Corporate Associations and Structure Form

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

The following directions assume that the applicant has chosen to use the form provided for submitting all required data. If you choose not to use the form, the exact language of all attestations and certifications must be included in your documentation.

Blank copies of all forms are provided on the ARB website at <http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm>.

- STEP 1 Complete Section 1 Name and Addresses of Your Entity’s Directors and Officers.** If additional space is needed, you may attach additional pages to this form. This is not required if the account application is for a General Market Participant – Individual.
- STEP 2 Complete Section 2 Names and Address of Persons with Voting Rights.** 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. 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, no additional data is needed.
- STEP 3 Complete Section 3 Overview of Your Company’s Corporate Associations.** If the applicant is an entity with corporate associations that are disclosable under section 95833 of California’s Cap-and-Trade 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 Cap-and-Trade Regulation and Regulation Guidance documents. You can also refer to the CITSS page on the ARB website at: <http://www.arb.ca.gov/cc/capandtrade/markettrackingsystem/markettrackingsystem.htm> for additional directions on completing this form and sample completed forms.
- STEP 4 Complete Section 4 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.

7.8 Account Application Approval

At this point, your account application has been electronically submitted, and the required information has been submitted to the California Registrar for review through the use of CITSS-generated forms or by letter. The review and approval process for the account application approval, denial, or request for revisions is expected to take approximately **two weeks for complete submittals**, depending on the volume of applications. If the data and documentation submitted are incomplete, the processing time will be extended.



Email - 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.

8.0 Account Management

Once the Account Application has been approved by the California Registrar, the individuals identified as account representatives may access the entity account to edit or update the entity profile information. First, the representative must 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's Home Page, titled "Welcome to WCI CITSS" is displayed. The Home Page will show all accounts that this CITSS user is associated with as a representative in "My Accounts." The "Account Applications" table indicates account applications entered by this CITSS user, which are in progress (not yet submitted) or pending (submitted and awaiting approval). Figure 67 displays the "Organization B" account for which Perry Plants (the CITSS User) is an account representative. It also displays that a pending application for another facility was submitted by Perry Plants and is under review for approval by the California Registrar. Select the "View" button to access the approved account, which is highlighted in Figure 67.

Figure 67 – CITSS Account Home Page

The screenshot shows the CITSS Account Home Page. At the top, there is a header with the WCI, Inc. logo, the CITSS title, and the text "Compliance Instrument Tracking System Service". To the right of the header, there are language options "English" and "Français", and the text "LOGGED IN AS: pplants". Below the header, there is a navigation sidebar on the left with options: "Log Out", "Home", "My User Profile", and "Account Registration". The main content area is titled "Welcome to WCI CITSS" and includes a sub-header "My Accounts". Below this, there is a table with the following columns: "Name", "Operating Name", "Account Type", "Account Number", "Jurisdiction", "Account Status", and "Actions". The table contains one row for "Organization B" with "General" as the Account Type, "CA1002-1002" as the Account Number, "California" as the Jurisdiction, and "Active" as the Account Status. The "Actions" column for this row contains a "View" button, which is circled in red. Below the table, there is a section titled "Account Applications" with the message "You do not have any open account applications."

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.

Further guidance for editing and updating compliance instrument account information will be provided in the next version of this document.

If you need any assistance with the CITSS, please contact the CITSS Help Desk at: (916) 324-7659 or CACITSSHelpDesk@arb.ca.gov.

(Blank Page)

Appendix A

User Registration Forms

User ID Registration Forms:

- [User Registration Checklist](#) 
- [User Registration Form](#) 
- [Proof of Identity Form](#) 

Appendix B

Account Application Forms

Account Application Forms:

- [Account Application Checklist](#) 
- [Account Application with Attestations Form](#) 
- [Corporate Associations and Structure Form](#)  (sample form )

Appendix C

CITSS User Registration Online Data Entry Supplement

CITSS User Registration Online Data Entry Supplement

This document is a supplement to the CITSS data entry provided online for the referenced CITSS User, identified by the unique CITSS User Reference Code and User ID below. Completion of this document does not guarantee approval of the CITSS User ID. If the User ID is approved, the CITSS user will be required to enter all changes documented on this form in the CITSS system within a reasonable time following User ID approval. Failure to complete the changes within the CITSS system will be cause for the User ID to be disabled.

CITSS User Reference Code: _____

User ID: _____

First and Last Name as entered in the CITSS: _____

Updated Information (enter only those fields which are to be updated)

User Information

Salutation _____
First Name _____
Middle Name _____
Last Name _____
Suffix _____
Date of Birth _____
Telephone _____
Telephone Ext. _____
Mobile Telephone _____
Fax Number _____
Email _____
Correspondence Language _____

Physical Address

Street 1 _____
Street 2 _____
City _____
State/Province _____
Postal Code _____
Country _____

Mailing Address

Street 1 _____

Street 2 _____

City _____

State/Province _____

Postal Code _____

Country _____

Print Name: _____

Signature: _____

Date: _____